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Organic Food Perspective in Developing Countries: An Overview of Polog Region and a Case Study in the Republic of Macedonia

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Abstract

Technical and technological advances in food production have brought substantial changes in quantity, quality, diversification and availability of food. The food industry is driven by business activity and objectives, which in turn have considerably affected consumer behavior. While the consumers in general are ready to get adopted and accept the variety of food due to business globalization, thus increasing their preferences to the food that was not available to their vicinity in the past and to the industrial processing such as additives and flavor for extending the duration of consumer durables, a concern has been raised; organic food in a traditional way is healthier. State institutions from their own side have passed many regulations to ensure that food industry and production meets the needed criteria of safety for consumption while businesses compete against each other primarily in making their own way to profit. Yet, an increasing number of consumers worldwide, for their own safety, find it more preferable to undertake a degree of food processing or preparing it on their own. This paper looks at the trend of this consumer behavior in the Polog Region of the Republic of Macedonia, supplemented by a case study of an organic food restaurant located in the city of Tetovo.

Keywords: organic food, GM food, Polog region, Porter's five forces, competitive advantage. **JEL:** D13, M13, O13, Q13.

Introduction

Organic versus GM food

Food is a necessity. There is no an alternative to it. Production, demand and consumption of food have constantly been on the rise throughout history, and will continue to experience such a trend in the future as the population grows. Despite technological advancing in mass producing the food, today, a large number of people across the world, especially in developing countries remain poorly fed, facing food shortages and hunger. A considerable number of factors are attributed to the contribution of food crises such as low level of economic development, low incomes per capita, environmental and climatic conditions, unequal disperse of natural resources, the rise in food prices, and the impact of different cultures among the people in consumption and preferential eating habits, e.g. different diets and type of food like organic, conventional and genetically modified food (GMF). Given the undisputable importance of food in general and the rising demand, its production and offering in the market to consumers can be a beneficiary business to be dealt with as well as at the benefits of consumers. In modern times, specialization in offering certain food matters in the market for food.

As the name suggests and by common understanding, organic food is that kind of food that does involve chemical fertilizers and pesticides during the farming process and no food additives while preparing the food. By this definition organic food may also be called as more natural and safer by nutritional value and taste. This has been the main food for people throughout the history until agriculture was industrialized and intensified by the use of various chemicals, or conventional food. The consumers realizing the difference in taste, in response became more aware in favor of organic food, thus initiating the Green Revolution and organic farming movement in the 1940s (Drinkwater, 2009:19). When the food is processed, it should contain the overwhelming majority of organic ingredients. Non-organic ingredients may be present but in fairly small share (up to 5 five percent), be free of food additives with small presence of pesticides if they are not synthetic. Production and processing of organic food is a regulated industry.

Compared to conventional farming and food, organic based system is believed to healthier for consumers and less damaging to the environment. The most common agreed arguments, which have been tested by surveys, include: i) organic farming by not using pesticides make the environment less prone to harmful effects both in terms of polluting the soil and water; ii) a better choice for the diverse of ecosystems such as various plants, insects and animals than conventional farming; and iii) on average, organic farming can save more the environment as it produces less waste which is caused by throwing of packaging materials such as paper, plastics and metallic waste in which the chemicals are packed (Stolze *et al*, 2000; Hansen *et al*, 2001). Perhaps one of the most frequent reasons why organic farming is preferred is that the use of pesticides can have a potential damaging effect in the workers' health.

While organic farming and subsequent organic food is understood to have several benefits, one crucial question that arises about it, is the yield compared to other types such as non-conventional and GMF. The answer is not so easy to be given and justified given the crises of food at global level expressed by hunger and the rise in prices. According to the World Bank estimates, between 2005-2008 food prices have risen by 83 percent, while the demand for food will increase by 50 percent by 2030 (Evans, 2008: 1-2). This is important to have it into consideration, because, majority of the people may find themselves constrained between the alternative of consuming healthier food and the one that is easier to produce, cheaper but with some shortcomings. The studies comparing the yields between organic and other foods offer mix results. As this still requires more research to draw a more clear-cut conclusion, it should be mentioned that the supporters such as Johnston (1986: 102) maintain that, in addition to higher quality due to the soil no so much exposed to pesticides, organic crops and plants have higher probability of retaining water longer, which is important during drought periods, thus more yields. Critics on the other hand base their argument on what is a concern for almost everyone, i.e. more space or land needed for organic farming facing the pressure from rising urbanization which can seriously disrupt the ecosystems in longer run. The problem of available land for organic farming becomes a challenge in small size countries like the Republic of Macedonia, with most land parcels (around 80 percent) scattered in private family ownership whose average size in 2010 was 2.5-2.8 hectares (European Commission, 2011). As the pressure for urbanization is growing, small scattered parcels may further decrease in size, which in turn may constrain the capacities to provide the needed resources to produce organic food, and the skills how to make it more for the market or to a larger number of consumers.

A microeconomic perspective of organic food

Although organic farming and food appear as traditional, it requires professional research and development. Within the firm level, the key to internal analysis is to identify potential strengths and weaknesses by collecting the relevant information. The analysis should be able to reveal a strategy and an action plan with resources in order to achieve the company's mission and objectives. Internal environment consists of a number of factors as strengths such as resources, capabilities, and competitive advantage with their elements to be *valuable, scarce, non-imitable, sustainable, appropriable, have dynamic capabilities* and the *value chain*. Reaping the benefits of strengths involves costs, the main drivers of which are economics of scale, experience effect and value drivers (Fritzroy *et al*, 2012: 213-235). Among the weaknesses can be listed: inefficiency of management or leadership, difficulty to find skilled workers, shortage of financial resources, low technical skills, and investment inefficiency (Abd Gani *et al*, 2010: 52-53).

When people interact in different parts of the globe or visit other countries, they also get known with locally produced different organic food, and even become addicted to it. The English were used to consume Indian food while serving in India as soldiers and colonizers. After coming back home, Britain welcomed the opening of Indian restaurants by Indian newcomers. This is a case of exporting local cuisine from the colony to the former colonizer. A different example follows in the Republic of Macedonia (especially in the Polog region) during the Ottoman rule that adopted many Turkish based food or recipes. *Burek* (Turkish pie), *doner*, *baklava* (type of homemade sweets), *Turkish coffee*, *Ceylon tea* are all of Turkish origin that can be found as the most common food consumed in Polog. The organic food produced from subsistence agriculture for family consumption, begun to reach the public, mostly in the cities, through businesses. The consumers are accustomed to this food in their families. But when they are away at work during the break time or lunch, they may be missing it. A partial fulfillment to the demand for organic food is in the bakeries that can be found in every few hundred meters across the city, and some restaurants more sparsely dispersed.

A huge percentage of population thin the Polog region was always affected by food traditions and rituals which played a crucial part in their lives. However, traditions undergo a change over time by adapting new variety food preferences and eating habits. The dynamics of life in general, has made the citizens to have less time at their disposal for cooking, but

always in search for value, and willingness to pursue comfort for their body and health. Organic food, when they are not able to prepare it on the own, is their preferred choice.

Porter's five forces is a model for industry analysis which the manager of a company seeks to develop in gaining competitive advantage over potential rival companies. The rivalry in the market is measured by industry concentration or market share measured by the concentration ratio, which in our case for a restaurant would be the number of restaurants and related businesses. The five forces are: i) industry competitors; ii) pressure from substitute products; iii) bargaining power of suppliers; iv) bargaining power of buyers; and potential entrants. In order to gain the advantage over its rivals, the firm in broad terms chooses the following policies: changing prices, improving product differentiation, creatively using channels of distribution, and exploiting relationship with the suppliers (Porter, 1980: 215-235). Porter's five forces as general requirements apply to industrial sectors to determine the competition and they can vary within specific industrial sector.

Key Success Factors (KSF), sometime known as Key Performance Indicators (KPI) are the measures by which the success of an industry and the model demonstrates the organizational process or activity to determine the significance of impact on the firm's overall performance. According to Parmenter (2007), these indicators include firm's internal processes such as: unit cost (in currency), yield (in %), product defects (in %), process measure (index), staff satisfaction (index), staff skills (index), capabilities (index), productivity (output/employee), and IT system use (index). Given that the firm is an open system influenced by the changes in the environment, the changes are also required in the internal organization as an adoption to the new customer demands, regulations, technological innovation development in communications, transport, and socio-political changes arising from global economic interdependence and integration (Wind and Main, 1998).

A firm can be a pioneer in the market to offer new products and services rather than being an existing one. Pioneer firms require risk-taking initiatives for which they need human and financial resources. They also should innovative and creative. If they lack the capabilities in this respect, they may choose the strategy of *fast imitator businesses*, i.e. await innovation by the competitors and follow their lead quickly. This alternative is preferable by the firms reluctant or not having the needed resources and skills to innovation. Their advantage is in another crucial aspect – segmentation of the market or better access to the customers. Such firms become more aware in listening or discovering the customer needs, then find the way to respond by acquiring the products from the leaders of innovation (Fitzroy *et al*, 2012: 327-328).

Innovation and research and development (R&D) as the driving force to business success are associated with risks and costs. Like in any industry, innovation and R&D in products and services of organic food are a critical issues that involve selection and processing a broad array of organic groceries, fruits, vegetables, and proteins (Godsay, 2010: 22). Risk factors can also be internal. In a typical case of food industry, such risk may be passed to the consumers' health when the food does not meet the needed requirements or its consumption causes health concerns. Food sector is a regulated industry undergoing intensive control of quality by the institutions in charge of monitoring their quality.

The restaurant of organic food is located in the city of Tetovo, the main urban center of the Polog region. The restaurant was established and registered in 2013 as a Joint Stock Company, with 3 co-owners and run by the management. In the first year, the building in which the (first) restaurant was located and operating, was rented for a total cost of €30.000. Total space of the facility is 160 square meters consisting of 100m² indoor, 40m² outdoor and 20m² kitchen facility. The initial investment was around €100.000, of which €70.000 went for renovation and the remaining to run the business in the first three months. More details are provided in Appendix.

Within the first year of operation, the restaurant's first strategic action was to create a value, the value which rests on its mission to provide specific local organic food that currently is scattered in different forms in the market, and plans to assemble it with the aim of becoming exclusive. There is already an abundance of labor force who are women preparing organic food at their homes for their family members, thus there is no need to spend much in this specialization.

Findings and discussion from the case study

To begin with capabilities and competitive advantage, it should be noted that the restaurant makes a significant contribution in satisfying the consumer needs that are on the rise in Macedonia (and elsewhere in the world) by first being located in the city where the largest potential customers of the Polog region live. This is the *value* as internal factor to build a competitive advantage.

Scarce is explained by very limited competition in this kind of food from the rest by not mixing organic food with others. It is a new strategy of shifting away causal and scattered supply of traditional organic food into a more concentrated business by using modern management and environmental friendly technology.

Apart from providing fast hot food in the restaurant itself, the firm has the the services for fast delivery of organic in the surrounding buildings whose employees may not have sufficient time during breakfast and lunch time. Telephone lines are open for customers to order food for delivery in their offices and/or working places in a distance of up to 500 meters from the city center where the restaurant is located. This is a different service and experience with the products that other firms do not yet share or have it organized.

Although the competitors offer and sell similar products, the restaurant is *non-imitable* in a sense that it uses different routes of supply that is exclusively local to produce the food. The competitors' resources which they use in producing similar food are largely imports from other countries whose origin often remains uncertain as customers usually neither ask where the raw materials are provided from, nor if the base of the food they eat has been subject to conventional farming.

The restaurant is using the initial competitive advantage for a *sustainable* business in the future. Consumption of organic has long time ago been familiar in Macedonia and will be in the future. As long as organic food is friendly to the environment, its rate of sustainability is higher and lasts longer than in many other industries because, if the people may refrain themselves from the noise of the cars and their gas emissions, they cannot abstain from food consumption.

This business is *appropriable* as it can appropriate the returns that its capabilities deliver. How this can be explained? The restaurant captures the benefits of its capability in terms of competitive advantage, a part of which are also shared with employees, suppliers and customers. Profit as the primary appropriation goes to the firm. The network of relationships with the customers will mostly go through employees and chefs, not the firm.

Dynamic capabilities of the restaurant in the initial phase may not be a guarantee for success in the future in a fast changing market and environment, but as the competition is weak, current capabilities implies that a particular process has been standardised as a routine that other competitors will find it harder to attain. One of the most useful tools the restaurant as a company will use to assess the capabilities and analyzing business unit, is the *value chain* or the activities that the restaurant has chosen to compete. These activities involve costs, and the pressure to lower them. One way of doing so is through economies of scale, i.e. increasing the network and quantity of food to diminish costs per unit. As figures in appendix suggest, in the first year the restaurant had higher costs which gradually decreased the following years as a result of getting stronger position in the market.

New entrants can pose a barrier. Current businesses may expand their activities, a potential barrier to new entries. The barriers to entry in the market can change depending governmental regulations and licensing. Substitutes are the products akin to others within the industry already produced. The reason why substitutes are offered by the firm and consumed by the customers may be either cheaper prices or non-availability of the original products. The purpose of substitutes is to increase the firm's competition in the market where it cannot compete with the same product. Local specific organic produced food by the restaurant is attractive to industry as long as it finds the way to the market. Of particular relevance are the laws regulating organic food and related to gastronomy. The competitors are mainly the bakeries and workshops offering organic food but at the same time they do offer a lot more conventional. This is what can be considered as multi-industry or network competition that can represent some limitations for new entries.

Porter's five driving forces referred to earlier part in the case of the restaurant in Tetovo have the following explanations as findings:

Industry and competitors: food industry if growing and will continue this trend in the future. The main competitors are bakeries and the shops that do offer the same products (food) like the proposed restaurant.

Pressure from substitute products: include the large self-production and consumption by the families at home. The distinct feature of the restaurant to gain competitive advantage is to produce such a food for commercial/business purposes on daily basis, which is not possible by the families.

Bargaining power of suppliers: the restaurant will acquire the organic raw material directly from private households (milk cream, cheese, corns, fruits and vegetables) where we can check whether their farming is organic.

Bargaining power of buyers: the customers frequent the places where they can get certain organic and traditional food. At the restaurant they will have available all of them, thus in case they are not sure what exactly want to eat, they are more likely to chose the restaurant as they are sure it offers a greater variety.

Potential entrants: these are existing businesses (bakeries, certain restaurants) that may adopt their business strategy as well as new one like us. We have no information if someone is on the way to open this kind of restaurant, but if it is, we plan to maintain the leading position.

Of all products, food has the largest number of substitutes, especially when we think of just eating not to remain hungry. The challenge is with different kind of food and diets the customers like. With the increased need among the consumers for local organic food, the competitors may begin working in a similar strategy by offering substitutes at cheaper prices. A partial protection is the restaurant's application for licenses to certify many products with a detailed description how they are prepared and is branding all of them.

As the table in annex shows, gross sales, net sales, and gross profit constantly rose in the next three years. This may be in part of also rising prices of food, as measured by the Consumer Price Index (CPI). The CPI rose steadily since 2008, reaching 111.21 Index Points in June 2013 (the year in which the restaurant was established as a company), and dropping a little 109.55 Index Points (World Bank, 2016).

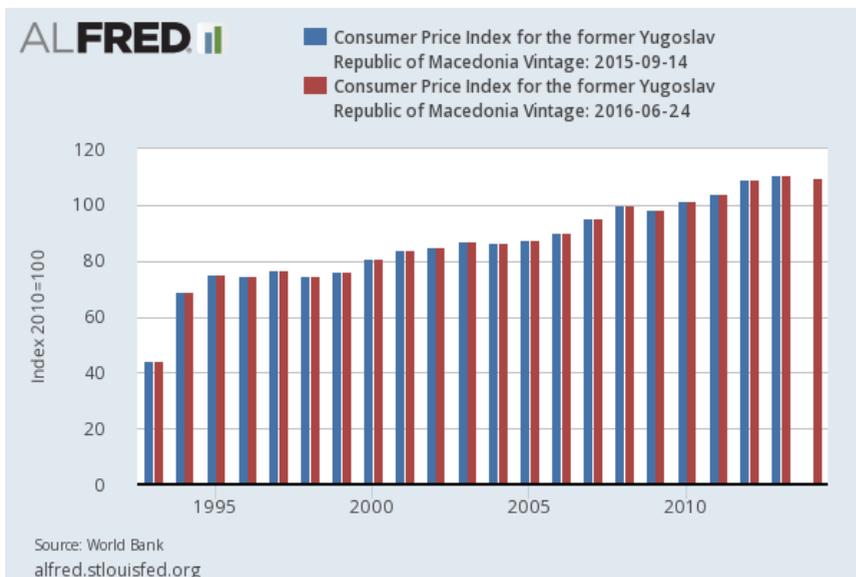


Figure 1: Consumer Price Index for the Republic of Macedonia, 1994 – 2015.

The general trend of rising food prices in the Republic of Macedonia, like in many parts of the world referred to earlier, acts as an incentive to entry this business. It was this incentive and the motive to make profit of three founders of the company in Tetovo dealing with manufacturing and serving of organic food. Total expenses by the end of the third year diminished by a factor of around 3 compared to the base year when they were very high as a result of starting up. The drivers of change will be to respond to the consumer behavior and habits. The response measures, depending on the success of the base in Tetovo, to open affiliations in other cities of Macedonia and use advertisements as part of tourism development. At present were unable to deduce the timing of these changes.

The restaurant is very attractive to the food industry as it brought a new way how organic food specific to a country can be channeled to the market for commercial purposes. It has begun to diversify the market for fast food which currently is dominated by bakeries, kebabs, hamburgers that can be found in every corner of Tetovo. In such a saturated market the customers are looking for alternatives which the restaurant is on the way to provide. Apart from customers, the restaurant under consideration rests on organic farming and processing that does not contribute to environmental pollution which is becoming a concern in modern times. The attractiveness if using local resources in producing and selling of organic food is also justified by the fact that Macedonia is large importer of food that is often associated with remarks by the customers and state controlling authorities as causing health concerns, e.g. importing of the meat whose analysis have frequently raised the concern of quality such as too conventional and even genetically-modified but without indicating in the label.

Conclusion

The demand for food in the Republic of Macedonia, like in any other countries, is increasing as are also increasing its prices. Businesses in food sector and consumers become aware in search of the food that brings more benefits on both sides. Organic farming and food is more preferred as it is healthier and ecologically accepted. As the prices rose sharply in recent year, it is an opportunity to engage in a business by opening a restaurant to offer exclusively organic food. The Polog region in the Republic of Macedonia has many such exclusive local organic foods that previously were produced at home by the families for self-consumption. However, these specificities are finding the way to the market through bakeries and various shops. The decision to open a restaurant of this type of food in the city of Tetovo was made after the founders found that a number of consumers on the rise, with a plan to expand its network of affiliations. They invested their own capital and are getting the return on investment.

Market segmentation is currently focused in one city as a testing experience. There is a risk from new entries, but mainly in already existing market structure through bakeries and fast food shops. To gain a comparative advantage over these rivals, the restaurant in Tetovo is working on getting the certificates for many of the products with its own recipe and establish brands for each of them. The recipe then can be exported abroad to open similar restaurants, just as some well-known have done with their own.

The five forces as a model of competition, strategic actions, KSFs, drivers of change and attractiveness to industry revealed many advantages that the organic food restaurant has over its current and potential competitors. This does not imply that entering such a business is an easy task and the success is ahead. Possible changes should be carefully examined and managed. The exclusive restaurant of organic food in Tetovo should consider alternative strategies how to maintain the current leader position.

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Appendix: Key indicators of the organic food restaurant in Tetovo

Joint Stock Company (register)

3 co-owners

Renting Location in Central Tetovo – Annual €15.000

Indoors 100 m² + outdoor 40 m² + kitchen facility 20 m² (total 160 m²)

Funding: €100 000 (each co-owner 33%)

Initial Investment: €100 000 (70,000 renovation+30,000 to run business in initial 3 months)

First year estimated expenses: ~€120,000 (e.g. monthly ~€10,000)

| | | |
|-------------------------------|--------|--------|
| 1 Manager – 1200 | €1 000 | |
| 2 Chefs – (2 x 8000) | €1 600 | |
| 4 Chefs assistant (4 X 400) | €1 600 | |
| 4 Full time waiters (4 x 300) | €1200 | |
| 1 Oart time waiter (1x 200) | €200 | |
| 3 Bartenders (3 x 350) | | €1 050 |
| Accounting services – 200 | €200 | |
| Cleaning Service – 200 | €200 | |
| Utilities bills – 400 | €400 | |
| Maintenance - 200 | €200 | |
| Rent | | €1 200 |

First year turnover: €130,000

Meal served daily (average): 120 (€720)

Average Price of meals: 6€

Different soft Drinks served Daily Including coffee) : €600

Average Price of drink: €1.5 € (€900)

Different Alcoholic Drinks served Daily: €200

Average Price of drink: €2.5 (€500)

Average Total Turnover daily: €2 120

Average Operating Days/Monthly : 26 days

Average Monthly Turnover: €55,120.00

Average Turnover Yearly: €661,440.00

Average Expenses Monthly: €10,000.00

Cost of Goods sold:

| | |
|----------------------------|------------|
| Meals Approx: €3 | €360 |
| Non Alcoholic Drinks: €0.7 | €420 |
| Alcoholic Drinks: €1 | €500 |
| Daily Cost of Goods Sold: | €1280 |
| Monthly COGS: | €33,280.00 |
| YEARLY COGS: | 399,360.00 |

Monthly Dispersion: €661,440.00 / 12 = €55,120.00 Monthly

Income statement (in €)

| INCOME | 2013 | 2014 | 2015 |
|------------------------------------------|--------------|------------|--------------|
| GROSS SALES | 659,400.00 | 839,740.00 | 1,000,577.00 |
| Returns and Allowances | 21,3507.00 | 24,8469.30 | 30,575.00 |
| NET SALES | 445,893.00 | 591270.70 | 970,002.00 |
| Cost of Goods Sold | 206,596.90 | 250,375.00 | 304,613.0 |
| GROSS PROFIT | 439,296.10 | 440,895.70 | 665,389 |
| EXPENSES (General/Administrative) | | | |
| Salaries and Wages | 85,720.00 | 92,200.00 | 98,320.00 |
| Employee Benefits | 4,680.00 | 4,750.00 | 5,316.00 |
| Payroll Taxes | 4,680.00 | 4,770.00 | 5,200.00 |
| Accounting Services | 2,300.00 | 2,350.00 | 2,530.00 |
| Cleaning Services | 2,300.00 | 2,400.00 | 2,400.00 |
| Maintenance | 175,000.00 | 1,750.00 | 1,750.00 |
| Rent | 13,450.00 | 13,450.00 | 13,450.00 |
| Marketing and Advertisement | 4,750.00 | 4,800.00 | 4,000.00 |
| Security | 2,400.00 | 2,400.00 | 0.00 |
| Utilities | 4,000.00 | 4,600.00 | 4,750.00 |
| Telephone Service | 1,100.00 | 1,000.00 | 0.00 |
| Insurance | 1,650.00 | 1,800.00 | 2,000.00 |
| Office Supplies | 955.00 | 860.00 | 880.00 |
| Postage and Shipping | 655.00 | 630.00 | 600.00 |
| TOTAL EXPENSES | 303,640.00 € | 137,760.00 | 98,320.00 |
| NET PROFIT | 133,474.42 | 50,888.88 | 183,864.02 |

Rural Revitalization and the Village Institutes Experience in Turkey (1940-1954)

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Abstract

This research evaluate on the Village Institutes experience in Turkey from the early 1940s to the 1950s. There is now a new interest in the organization and functioning of the “*Village Institutes*” which were in operation in Turkey. This study purpose is to describe how the Village Institutes were created, how they were organized and functioned, and what were the results of this experiment partly built on the precedent of the urban normal schools. Finally, a new theoretical interpretation is offered within a critique of existing, widely-held explanations that have dominated the theoretical literature on the issue for so long.

Keywords: The Village Institutes, Turkey, İsmail Hakkı Tonguç, Rural Development.

Introduction

After Turkish National Movement, Mustafa Kemal Atatürk transformed the core of the last great empire into a modern state. The Turkish Revolution of the 1920's and 1930's may well be considered the most wonderful revolution of modern periods. In that time, Turkish intellectuals were awakened to the problems of rural Anatolia experiences. (Makal, 2005: 52) As early as 1920 when Atatürk was thought merely a rebellious general. He started propagating the notion of a special educational program for the Turkish villages. (Stone, 1974: 419) In 1922 Atatürk asserted that the educational policy of the country must be the education of the peasant. At last, in 1923, the establishment of the Republic provided conditions in which a development of education might really be expected. (Verschoyle, 1950:60) Atatürk also indicated the need to place both primary and secondary education under the authority of the Ministry of Education. Between 1923 and 1933, the number of normal schools on elementary level, had risen from twenty to only twenty-five, and the total number of teachers from 4.8 thousand to nineteen thousand. Over 80 per cent of the population was, and is, contained in some 40.000 villages, 32.000 of which comprise under 400 people each, with less than 150 inhabitants in each of 16.000 villages. At that time there were in all about 3,200 primary schools, with 5.600 primary teachers. Thus, the ultimate goal must have appeared almost impossibly distant. (Verschoyle, 1950:60)

In that case, Turkish leaders have struggled with the problem of rural revitalization. After considerable debate, their concern led to a government-sponsored program of Village Institutes designed to improve the Anatolian peasant. Although in 1948 this program was abandoned by the ruling Republican People's Party, the debate over the value of the Village Institutes has continued. This article seeks to examine the debate ganization and which has followed their demise. (Stone, 1974: 419)

General Background of The Village Institutes

The establishment of the Republic procured conditions in which a development of education might really be expected. At last, in 1927, Out of a population of 14 million, only a little more than 1 million could read. Thus, the ultimate goal must have appeared almost impossibly distant.

In 1931, the third congress of the People's Party adopted an educational programme of eight points:

The foundation stone of our educational policy is the removal of ignorance.

Our aim is to raise strong republican, patriotic, and worthy citizens.

Both the bodily and mental development of our children shall be inspired by our glorious history.

Education must equip the citizen for material success in life.

Education shall be nationalistic and patriotic, free from all superstition and foreign ideas.

Sympathetic care of the pupil shall be united with firm discipline and moral teaching.

Great importance shall be attached to Turkish history.

In every village there shall be a primary school, which shall include in its curriculum the teaching of hygiene and of appropriate agricultural and technical subjects. (Verschoyle, 1950: 60)

Turkish intellectuals feel that such organizations could be helpful to those “new countries” which have to create from nothing the whole system of elementary education in regions which are dominantly rural. Especially, they were awakened to the problems of rural Anatolia experiences during World War I. (Öztürk, 1996: 125) Some of them were to modernize the social relations, to bring an end to poverty and ignorance among the peasants, to create peasant intellectuals, to increase agricultural productivity and to help spread the Kemalist Revolution in the countryside. (Karaömerlioğlu, 1998: 47) In addition, the overall economic conditions, particularly in agriculture, continued to deteriorate owing to the global negative effects of the Great Depression. (Thornburg, 1949:359)

At that time, it had not been for the poor financial structure mechanization might have been a solution to improve agricultural production. In 1936 Hakkı Tonguç, the Director General of Primary Education, was carrying out a tour of inspection in the province of Kayseri. (Verschoyle, 1950: 60-61) The Village Institutes embody an educational attempt made in Turkey between 1937 and the mid-1940s to transform the Turkish countryside. Two years later Hakkı Tonguç was ready to develop his scheme into the much more comprehensive design for training primary teachers, which is embodied in the village institutes. (Akyüz, 2001: 353-355) Officially, it began in 1940 although experimental studies started in 1937. The Institutes continued until early 1950s, but the original phase of the Village Institutes ended in 1946 with the withdrawal of Hasan Ali Yücel from the Ministry of Education and Hakkı Tonguç. A new interest in the organization and functioning of the “Village Institutes” which were in operation in Turkey between 1940 and 1950.

There were many expectations from these institutions for the development of rural Turkey. (Uzman, 2013: 197) The teacher’s duties to the community come under two headings: his duty to the school itself, and his duty to village life. One of the secrets of success of the village institute system is that it was prepared especially to suit national needs, and not just copied from training methods employed in any other country, in the realization from the first that an entirely new type of teacher and a new method of training were alike necessary.(Kaya, 1984: 193) For many, it was their first contact with peasants. Some of them were to modernize the social relations, to bring an end to poverty and ignorance among the peasants, to create peasant intellectuals, to increase agricultural productivity and to help spread the Kemalist Revolution in the countryside. (Karaömerlioğlu, 1998: 47) Though there was a consensus in the beginning among the ruling circles as to what should be the goals of the Institutes, the actual historical experience turned out to be extremely controversial. The Village Institutes became one of the major foci of political and ideological debate in Turkey, especially in the 1950s and the early 1960s.(Szyliowicz, 1966: 272-273)

Table 1. Number of Students per Primary School, Student, Teacher and Teacher in Primary Schools in Turkey (1923-1938)

| Teaching Period | Numbers of Schools | Number of Students | | | | | | | | | Number of Teachers | | | | | | | | | Number of students per teacher |
|-----------------|--------------------|--------------------|---|---|----------|---|---|--------|-------|--------|--------------------|---|---|----------|---|---|-------|------|-------|--------------------------------|
| | | In Village | | | In State | | | Total | | | In Village | | | In State | | | Total | | | |
| | | M | F | T | M | F | T | M | F | T | M | F | T | M | F | T | M | F | T | |
| 1923-24 | 4894 | - | - | - | - | - | - | 273107 | 62554 | 341941 | - | - | - | - | - | - | 9021 | 1217 | 10238 | 33 |

| | | | | | | | | | | | | | | | | | | | | |
|-----------------|----------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|----------------|--------------------|------------------|--------------------|------------------|------------------|------------------|------------------|------------------|---------------|----|
| 19 24- 25 | 59 87 | - | - | - | - | - | - | 30 13 81 | 88 98 7 | 39 03 68 | - | - | - | - | - | 10 48 0 | 3 3 4 2 | 13 82 2 | 28 | |
| 19 25- 26 | 59 75 | - | - | - | - | - | - | 31 38 93 | 92 89 5 | 40 67 88 | - | - | - | - | - | 10 44 5 | 3 8 6 4 | 14 30 9 | 28 | |
| 19 26- 27 | 59 95 | - | - | - | - | - | - | 34 89 78 | 86 58 5 | 43 55 63 | - | - | - | - | - | 10 86 4 | 3 3 6 7 | 14 23 1 | 31 | |
| 19 27- 28 | 60 43 | - | - | - | - | - | - | 32 56 95 | 13 39 69 | 46 19 85 | 95 53 | 3 0 8 1 | 12 63 4 | 1 3 9 5 | 1 1 6 5 | 2 5 6 0 | 10 94 8 | 4 2 4 6 | 15 19 4 | 30 |
| 19 28- 29 | 66 00 | - | - | - | - | - | - | 32 32 60 | 15 43 09 | 47 76 69 | 97 81 | 3 3 2 2 | 13 10 7 3 | 1 3 4 3 | 2 2 6 5 | 11 15 3 | 4 5 6 5 | 15 71 8 | 30 | |
| 19 29- 30 | 65 42 | - | - | - | - | - | - | 30 80 28 | 16 10 43 | 46 90 71 | 95 26 | 3 1 7 0 | 12 69 6 | 1 3 7 2 | 1 2 4 0 | 2 6 1 2 | 10 89 8 | 4 4 1 0 | 15 30 8 | 31 |
| 19 30- 31 | 65 98 | - | - | - | - | - | - | 31 50 72 | 17 42 27 | 48 92 99 | 10 07 8 9 | 3 4 8 6 | 13 56 2 7 | 1 4 2 5 | 1 3 2 5 | 2 7 4 2 | 11 50 4 | 4 8 1 0 | 16 31 8 | 30 |
| 19 31- 32 | 67 13 | - | - | - | - | - | - | 33 59 21 | 18 76 90 | 52 36 11 | 63 93 | 7 2 8 | 71 21 | 4 4 1 7 | 4 4 3 5 | 9 8 5 2 | 11 91 0 | 5 1 6 3 | 16 97 3 | 31 |
| 19 32- 33 | 67 78 | 20 38 22 | 99 15 5 | 30 29 77 | 16 22 03 | 10 20 81 | 26 43 84 | 36 61 25 | 20 12 36 | 56 73 61 | 61 71 | 7 1 0 | 68 81 | 4 2 6 9 | 4 9 1 4 | 8 2 8 3 | 10 44 0 | 4 6 2 4 | 15 06 4 | 39 |
| 19 33- 34 | 63 83 | 21 31 16 | 10 10 01 | 31 41 17 | 17 21 31 | 10 49 21 | 27 70 52 | 38 52 47 | 20 59 22 | 59 11 69 | 60 42 | 7 8 7 | 68 29 | 4 2 7 8 | 4 1 1 6 | 8 2 9 4 | 10 32 0 | 4 8 0 3 | 15 12 3 | 38 |
| 19 34- 35 | 64 02 | 23 87 89 | 10 91 17 | 34 79 06 | 18 80 09 | 11 14 45 | 29 94 54 | 42 69 78 | 22 05 62 | 64 73 60 | 60 96 | 8 2 8 | 69 24 | 4 1 2 0 | 4 5 7 8 | 8 1 7 8 | 10 21 6 | 4 8 8 6 | 15 10 2 | 43 |
| 19 35- 36 | 62 75 | 25 41 66 | 11 51 59 | 36 93 25 | 19 99 62 | 11 88 15 | 31 87 77 | 45 41 28 | 23 39 74 | 68 81 02 | 59 97 | 8 9 4 | 68 91 | 3 9 9 9 | 4 0 5 9 | 8 0 5 8 | 99 96 | 4 9 5 3 | 14 94 9 | 46 |
| 19 36- 37 | 62 02 | 26 45 03 | 11 61 47 | 38 06 50 | 20 92 17 | 12 43 11 | 33 35 28 | 47 37 20 | 24 04 58 | 71 41 78 | 59 67 | 9 1 9 | 68 86 | 3 8 3 | 4 0 5 3 | 7 8 9 1 | 98 05 | 4 9 7 2 | 14 77 7 | 48 |
| 19 37- 38 | 67 00 | 28 74 66 | 12 13 15 | 40 87 81 | 22 24 83 | 13 34 27 | 35 59 10 | 50 99 49 | 25 47 42 | 76 46 91 | 66 15 | 1 6 8 8 | 83 03 | 3 6 3 4 | 3 6 0 4 | 7 2 3 8 | 10 48 3 | 5 2 9 2 | 15 77 5 | 48 |

Source: (MEB Talim ve Terbiye Başkanlığı, 1987: 8).

Institute Students

By 1935, when the number of primary schools had risen only to 5,000, with 7,000 teachers and 370,000 pupils, it had become clear that some entirely new method of educational expansion was necessary if the country were ever to be properly equipped with teachers and schools.(DİE, 1967: 32-35) Fortunately for Turkey, a man with the necessary organizing ability, drive, and personality was at hand to launch what was really a revolutionary scheme. This scheme is undoubtedly one of the most important developments in the country. Candidates for admission to the village institutes are chosen by examination from those who have completed the five-year course at a primary school in the area covered by the institute, the age limits being 12-16 years.(Tonguç, 1939: 1)

There were fourteen Institutes the first year, 18, in 1943, twenty in 1944, and 21 in 1948 until the Institutes were established.

Table 2. Located production units in the countryside

| Name of the Institute / City | Establishment Years | Field of the Institute |
|-------------------------------------|---------------------|----------------------------------|
| 1.Çifteler-Eskişehir | 1937 | Afyon, Kütahya, Uşak, Konya |
| 2.Kızıllı-Izmir | 1937 | Manisa, Denizli, Aydın |
| 3.Keçirtepe-Kırklareli (Lüleburgaz) | 1938 | Edirne, Tekirdağ |
| 4.Gölköy-Kastamonu | 1939 | Çankırı, Çorum, Zonguldak, Sinop |
| 5.Düziçi-Adana (Haruniye) | 1940 | Maraş, Gaziantep |
| 6.Arifiye-Kocaeli (Izmit) | 1940 | Bursa, Bilecik, İstanbul, Bolu |
| 7.Aksu-Antalya | 1940 | Muğla, Mersin |
| 8.Savaştepe-Balıkesir | 1940 | Çanakkale |
| 9.Gönen-Isparta | 1940 | Burdur |
| 10.Cılavuz-Kars | 1940 | Artvin, Ağrı |
| 11.Akçadağ-Malatya | 1940 | Tunceli-Elazığ |
| 12.Pazarören-Kayseri | 1940 | Yozgat, Kırşehir, Niğde |
| 13.Akpınar-Samsun (Lâdik) | 1940 | Amasya, Tokat |
| 14.Beşikdüzü-Trabzon | 1940 | Ordu, Giresun, Gümüşhane, Rize |
| 15.Hasanoğlan-Ankara | 1941 | Ankara, Çankırı |
| 16.Ivriz-Konya | 1941 | Nevşehir, Niğde |
| 17.Pamukpınar-Sivas (Yıldızeli) | 1941 | Erzincan |
| 18.Pulur-Erzurum | 1942 | Bingöl |
| 19.Ortaklar-Aydın | 1944 | Denizli |
| 20.Dicle-Diyarbakır (Ergani) | 1944 | Urfa, Mardin, Bitlis |
| 21.Ernis-Van | 1948 | Hakkâri |

Source: (Türkoğlu, 2005:176-177)

In the early days of the institutes primary schools were very rare, and entrance was by nomination. The number of students enrolled (in parentheses the number of women included in the total) was 2,490 (235) in the first year.

Table 3. Development of Institutes

| Lesson Period | Number of Institutes | Number of Teachers | Number of Students | | Total | Number of Graduates | |
|---------------|----------------------|--------------------|--------------------|--------|-------|---------------------|----------------|
| | | | Male | Female | | Teacher | Health Officer |
| 1937-1938 | 2 | 12 | 128 | - | 128 | - | - |
| 1938-1939 | 3 | 25 | 325 | 16 | 341 | - | - |
| 1939-1940 | 4 | 40 | 1074 | 107 | 1181 | - | - |
| 1940-1941 | 14 | 234 | 4933 | 438 | 5371 | - | - |
| 1941-1942 | 17 | 294 | 6987 | 705 | 7692 | 103 | - |
| 1942-1943 | 18 | 354 | 8834 | 837 | 9671 | 254 | - |
| 1943-1944 | 18 | 368 | 11563 | 1276 | 12839 | 1911 | - |
| 1944-1945 | 20 | 487 | 12761 | 1475 | 14236 | 1797 | 221 |
| 1945-1946 | 20 | 505 | 13068 | 1396 | 14464 | 1460 | 252 |
| 1946-1947 | 20 | 547 | 12822 | 1336 | 14158 | 2089 | 228 |
| 1947-1948 | 20 | 642 | 11814 | 1078 | 12892 | 2162 | 336 |
| 1948-1949 | 21 | 209 | 11244 | 773 | 12071 | 2269 | 220 |
| 1949-1950 | 21 | 672 | 13251 | 721 | 13972 | 1741 | 91 |
| 1950-1951 | 21 | 597 | 13322 | 773 | 14095 | 1760 | - |
| 1951-1952 | 21 | 570 | 12647 | 706 | 13173 | 1795 | - |
| Total | | | | | | 16894 | |

Source: (DiE, 1967: 32-35, 41,47).

As can be understood from the table, it is noteworthy that there is a steady increase in the number of students, both in the number of institutes opened and in the number of students, from the establishment process to the closing process of the institutes. The highest number was 14,236 between 1945-1946, and the lowest between 5371 in 1940. The number of diplomas awarded each year varied from a low of 103 to a high of 2,269 in 1948-1949. The total of diplomas given was 16,894. During the first five years the Institutes had built more than 300 buildings such as dormitories, refectories, kitchens, workshops, warehouses, garages, class-rooms, etc. They had installed electricity in sixteen of their twenty-one centers. By the time 1952, 21 institutes, 17,341 teachers, and 1348 health officers had graduated to the rural development as a graduate, through the institutes, with a remarkable progress in the schooling process and education-training struggle in the villages.

The Curriculum

In the first three years (1940-1943) there was no definite curriculum in the Institutes. The teachers received only general instructions and some examples of programs in their specialty, but the details of the curriculum were left mostly to their initiative. The amount of time allotted to each branch per semester was 114 hours for general education; 58 hours for agriculture; and 58 hours for technology. After three years a detailed curriculum was elaborated assigning a specific number of hours per year for each subject. Given below is the total number of hours for the five years showing the relative importance attributed to the different subjects. (Kaya, 1984: 194) The old proportion was maintained for the three great branches: General Education (50 per cent); Agriculture (25 percent); Technology (25 percent). The following subjects were taught under General Education (Culture): Turkish, 736 hours in 5 years; History, 328; Geography, 236; Civil Education, 92; Mathematics, 598; Physics, 276; Chemistry, 184; Biology, 368; Foreign Language, 414; Penmanship, 92; Painting, 214; Physical Education and National Folklore, 184; Music-instrumental and vocal, 460; Military training, 368; Rural Economics and Cooperative Organization, 46. Greatest importance was allotted to Mathematics and Foreign Language among the variety of subjects in this curriculum. (Tonguç, 1947: 561-562) In Agriculture (with some local variants the following subjects were taught: field-work, industrial cultures, zootechnology aviculture, apiculture, silk worm culture, fishing and pisciculture. Also taught were technology: Iron work, wood work-masonry-mechanics, elements of electricity, and specialties for women in field and housework, child-rearing and others. (Vexliard and Aytac, 1964:44-45)

Education For Production

The main function of the village institute is to train the primary teacher. Hitherto the training course has covered five years, with a nominal 44-hour week and six weeks' holiday in the year, but it is now proposed to extend it to six years. Half of the working hours are spent on purely practical subjects, equally divided between agriculture and, for the boys, building, carpentry, and blacksmithing; for the girls, spinning, weaving, tailoring, and sewing. The other half of the working hours are devoted to essential book knowledge: Turkish language, history, geography, and arithmetic. There is considerable elasticity in the programme in view of the seasonal nature of much of the work; and during each of the last two years of the course at least a month is spent on some simple research into aspects of village life. (Verschoyle, 1950: 62) An educational programme focusing on work, therefore, became an important objective, and the Village Institutes were set up to achieve this goal. While the principle of 'education for work', or 'education for production' became the main motivation, the method of 'learning by doing' accompanied it. (Kafadar, 1997: 305) In all the memoirs of the graduates of the Village Institutes and in all the institute publications, we see that the method of 'learning by doing' was one of the most highly emphasized principles. (Karaömerlioğlu, 1998:57) commanded priority. The need for a qualified labour force, particularly in the countryside, pressing. An educational programme focusing on work, therefore, became an important objective, and the Village Institutes were set up to achieve this goal. (Tonguç, 1944:1-2) This education system at that time produced than the public and private sectors could employ. More important, was that these graduates had not acquired the necessary practical skills the economic life of the country. (Kirby, 2012:58)

The teacher's duties to the community come under two headings: His duty to the school itself, and his duty to village life. Under the first heading, he is responsible for the lay-out and work of the farm and garden attached to the school; for all teaching, both indoors and outdoors; for the health of his pupils; and for a proper blending of new ideas with old traditions. Under the second heading, he is to take every possible part in village life. He must organize ceremonies on national holidays; run the school farm as a model farm; help to protect forests, where these exist; preserve and repair ancient buildings; promote sports; share in all rejoicing and in all mourning; fight against drink, gambling, and other vice; and, in sum, raise the level of village culture, not by preaching and mere advice, but by active co-operation. (Verschoyle, 1950: 61)

Conclusions

It is now possible to suggest this conclusions. The Village Institutes operated from 1940-1941 to 1949-1950. In Turkey, the rural revitalization preceded the establishment of the Village Institutes. Among the advocates of the Village Institutes there is also considerable variation. Some recall the era of the late 1930s and the early 1940s with nostalgia, but they admit that the noble experiment was aborted and cannot be re-initiated. Others take a more militant position. Not only do they support re-opening the Institutes, but they also insist that the entire Turkish school system ought to be thoroughly reformed in light of the Village Institute experience. So it is possible to conclude that Turkish education will continue to adhere to conventional patterns.

Alternative approaches to rural revitalization and national development might again make a major impact on the Turkish educational scene. We can say that the Village Institutes were truly an original Turkish creation. Yet it is not at all certain that the same solution would still be profitable now, twenty years later in the same country, when the pace of industrialization and urbanization is much more rapid. In that case, Village Institutes did supply a solution for a country dominantly rural which didn't expect overnight to shift into an era of industrial prosperity.

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Creative Capability, Personality and Innovative Output at the Team Level

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Abstract

Despite the wide use of teams for innovative tasks and promising potential benefits of teamwork, much about the determinants of team creativity and innovativeness is still unknown. This study investigates how the team members' personality moderates the relationship between team creative capability and innovative team output. We analyzed a total of 75 student teams that were instructed to develop innovative business ideas for their term project. While we used subjective measures for team personality, objective assessment methods were used to assess team creative capability. Unlike at the individual level, our results show that extraversion and agreeableness positively moderate the relationship between team creative capability and innovative output. Our findings highlight the important role that the social context plays in teamwork. Moreover, it shows that certain factors can have a strikingly different, or even opposite effect at the team level than they do at the individual level.

Keywords: Team creativity; personality; innovative output; agreeableness; extraversion, Creative capability, Personality and Innovative Output at the Team Level

Introduction

Creativity and innovation have become vital for most organizations' success and survival (De Stobbeleir, Ashford, and Buyens, 2011; Gupta and Banerjee, 2016; Madjar, Oldham, and Pratt, 2011). Over the past few decades, a great number of studies has attempted to answer how to increase or maximize creative and/or innovative output (e.g., Anderson, Potočnik, and Zhou, 2014; Kaufman and Sternberg, 2010). While most previous studies have focused on an individual level, they unintentionally ignored that people in organizations rarely generate ideas in isolation (Garfield, Taylor, Dennis, and Satzinger, 2001; Macht and Nembhard 2015). Due to the expectation that a group of individuals, rather than individuals themselves, can provide a wider pool of knowledge and perspectives, more and more organizations rely on work teams especially for demanding tasks (Drach-Zahavy and Somech, 2001; Hoever, Van Knippenberg, van Ginkel, and Barkema, 2012; Kristof-Brown, Barrick, and Stevens, 2005; Paulus, 2000). However, despite these developments, creativity research at the team level is still fairly limited. Our study aims to bridge between individual and the team level creativity research by analyzing how individual factors of team members influence a team's innovative output. More specifically, how does personality affect the relationship between team creative capability and innovative output in the social context of teamwork?

As Taggar (2002) has pointed out, little is still known about the factors that determine a team's ability to effectively use individual creative resources. In particular, team level processes are yet the least developed part of the organizational creativity literature (Bissola and Imperatori,

2011; Kutzberg and Amabile, 2001). Even multi-level frameworks did not pay sufficient attention to the issue of how individual components affect collective creativity (Bissola and Imperatori, 2011). Previous research has also shown that teams promote creative synergies and can thus produce results that exceed those that the members could have created on their own (Baer, Oldham, Jacobsohn, and Hollingshead, 2008; Kutzberg and Amabile, 2001; Taggar, 2001). On the other hand, malfunctioning team processes can also lead to high coordination costs among team members, such as time-consuming communication and delayed decision making.

These complex influences of team dynamics definitely require further research to better understand how creativity works at the team level.

When we consider team dynamics and team work, team member personality has continuously been found to play a crucial role in creative work (Kaufman and Sternberg, 2010; King, Walker, and Broyles, 1996; Woodman, Sawyer, and Griffin,

1993). Quite surprisingly, though, there has been barely any research on how these two factors are interrelated at the team level. As personality determines a person's social behavior, and social behavior in turn affects a team's ability to use individual resources and capability (Madjar et al., 2002; Raja and Johns, 2010; Taggar, 2002). In addition, it is quite natural to expect that team member personality may significantly moderate the relationship between inputs and outputs of team work. Furthermore, as team work requires different strengths and holds different challenges from individual work (Taggar, 2001; Woodman et al., 1993), we also need to expect that team member personality may function quite differently at these two levels. In fact, at the team level the traits extraversion and agreeableness might even exert an effect opposite to that found at the individual level. Our study

aims to clarify how the personality of team members moderates the relationship between team creative capability and innovative outcome.

To investigate both individual and team-level creativity, most previous studies only relied on subjective assessment methods to measure individual creativity. However, previous studies reported that subjective assessment methods, compared to objective assessment methods, are often subject to various biases, such as illusory superiority, leniency biases and social desirability biases, especially in social settings. Unlike previous studies, our study relies on objective methods to measure both individual creativity and team output. We analyzed the output of a total of 75 teams from 2011 to 2016. Our results show that agreeableness does indeed take a different effect at the team level than it does at the individual level. Our study, thus, makes a meaningful contribution to the creativity literature by advancing the understanding of team creativity and highlighting the important role that the social context plays in teamwork. We further discuss implications and limitations of our research.

THEORY AND HYPOTHESES

Over the past 40 years, increasing interest in organizational creativity and innovation has driven both scholars and practitioners to build up empirical studies to better understand how creative processes work and how idea generation can be facilitated and maximized (Anderson et al., 2014; Kaufman and Sternberg, 2010). Previous studies most commonly defined creativity as "the production of novel and useful ideas by an individual or [...] group of individuals working together" (Amabile, 1988, p. 126). Recently, however, researchers have argued that creativity is not only an outcome but also a process. For a comprehensive understanding of creativity, it is

necessary to further examine "the journey toward possibly producing creative outcomes or improving overall performance through the engagement in creative acts, regardless of whether the resultant outcomes are novel, useful or creative" (Gilson and Shalley, 2004, p. 454). Previous studies clearly showed that employee creativity can make great contributions to organizational innovation, effectiveness and survival (De Stobbeleir et al., 2011; Shalley, Zhou, and Oldham, 2004), ranging from minor adaptations to radical breakthroughs (Madjar et al., 2011). In fact, creativity can be seen as a first step in the innovation process. As creativity is defined as the generation of novel and original ideas and innovation refers to their implementation (Gupta and Banerjee, 2016), creative processes ultimately result in innovative output.

Previous studies have mainly investigated creativity at three different levels: the individual level, the team level, and the organizational level. While limited, there have also been some attempts to combine these different approaches in multi-level analyses (Anderson et al., 2014; Woodman et al., 1993). Despite the growing importance of teams in most modern organizations (Drach-Zahavy and Somech, 2001; Kristof-Brown et al., 2005), most research of creativity has focused on the individual level (Shalley et al., 2004). In fact, research at the team level is still the least developed area in the organizational creativity literature (Bissola and Imperatori, 2011). Subsequently, more scholars have called for the need to examine the factors that determine creativity at the team level and provide an understanding of how collective creative processes work (Anderson et al., 2014; Macht and Nembhard, 2015; Kutzberg and Amabile, 2001).

A major aim of creativity research has been identifying the various antecedents of creativity (Anderson et al., 2014; De Stobbeleir et al., 2011; Gupta and Banerjee, 2016). According to the interactionist perspective, creativity is a complex product of a person's behavior in a given

social context (Woodman et al., 1993). This means that various personal and contextual factors

work together to influence the creative process and its outcomes. Specifically, creativity research has addressed four different areas: cognitive processes, the creative personality, behavioral elements, and environmental factors (Kutzberg

and Amabile, 2001). While previous studies have made significant progress in identifying potential antecedents, their empirical results on creativity are still somewhat conflicting (Anderson et al., 2014; Hülsheger, Anderson, and Salgado, 2009). Moreover, much about their interplay and their effects on different levels, especially on collective ones, is still unknown (Bissola and Imperatori, 2011; Macht and Nembhard, 2015).

Since certain cognitive skills are more effective to promote creative idea generation and produce innovative outputs than others (Taggar, 2001), different people might not have the same creative capability - in other words, "[...] some people are simply more creative than others" (Garfield et al., 2001, p. 322). Guilford (1950) was the first to specify distinct constructs that define individual creative thinking capability. He identified fluency, flexibility, novelty, synthesis, analysis, reorganization and redefinition, complexity, and elaboration as important skills for creative thinking. He argued that while everyone possesses these skills to a certain extent, very creative people simply have "more of what all of us have". Building on this argument, Amabile (1988) defined creativity-relevant skills more broadly. According to her they include a cognitive style favorable to taking new perspectives on problems, the application of heuristics to explore new pathways, a working style conducive to the persistent, energetic pursuit of one's work, and personal qualities, such as risk orientation and social skills. Subsequent research over the last few decades has successfully established the strong consensus that creative capability is a major determinant of innovative performance – not only on an individual but also on a collective level (Choi, Anderson, and Veillette, 2009; King et al., 1996; Kutzberg and Amabile, 2001; Taggar,

2001). For example, Taggar (2001) demonstrated that teams whose members have a high level of creative ability can produce more innovative output than teams whose members have a lower level of creative ability.

Recent studies further suggested that team creativity, unlike individual creativity, is not only a cognitive but also a social process (Garfield et al., 2001). This clearly distinguishes team creativity from individual creativity. Pirola-Merlo and Mann (2004, p. 239) pointed out that "Individual creativity can provide the raw material of novel and useful ideas, but [...] team member interactions and team processes play an important role in determining how this raw material is developed into group-level creativity." By sharing their ideas, providing feedback, discussing, and arguing, team members substantially influence each other's thinking and behavior (Barrick, Stewart, Neubert, and Mount, 1998; Madjar et al., 2011). Teams also constitute a social setting (Taggar, 2002) in which members collaborate, compete, and/or negotiate on a common task (Hoegl and Gemuenden, 2001; Paulus, 2000). They also understand, respond, and manipulate environmental contexts. Many studies that endeavored to understand team dynamics use the input- process-output model (e.g., Barrick et al., 1998; Woodman et al., 1993), which proposes that a variety of inputs – individual, team level, and environmental ones – jointly influence intragroup processes, which in turn affect a team's output.

While some scholars tried to explain team creativity by aggregating individual creativity (Pirola-Merlo and Mann, 2004), team creativity has been found to be much more than the "simple sum" of individual creative skills (Baer et al., 2008; Bissola and Imperatori, 2011; Woodman et al., 1993) By stimulating each other's thinking and building on each other's ideas team members can achieve creative synergies that enable them to produce superior ideas – ideas that the members could not have generated on their own (Baer et al., 2008; Taggar, 2001). This means that teams can

substantially elevate their members' creative potential. On the other hand, teamwork might also

lead to results that greatly underscore the sum of individual creative skills. In other words, team settings and social processes may cause much more costs than potential benefits (Kutzberg and Amabile, 2001). According to the theory of reasoned action, not all ideas that are generated by the team members are actually contributed (Garfield et al., 2001). During idea generation, teams tend to discuss and criticize their members' contributions (Paulus, 2000). These evaluations, together with team norms and a member's perception of the idea itself, can lead to the phenomenon of evaluation apprehension: a team member's unwillingness to state some of his ideas due to the fear of being negatively evaluated (Taggar, 2001).

In spite of potential downsides of team dynamics, sharing and building on each other's ideas is vital for a team's innovative performance (Gilson and Shalley, 2004; Kutzberg and Amabile, 2001; Richter, Hirst, Van Knippenberg, and Baer, 2012). In fact, one of the very reasons for the use of teams is the integration of diverse perspectives, knowledge, experiences and opinions (Drach-Zahavy and Somech, 2001; Hoegl and Gemuenden, 2001). The cognitive stimulation theory proposes that sharing novel ideas can trigger valuable avenues of thought that team member's might otherwise not have pursued (Taggar, 2001). As associations tend to follow the rule of similarity

individuals are usually think within certain boundaries. As the exposure to other members' creative ideas can enable individuals to look beyond these boundaries, teamwork has the potential to strongly enhance a team's idea generation, and ultimately its innovative output (Garfield et al., 2001; Gupta and Banerjee, 2016).

Therefore, well-functioning team dynamics are crucial for achieving team synergies and reaping the potential benefits of creative teamwork. Previous studies argued that personality strongly affects individual behavior in various situations (Madjar et al., 2002) and their reactions

to certain tasks (Kristof-Brown et al., 2005). Especially at the individual level, personality traits

have long been considered as a possible determinant of creativity (De Stobbeleir et al., 2011; Kaufman and Sternberg, 2010). While early studies could not agree on how personality should be defined and measured (Neuman, Wagner, and Christiansen, 1999), the introduction of the Five-factor model of personality finally led to more unity and provided a reliable framework that could empirically investigate the magnitude of personality traits (Neuman et al., 1999). The Five-factor model, or so-called "Big Five", divides personality into five broad categories: conscientiousness, extraversion, openness to experience, agreeableness, and neuroticism. A number of studies have analyzed how these five personality traits are linked to individual creativity. For example, it has been linked to creative ability (King et al., 1996), motivation (Sung and Choi, 2009), creative confidence (Baer et al., 2008), creative self-beliefs (Karwowski and Lebuda., 2015), and job scope (Raja and Jones, 2010). Other studies further examined how personality traits affect innovative output. For example, King et al. (1996) found that openness of experience and extraversion were correlated with creative ability and positively influenced creative accomplishments. Agreeableness, on the other hand, was found to be negatively correlated with creative accomplishments on the individual level (King et al., 1996).

While many studies investigated how personality interacts with several individual and contextual factors, most of these studies have focused on the individual level. Thus, only little is known about how personality interacts with other variables to influence innovative output at the team level. We argue that personality plays an important moderating role in the team context. Previous studies showed that personality substantially affects how individuals deal with contextual factors and how they behave in social settings (Madjar et al., 2002). They also suggested that personality has a big impact on how people respond to a certain task and a certain team (Kristof-

Brown et al., 2005), subsequently determining how team members interact (Kutzberg and Amabile,

2001). As such, we believe that personality plays a crucial role in team processes (Barry and Stewart, 1997) and affects how a team functions and performs (Baer et al., 2008; Neuman et al., 1999).

Previous studies showed relatively consistent results concerning the impact that the two factors extraversion and agreeableness have on individual creativity; while research on other personality factors displayed somewhat conflicting results (Barry and Stewart, 1997; Cuperman and Ickes, 2009; Kristof-Brown et al., 2005; Morgeson, Reider, and Campion, 2005). In addition, some studies suggest that these five factors are to some extent correlated with each other (e.g., King et al., 1996; Barrick and Mount, 1993). Recognizing that social behavior and social processes are highly important for all phases of creative team work, our study examined the personality traits extraversion and agreeableness as important moderators at the team level. Unlike previous studies which analyzed the role of personality traits on the individual level, we investigate personality traits as a significant moderator in the social context of teamwork. We expect that personality traits may have an entirely different impact on teamwork than they have on individual work.

Extraversion at the Team Level

Extraversion is a personality trait that is interpersonal in its nature and strongly related to the quality of social interactions (Barry and Stewart, 1997). Extraverts often are described as active and passionate, they have a high level of self-confidence, and are willing to take risks (King et al., 1996). Consequently, extraverts tend to actively engage with others and take the lead in conversations (Cuperman and Ickes, 2009). At the individual level, extraversion is positively associated with creative ability and performance (Karwowski and Lebuda, 2016; King et al. (1996).

However, we argue that in teams a high level of extraversion among members could have the

potential to create problems. A high level of extraversion among team members might hamper important team processes and thereby prevent teams from fully making use of their members' creative ability. Also Barry and Stewart (1997) and Neuman et al. (1999) suggested that teams that are homogeneous in extraversion may perform ineffectively.

While extraverts are very active in engaging with others, they are also very dominant (Kristof-Brown et al., 2005). They tend to take the lead in conversations and put their partners into rather passive roles. Cuperman and Ickes (2009) found that the more extraverted the partner was, the less likely a person was to actively participate in the conversation. Instead of voicing their own ideas, people with a very extraverted partner simply provided verbal acknowledgements to keep the conversation going. Such an interaction style, however, creates a strong imbalance in contributions and impedes the cross-fertilization of creative ideas between team members.

Extraverts tend to have a high need to verbalize their ideas and thoughts – for some people, so-called “talkaholics”, this need can even be excessive (Macht and Nembhard, 2015). Some extraverts might needlessly elaborate on their ideas or tell stories related to them. This can lead to the problem of production blocking: when other members are talking it is impossible to share one’s own ideas and opinions (Kutzberg and Amabile, 2001; Paulus, 2000). Some thoughts might be lost while waiting and others might be put off as no longer relevant to the conversation. In addition, concentrating on the ideas and stories of others occupies cognitive resources (Paulus, 2000).

Another problem of high extraversion is the struggle for leadership. For a successful team, the role of leader also requires the complementary role of followers (Smelser, 1961). Extraverts have been found to be good leaders but not good followers (Smelser, 1961). This can cause leadership conflicts between members (Barry and Stewart, 1997) and divergent views about who is supposed to do what. Teams function much better when there is complementarity of dominance and submissiveness among members - that is, when there is heterogeneity in extraversion (Kristof-Brown et al., 2005). In fact, Kristof-Brown et al. (2005) reported that a good balance between leaders and followers leads to more inventive solutions, greater satisfaction with the team, and thus, greater individual contributions and an overall better team performance.

Moreover, since extraverts are very ambitious (Berry and Stewart, 1997; Hogan and Holland, 2003), a high level of extraversion among team members can create a climate of competition and relationship conflict (Morgeson et al., 2005). Relationship conflict refers to “social-emotional conflicts arising from interpersonal disagreements” (Jehn, 1995). A typical example would be conflicts about “personal taste, political preferences, values, and interpersonal style” (De Dreu and Weingart, 2003). Competitive behaviors may evoke distrust and frustration and can lead members to withhold information (Hoegl and Gemuenden, 2001). Relationship conflict may also cause team members to narrow the range of attention, produce rigid thinking, and reduce cognitive complexity (Carnevale and Probst, 1998). Moreover, anger and frustration can impede effective communication and reduce the members’ receptiveness to each other’s ideas, which results in highly dysfunctional team dynamics (Jehn, 1995; Pelled, 1996). Kutzberg and Amabile (2001) point out that productive conflicts can quickly escalate and turn from a minor disagreement into an unmanageable and destructive event. Thus, we predict as follows:

Hypothesis 1. Extraversion will negatively moderate the relationship between creative capability and the innovativeness of output at the team level.

Agreeableness at the Team Level

Agreeableness, as personality trait, refers to an inclination towards cooperation and compliance (Taggar, 2002). Agreeable people are usually described as friendly, warm, trusting,

tolerant, and helpful (Barrick et al., 1998). They are good-natured and have a strong desire for harmony as well as an eagerness to cooperate and avoid conflict (King et al., 1996). However, this strong desire for interpersonal harmony can make it difficult for agreeable people to actively create and express their ideas that deviate from the norm. Consistent with this argument, previous studies found a negative relationship between agreeableness and creative accomplishments at the individual level (King et al., 1996). Few studies have, however, examined agreeableness at the team level. We argue that the effects agreeableness has on teamwork will be different from those found for individual work. While a high level of agreeableness might not be beneficial when working on one’s own, we predict that it will greatly enhance the creative output of teams.

Barrick et al. (1998) suggested that “the very essence of agreeableness is cooperation.” While this might make people less revolutionary at the individual level, it can greatly contribute to social interactions at the team level as collaboration and joint action between team members are indispensable for innovative teamwork (e.g., Morgeson et al., 2005). Agreeable members tend to be good at communicating with others (Thoms, Moore, and Scott, 1996) and to have excellent interpersonal skills (Taggar, 2002). Cuperman and Ickes (2009) found that agreeable people actively

involve their vis-à-vis in the conversation. Subjects with agreeable partners reported that they enjoyed the interaction and felt at ease. Creating a climate that makes members comfortable in taking risks and openly exchanging their ideas can greatly enhance team dynamics (Gilson and Shalley, 2004).

New ideas are often perceived as risky since they may challenge the status quo and disturb power balances (e.g., Madjar et al., 2011). Thus, members tend to be hesitant to share their ideas with their team members (Gilson and Shalley, 2004). A high level of agreeableness can substantially enhance idea contribution by creating an environment of psychological safety.

Psychological safety refers to the "shared belief that the team is safe for interpersonal risk taking" (Burke et al., 2006). It creates a cooperative, comfortable, and psychologically unthreatening context and facilitates the expression of minority views. Moreover, it promotes the contribution of opposing opinions, which can be especially beneficial for creating original new solutions (Drach- Zahavy and Somech, 2001).

Idea sharing is only likely to stimulate new associations and team synergies when members actively attend to and value the ideas and comments that others contribute to the discussion (Baer et al., 2008; Paulus, 2000). Agreeableness may encourage the consideration and recognition of other members' ideas that is one of the most critical factors for creative work (De Stobbeleir et al., 2011; Richter et al., 2012). If team members share and attend to each other's ideas, the team's knowledge base can be substantially extended (Hoever et al., 2012; Kutzberg and Amabile, 2001; Taggar, 2002). Moreover, idea sharing has been found to stimulate cognitive flexibility (Hoever et al., 2012), trigger new associations (Kutzberg and Amabile, 2001; Paulus, 2000), and enhance creative synergies (Richter et al., 2012).

Agreeableness may also increase team cohesion which is one of the most important determinants of creativity (Barrick et al., 1998; Gupta and Banerjee, 2016; Hülshager et al., 2009). Cohesion refers to a sense of belonging and a desire to keep the team going (Hoegl and Gemuenden, 2001). Since agreeable team members are very likable and pleasant to work with (Cuperman and Ickes, 2009), a high level of agreeableness leads to more interpersonal attraction between team members, and thus, more social interactions and cohesion (Morgeson et al., 2005). The level of cohesion, in turn, is linked to synergistic interactions, positive communication and effective conflict resolution (Barrick et al., 1998). All these factors can leverage the creative ability of a

team's members. Thus, we predict as follows:

Hypothesis 2. Agreeableness will positively moderate the relationship between creative capability and the innovativeness of output at the team level.

METHOD

Sample and Procedure

The participants of this study were 173 undergraduate and 150 MBA students who were enrolled in creativity and innovation courses at a Korean university between 2011 and 2016. 29.3 percent of the participants were women and participants' average age was 31.1 years (s.d. = 7.05). The instructor formed seven to nine project teams per semester and participants were randomly assigned to one of them. This resulted in a total of 75 teams, ranging between three (5 teams, 6.67%), four (46 teams, 61.33%), five (23 teams, 30.67%), and six (1 team, 1.33%) members. 30 percent of a participant's overall course grade were allocated to his or her teams' output over 3-, 6-, and 12-week periods. There was no missing data. All teams worked on the same projects. During the whole project period participants remained in the same team. Over the course of the semester each team developed a new business idea which was constantly upgraded and presented at the end of the term. The business idea had to be a new product or service that was not yet on the market. While working on the project for one semester the team members exchanged various ideas and constantly interacted to improve the innovativeness of their concept. At the end of the term each team set up a presentation booth to introduce and explain its business idea.

Team creativity research has generally involved single-part tasks to evaluate team outputs or performance. Single-part tasks often require individuals to "ideate names or uses or consequences of a thing, or ideate ways to achieve a goal" (Brophy, 1998: 213) in short-lived teams

in contrived laboratory settings. Team tasks in our study differed from previous studies in several

ways: Interactive teams completed a multi-part and open-ended assignment over a relatively long period with constraints that required the efficient management of time and other inputs. As is the case in many venturing projects, tasks involved problem identification of existing products and/or services, generating new innovative options and alternatives, evaluations of multiple options, seeking additional information, conducting market research, and building consensus on how to best develop commercial solutions. While the assignments in most previous creative problem solving research often minimize or eliminate the need for intervening team creativity-relevant processes, such as challenging existing assumptions, our study used more realistic tasks that called for these behaviors.

A team of evaluators, which consisted of a professor, a teaching assistant in the Ph.D. program, and an external judge of a venture capitalist, scored the innovativeness of new business ideas at the end of each semester. The external judge was independent of the research team and not informed about the study's hypotheses. To assess the innovativeness of new business ideas, each evaluator was asked to consider three sub-criteria: technological enhancement, market size, and inimitability. Analyzing the ratings of the three judges resulted in an inter-rater reliability coefficient of .83 [$p < .001$]. All teams received feedback one or two times before their final presentation. For each team, feedback consisted of a number grade and a written evaluation, about one page long. We used an average of the three evaluators' scores and each team could receive a total of 10 points.

Team Creative Capability

Research on team level creativity has mainly relied on subjective assessment methods: self-reports by the individual team members (e.g. Somech and Drach-Zahavy, 2011), evaluations

by peers or colleagues (e.g. Taggar, 2002), and evaluations by supervisors or team leaders (e.g. Gong, Kim, Lee, and Zhu, 2013). However, previous studies found that subjective assessment methods tend to yield better results, i.e. a higher mean, than objective methods (e.g., Park, Chun, and Lee, 2016). This is because illusory superiority, leniency biases and social desirability may lead individuals to rate themselves more favorably in social settings.

Our research employed an objective assessment method to measure the individuals' and teams' creative capability. To measure team creative capability, we used a two-step approach, measuring individual ability of all team members and averaging individual scores for each team. First, following previous studies that focused on examining creative cognitive skills (Guilford, 1967a, 1967b; Torrance, 1962, 1974), all team members in this study completed a voluntary 2-hour paper-based test, the iCreate creativity aptitude test that is developed by a Korean research institute (Park et. al. 2016). It measures individual ability in terms of creative problem solving, including both divergent and convergent thinking abilities. Assessment questions in the test were also designed to evaluate several subcomponents of creative thinking, such as novelty, synthesis, elaboration, complexity, redefinition, fluency, and flexibility. The test uses a total of 45 questions in verbal, figural, mathematic, and artistic forms.

Divergent thinking is a good predictor of creative potentials and achievements which requires the ability to make unique combinations of ideas, come up with remote associations, and transform ideas into unusual forms (e.g., Basadur, Graen, and Scandura, 1986; Guilford, 1967a; Torrance, 1962; Woodman, Sawyer, and Griffin, 1993; Cropley, 2006; Mednick, 1962; Wallach and Kogan, 1965). To objectively assess divergent thinking ability, participants in this study were asked to answer 30 questions within 50 min, with an average time of 100 seconds for each question. To complete the test, participants were asked to produce multiple or alternative answers from given information or situations that were described in verbal, figural, mathematic, and artistic forms. Responses were coded for fluency or the total number of answers per each question, elaboration or the level of details provided for each question, and originality or relative frequency of answers per question.

Previous research also recognized convergent thinking ability as a critical determinant of individual creativity (Cropley and Cropley, 2012; Cropley, 2006; Runco, 2004). Convergent thinking involves logical search and information processing to produce one single best answer to a predefined question. While divergent thinking alone may lead to creative but unrealistic ideas, convergent thinking can make such ideas useful and relevant (Runco and Acar, 2012). Lonergan, Scott, and Mumford (2004) emphasize a two-step process that combines novel idea generation (divergent thinking) and simultaneous exploration of its effectiveness (convergent thinking). To measure convergent thinking ability, participants were asked to complete 15 multi-choice questions within 30 minutes, with an average time of 120 seconds per question. The questions included verbal, figural, and mathematic tasks, and participants were asked to select a single answer for most questions. This required qualities such as speed, accuracy, and logic.

All answers from participants were coded for the analysis by two research assistants relying on the coding manual developed by the research institute. They were trained and retrained for over 3 months through multiple pilot tests and coding exercises. Cronbach α for the inter-rater reliabilities across items and participants ranged from .86 to .97. Once all coding procedures were completed, pre-developed computer algorithms automatically calculated individual creativity scores. Overall, the individual creativity score represents the sum of divergent and convergent thinking scores. It was calculated as a single index that ranged from 0 to 100. Following the previous arguments, divergent and convergent thinking ability scores were given equal weight to calculate the objective assessment score. To arrive at a measure for team creative ability, the team members' individual creativity scores were summed up and averaged. This way a mean creative score for each team could be calculated.

Agreeableness and Extraversion

Team members' agreeableness and extraversion were measured with items from Goldberg's (1999) Big Five Inventory. Both scales contain five items and utilize a five-point Likert scale ranging from 1 ("not at all descriptive of me") to 5 ("very descriptive of me"). Goldberg (1999) reported average scale reliabilities between .75 and .85 and high correlations with other known measures of the five-factor model. Since the BFI has shown high convergence with the NEO-PI scales and high self-peer convergence, we decided to use the BFI rather than the NEO-PI scales simply because of time constraints. Correlations between self and aggregated peer ratings on the five scales range from .56 for agreeableness to .68 for extraversion (King, Walker, and Broyles, 1996). As a final step, we summed and averaged individual scores of the team members to arrive at a mean score of agreeableness and extraversion for each team.

Control Variables

We controlled for team size, length of team project period, gender, major diversity and team members' age. Prior research has shown that larger teams could have an advantage in the completion of difficult tasks in uncertain, complex environments (Hülshager et al., 2009; Stewart, 2006). This is because having more members might provide a team with a wider array of diverse viewpoints, skills, and perspectives (Burke et al., 2006; Paulus, 2000). As Hülshager et al. (2009) point out, also the generation and implementation of creative ideas is an ill-defined, complex task.

Thus, team size could positively affect creative outcomes. Studies on brainstorming provide further support for this assumption by showing that both the number and quality of creative ideas increases with team size (Bouchard and Hare, 1970; Gallupe, Dennis, Cooper, Valacich, Bastianutti, and Nunamaker, 1992).

Previous studies have suggested that gender might have an impact on team dynamics, and thus, also on a team's innovative output (e.g., Pearsall, Ellis and Evans, 2008). If gender becomes salient, it can lead to subgroup formation and social comparison (Pearsall et al., 2008), as well as emotional conflict (Jehn, Northcraft and Neale, 1991; Randel, 2002). This can, in turn, substantially impede smooth team functioning and lead to less creative output. Thus, gender has been included as another control variable. The more heterogeneous the members' majors were, the higher was the team's level of major diversity. Controlling for this variable is important as more diverse teams have a much broader array of knowledge, expertise and perspectives to draw from and might thus have an advantage over less heterogeneous teams (Hülshager et al., 2009; Richter et al., 2012).

We further controlled for the length of the team project as the duration of the courses varied depending on whether they were undergraduate or graduate courses. This means that having more time to develop their business ideas might have given teams in some courses an advantage. We thus controlled for this factor to make the results more comparable and assure that any differences in creative output are not due to different project lengths.

Moreover, there is substantial evidence that the team members' age can play an important role in team performance. Vroom and Pahl (1971) showed that age is negatively related to risk-taking. In addition, age has been found to influence cognitive processes (Datan, Rodeheaver, and Hughes, 1987), attitudes and values (e.g. Elder, 1975, Thornstorm, 1973). Therefore, age differences could lead to conflict between team members and greatly impact a team's overall performance.

RESULTS

Table 1 shows the descriptive statistics and correlation matrix of the variables used in this study. A total of 75 teams was included in the statistical analysis, with an average team size of 4.33 members and a standard deviation of 0.50.

For the innovativeness of the new business idea, which is the dependent variable in this study, the average was measured at 6.86 (standard deviation of 1.69). The team with the best performance received 10 points, while the lowest score was 4 points. The teams' average creative capability amounted to 59.59 with a standard deviation of 14.75. The teams' average level of extraversion and agreeableness was 2.82 (standard deviation of 0.76) and 2.57 (standard deviation of 0.74), respectively. The mean project length was 8.88 weeks, with a standard deviation of 0.60. On average, participants were 30.71 years old (standard deviation of 9.19).

In order to measure gender and major diversity, we used Blau's (1977) index, which was calculated as $1 - \sum p_i^2$, where p denotes the proportion of team members in a category and i denotes the number of categories. This way our calculation process of Blau's Index is consistent with the one used in previous studies. In our study, mean Blau's index values for gender and major diversity was .28 (standard deviation of .20) and .58 (standard deviation of .14), respectively.

Table 1 also shows the correlation coefficients of independent and dependent variables. As expected, a team's agreeableness is positively correlated with its level of extraversion (0.47). Team creative capability is negatively correlated with age (-0.65) but positively correlated with project length. Due to the different semester structures of undergraduate and graduate courses, undergraduate students had 12 weeks to work on their projects while graduate students had 3 or 6 weeks. These structures caused a negative correlation between project length and age (-0.79). However, multicollinearity did not distort the results of our analysis. The highest VIF value in this study is 4.04. Even after excluding the age variable our analysis still showed similar result.

Table 1

Means, Standard Deviations, and Correlations for All Variables

| Variables | Mean | s.d. | 1 | 2 | 3 | 4 | 5 | 6 | 7 | 8 | 9 |
|-------------------------|-------|-------|-------|-------|-------|-------|-------|-------|-------|------|---|
| 1. Performance | 6.86 | 1.69 | | | | | | | | | |
| 2. Average Creativity | 59.59 | 14.75 | 0.63 | | | | | | | | |
| 3. Extraversion | 2.82 | .76 | 0.40 | 0.22 | | | | | | | |
| 4. Agreeableness | 2.57 | .74 | 0.39 | 0.27 | 0.47 | | | | | | |
| 5. Group Size | 4.26 | .60 | -0.19 | -0.31 | 0.23 | -0.02 | | | | | |
| 6. Project Period | 8.88 | 3.57 | 0.61 | 0.61 | 0.30 | 0.21 | -0.12 | | | | |
| 7. Age | 30.71 | 9.19 | -0.62 | -0.65 | -0.28 | -0.27 | 0.34 | -0.79 | | | |
| 8. Gender Heterogeneity | .28 | .20 | -0.15 | -0.09 | -0.08 | -0.03 | 0.22 | -0.05 | -0.05 | | |
| 9. Major diversity | .58 | .14 | 0.21 | 0.08 | 0.31 | 0.12 | 0.09 | -0.03 | -0.22 | 0.40 | |

Table 2 presents results from multiple regressions. Hypothesis 1 states that extraversion will negatively moderate the relationship between a team's creative capability and the innovativeness of new business ideas at the team level. Hypothesis 2 asserts that agreeableness will positively moderate the relationship between a team's creative capability and the innovativeness of new business ideas at the team level. To test these hypotheses, we estimated regression equations with the innovativeness of new business ideas as a dependent variable for the entire models.

Overall, the models are statistically significant and F tests indicate that our main variables and their interaction effects jointly explain a significant amount of the variance in the innovativeness of new business ideas. The results of model 1 indicate that the coefficients of gender heterogeneity and age are negative and significant. The negative impact of age on creativity is consistent with previous studies (Vroom and Pahl, 1971). All other control variables are not significant. Model 2 and 4 examined the effect of creative capability of teams, extraversion, and agreeableness. Due to the high and significant correlations between extraversion and agreeableness, we could not enter the two variables in a same regression model. The results of model 2 show that the coefficient of extraversion is positive and significant. However, model 4 indicates that the coefficient of agreeableness is positive and significant. To test our two main hypotheses, we entered

the interaction terms with team creative capabilities in model 3 and 5. Unlike our hypothesis 1, the results of model 3 show that the coefficient of the interaction variable between a team's level of extraversion and creative capability is positive and significant. However, model 5 shows that the coefficient of the interaction variable between agreeableness and creative capability is positive and significant.

Table 2. Results of Regression Analyses for Team Performance

| Variable | Model 1 | Model 2 | Model 3 | Model 4 | Model 5 |
|-------------------------------|---------------------|----------------------|--------------------|--------------------|--------------------|
| Average Creativity | | .0369 (.0132)*** | .0349 (.0130)*** | .03551 (.0133)*** | .0284 (.0133)** |
| Extraversion | | .5120 (.2133)** | .5419 (.2107)** | | |
| Agreeableness | | | | .4677 (.1982)** | .4822 (.1930)** |
| Creativity X Extraversion | | | .0568 (.0322) * | | |
| Creativity X Agreeableness | | | | | .0765 (.0353)** |
| Project Period | .1290 (.0787) | .0893 (.0750) | .0878 (.0738) | .0891 (.0751) | .0772 (.0733) |
| Group size | .0589 (.2945) | -.1044 (.2937) | -.0749 (.2897) | .0881 (.2741) | .2037 (.2721) |
| Sex Heterogeneity | -1.386 (.8163)* | -.7879 (.7671) | -.8014 (.7554) | -1.0414 (.7541) | -.8092 (.7420) |
| Age | -.0784 (.0308)** | -.0358 (.0303) | -.0337 (.0298) | -.0420 (.0298) | -.0533 (.0295)* |
| Major Diversity | -.0367 (1.2333) | -.0772 (1.1747) | -.2617 (1.1615) | .3231 (1.1511) | -.0684 (1.1352) |
| R ² | | 0.5532 | 0.5732 | 0.5520 | 0.5817 |
| F | | 11.85*** | 11.08*** | 11.79*** | 11.47*** |
| ΔR^2 | | 0.0914 | 0.02 | 0.0902 | 0.0297 |
| F for ΔR^2 | | 7.60*** ¹ | 3.10* ² | 7.49*** | 4.69** |
| N | 75 | 75 | 75 | 75 | 75 |

* p < .10, two-tailed test

** p < .05, two-tailed test

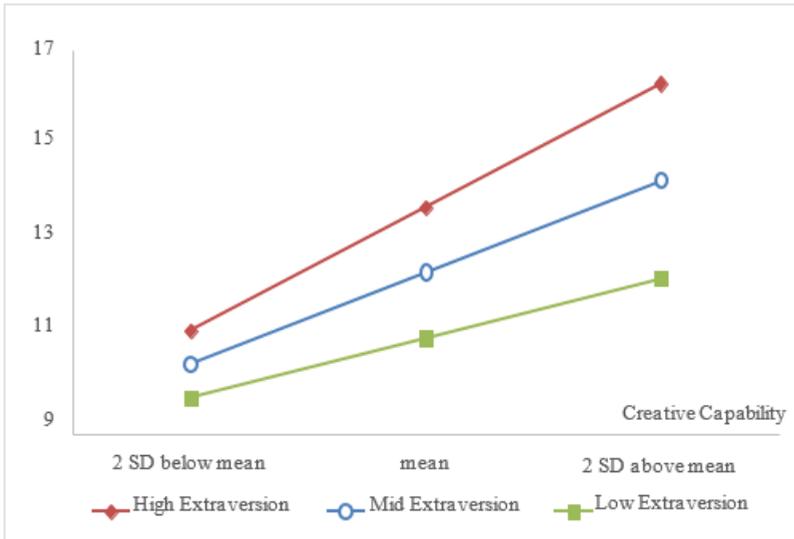
*** p < 0.01, two-tailed test

¹ These statistics (joint F-tests) reflect the incremental variance accounted for when the Extraversion Variable(or Agreeableness) are added to the complete specification

for each model.

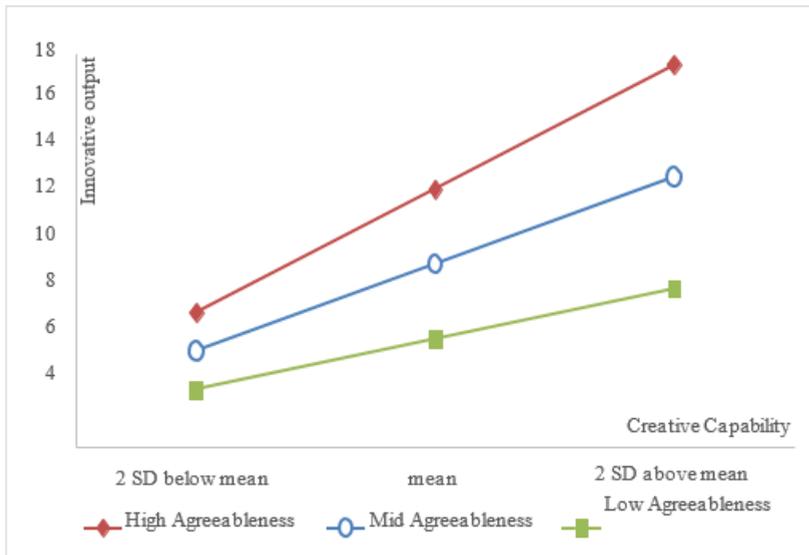
² These statistics (joint-F-tests) reflect the incremental variance accounted for when the interaction terms are added to the complete specification for

Figure 1.



Moderating Effect of Extraversion for Team Innovativeness

Figure 2.



Moderating Effect of Agreeableness for Team Innovativeness

DISCUSSION

Our study examined how personality characteristics affect innovative output at the team level. As teams offer a wide pool of knowledge and different perspectives, more organizations are resorting to work teams for creative and innovative tasks (Drach-Zahavy and Somech, 2001; Hoever et al., 2012; Kristof-Brown et al., 2005; Paulus, 2000). However, compared to growing understanding of creativity at the individual level, little is still known about the factors that

determine a team's capability to integrate individual resources for innovative outputs (Taggar, 2002). Our study endeavors to make a meaningful contribution to the existing literature on personality characteristics, a team's creative capabilities, and innovative performance by analyzing how personality characteristics moderate the relationship between team members' creative capability and a team's innovative outcome.

Consistent with previous studies (Guilford, 1950; King et al., 1996; Taggar, 2001; Woodman et al., 1993), our regression results show that a team's creative capability exhibits a positive effect on innovative output. Teams whose members had a higher mean of creative capability performed significantly better than those with a lower mean. This is because members who are very flexible in their thinking (Guilford, 1950), good at taking different perspectives (Amabile, 1988), and willing to integrate various inputs can create more diverse and unique associations.

Personality functioned, as expected, as a significant moderator between creative capability and the innovativeness of new business ideas. That means that the team members' personality affected how well a team could make use of its members' creative capability. However, the effect of personality exhibited in the social context of team work was significantly different from that previous studies had found at the individual level. While previous studies suggested that agreeableness can lead to conformity and thereby negatively affect creative and innovative performance at an individual level (King et al., 1996; Sung and Choi, 2009), our research found that agreeableness has a significantly positive effect at the team level: It positively moderates the relationship between creative ability and a team's innovative output and thereby elevates the team members' creative potential. The interesting difference between previous studies and our research suggests that the demands and challenges of teamwork differ significantly from those of individual work. Our study implies that team member interactions and team dynamics may have a meaningful impact on their innovative performance, as teams constitute a social context. Some of previous studies argued that a high level of agreeableness among team members may increase cooperation (Barrick et al., 1998; Morgeson et al.; 2005), strengthen team cohesion (Barrick et al., 1998; Hoegl and Gemuenden, 2001; Morgeson et al., 2005), promote the exchange of ideas and information

(Gilson and Shalley, 2004; Paulus, 2000), and encourage members to actively build on each other's inputs (Baer et al., 2008; Paulus, 2000; Taggar, 2002). Thus, team members can become fully engaged in the creative process, strongly increasing synergies among team members. The high level of involvement and cooperation may also enable teams to leverage their members' creative skills and to generate highly innovative output. Thus, our study clearly shows that agreeableness functions as a positive moderator at the team level.

For extraversion, however, we could not confirm the expected negative effect. Previous studies argued that extraversion may be associated with dominance (Kristof-Brown et al., 2005), unbalanced communication (Cuperman and Ickes, 2009; Kutzberg and Amabile, 2001; Paulus, 2000), competition and conflict (Hoegl and Gemuenden, 2001; Morgeson et al., 2005), and leadership struggles (Barry and Stewart, 1997; Smelser, 1961). These studies suggest that extraversion might actually have a negative effect on the relationship between creative capability and a team's innovative output. However, our results showed a positive and significant interaction effect between extraversion and creative capability at the team level. There are two possible alternative explanations for this finding. First, it is possible that the setting of our study might prevent the negative aspects of extraversion from meaningfully taking effect. Since the participants of this study were students who developed creative business ideas for a class project, the classroom setting might have led to different behaviors and team dynamics than an actual work environment would. For example, as there is less at stake and all members have the same amount of power with a nominated leader, leadership struggles, which are a typical phenomenon in most organizations, might be substantially reduced. Moreover, since students often resort to social loafing and free-riding, having members who are willing to actively participate in the team project might by itself already be a significant determinant of innovative performance.

Second, the positive sides of extraversion may outweigh the negative ones. While a high level of team member extraversion can cause various problems, previous studies suggest that extraversion can also have positive effects on innovative performance. Research on the individual level stresses that extraverts are active, passionate, confident, and willing to take risks (King et al., 1996; Sung and Choi, 2009). Other studies indicate that self-efficacy may have a positive impact on creative team performance (Lim and Choi, 2009; Richter et al., 2012; Thoms et al., 1996). The willingness to take risks and behave proactively in terms of idea sharing, feedback seeking and expressing opposing views can be highly beneficial for teams (Baer et al., 2008; Gilson and Shalley, 2004; Madjar et al., 2011). Moreover, other studies have argued that extraverts' social confidence and social prowess may facilitate the coordination of team tasks (Taggar, 2002) and activate others in discussions (Barry and Stewart, 1997). While conflicts can quickly escalate and become very

destructive (Kutzberg and Amabile, 2001), not every disagreement is bound to turn into a big dispute. Task-based conflict can - if it is constructive, respectful, and information-related - be beneficial to creativity and innovation. This is because it leads team members to exchange information, challenge the status quo, and explore opposing opinions, which can foster new innovative ideas (Tjosvold, 1985; West, 2002). These implications suggest that further research is definitely needed to better understand the contradicting effects of extraversion at the individual and team level.

As creativity and innovativeness have become vital for most organizations' success and survival (Gupta et al., 2016), finding out how innovative performance can be maximized is a critical challenge for both scholars and practitioners (Anderson et al., 2014). However, despite the wide use of teams for innovative tasks and promising potential benefits of teamwork, little is still known about how individual factors affect innovative output at a collective level. The present study makes

a meaningful contribution to the creativity literature by advancing the understanding of team creativity and showing that certain factors can take a very different effect in the social context of teamwork than they do at the individual level. While this study focused on the moderating role of two specific traits – extraversion and agreeableness – future research could further elaborate on the role that creative ability and personality play at the team level and further expand the theoretical understanding on how we can enhance and maximize creativity and innovativeness at the organizational level.

Despite the care and thoughtfulness that we put into this study, there are certain limitations that need to be taken into account. First, since we collected the data from team projects as part of a class assignment, we could not appoint team leaders. However, most teams in real organizations do have clear hierarchical structures and strong leaders. This hierarchy strongly influences the final team output since organizational variables and the different social context might lead to different behavior and different team dynamics. Thus, some caution needs to be taken when generalizing the results to the actual workplace. Second, while this study used a mean score for creative capability and personality, there are several ways of measuring team composition (Barrick et al., 1998). Barry and Stewart (1997) suggested that the proportion of team members with a certain personality might play an important role, and that even one member with a very high or low level of a certain characteristic could have a big impact on effective team functioning. Also Kristof-Brown et al. (2005) state that the fit between members could be crucial to fill a gap or offset a weakness. Future studies could thus analyze how the variability of extraversion and agreeableness among team members affects team creativity. They could also use highest and lowest individual-trait scores to see if, for example, one very disagreeable member would be enough to disturb creative team dynamics. Lastly, future research could include a few more factors that we could not incorporate

into this study. As the struggle for resource acquisition seems to play an important role in how

extraversion affects team processes, future research could further examine how resource constraints or slack change team dynamics. In addition, there is a definite need for further studies on how environmental changes and unexpected crisis (Park, 2005) influence team dynamics and team innovative output.

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A Study of the Mental Wellbeing of Imprisoned Women in Iran

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Abstract

The study investigates the mental well-being of 35 women prisoners (mean age = 28.7, *SD* = 7.6) who all had received the capital punishment, in the Gorgan jail, northeastern Iran. Most of them had received their sentence for killing their husband. A control sample of 35 women of the same age from Gorgan was included. The respondents filled in a paper-and-pencil questionnaire. The imprisoned women scored higher than the controls on aggression, anxiety, and hostility; the controls scored higher than the imprisoned women on social support and emotional self-efficacy. The imprisoned women had, to a greater extent than the controls, a family history with addiction problems and suicidality.

Keywords: capital punishment, women, prison, mental wellbeing, Iran

Introduction

The present study has its focus on imprisoned women who have received the capital punishment. Studies on the mental health of prisoners who have received the capital punishment are scarce; studies of women given a death sentence are even more so. Studies show that women are under-represented among those who have received the capital punishment: Strieb (2001) found that only 2.8% of the individuals executed in the United States since 1608 have been females. Women are under-represented even in comparison with how often they commit murder. Strieb (*ibid.*) reports that women account for 13% of murder arrests, but only 1.9% of death sentences.

In a review article, Cunningham and Vigen (2002), summarize that rates of psychological disorders among inmates who have received the death sentence in general are high. Several studies have found evidence of psychosis (Freedman & Hemenway, 2000; Lewis, 1979; Lewis, Pincus, Bard, Richardson, Pritchep, Feldman, & Yeager, 1988; Lewis, Pincus, Feldman, Jackson, & Bard, 1986; Cunningham & Vigen, 1999), paranoia (Panton, 1976, 1978) depression (Cunningham & Vigen, 1999; Freedman & Hemenway, 2000; Gallimore & Panton, 1972; Johnson, 1979); and PTSD (Freedman & Hemenway, 2000). Head injuries and neurological impairments are also common (Lewis et al., 1986). Many inmates with a death sentence have a history of trauma, family disruption, and substance abuse (Cunningham & Vigen, 2002).

Women who kill differ from men in the sense that they more often than men – in more than 50% of the cases – kill someone from their own family, most often their husband (Clevenger & Roe-Sepowitz, 2009; Snell, 2001). Women who kill, but who do not have an abusive husband to blame for their outburst, or a postpartum psychosis to explain the homicide of their baby, are to the world-at-large a strange and alien group, since they do not fit in with the usual gender stereotypes. The reaction to female offenders is expressed in the "evil woman hypothesis", i.e. the view that women who offend outside normative gender roles are to a double extent deviant (Gavin & Porter, 2015).

But are they? It has long been known that women conduct as much intimate partner violence – at least low intensity violence – as men, and that the majority of violent intimate relationships are mutually violent (Straus & Gelles, 1985; Stets & Straus, 1990). This view has been referred to as symmetry theory (Archer, *in press*). In support of this view, some recent studies

(Australian Bureau of Statistics, 2012; Kar & O'Leary, 2010) have found women to be just as likely as men to be violent. However, an examination of criminal records shows that intimate partner violence leading to severe injury or homicide more often is directed from men against women than vice versa (Grech & Burgess, 2011). This finding provides support for the gender asymmetry theory, the traditionally held view.

Archer (in press) therefore suggested a revised symmetry theory, suggesting that as far as low intensity aggression is concerned, gender symmetry holds, but when the level of violence increases to the level of the infliction of physical injury and homicide, men are perpetrators to a greater extent than women. This theory unifies the two approaches, and it is to our understanding the most accurate conceptualization of the issue so far.

While the most severe cases of intimate partner violence with a *deadly* outcome are directed against women, more than 40% of cases of severe physical violence in the U.S. still are directed at men (National Intimate Partner and Sexual Violence Survey, 2010).

There is to date no available data about how common it is in Iran that women commit homicide in comparison with men. Neither do we know in how many of these cases they react against violence they themselves have been exposed to from abusive husbands, and whether they act in self-defense. What we do know is that women in Iran who kill their husbands more or less without exception are sentenced to death. Whether they will be executed or not is up to the relatives of the deceased husband; they have the power to pardon the woman who has been sentenced to death, often in exchange for a sum of money. However, even in the case of being pardoned, the women will have to spend between 3 to 10 years in prison.

Method

Sample

The total sample consisted of 70 women, including 35 imprisoned women sentenced to death and 35 women who served as a control group. The imprisoned women were all from Gorgan prison; Gorgan is a city in northeastern Iran. All of them had been sentenced to death, in most cases for killing their husband. The women in the control group were all from the city of Gorgan, free and with no history of criminal charges. They were randomly selected in order to match the imprisoned group with regard to age, education, and marital status. The women of the samples were all from an age range of 18-40 years of age. The mean age of the imprisoned women was 28.7 years ($SD = 7.6$), and the mean age of the women of the control group was 29.1 years ($SD = 5.3$). The age difference was not significant.

Instrument

The data were collected by use of a questionnaire. The questionnaire consisted of seven scales and some single items. (1) Aggression was measured with the Mini Direct and Indirect Aggression Inventory (Mini-DIA; Österman & Björkqvist, 2010); (2) victimization from others' aggression was measured with the victim version of the Mini-DIA (*ibid.*); (3) emotional self-efficacy was measured with the emotionality subscale of the Self efficacy Questionnaire (SEQ; Muris, 2001); (4) social support was measured with the Multidimensional Scale of Perceived Social Support Assessment (MSPSSA; Zimet, Dahlem, Zimet, & Farley, 1988). Three subscales from the Brief Symptom Inventory (BSI; Derogatis, 1975) were also included in the test battery: (5) depression, (6) hostility, and (7) anxiety. The number items of each scale, as well as Cronbach's α -values as a measure of reliability, are presented in Table 1.

In addition, there were questions pertaining to whether there had been histories of addiction problems and suicide in the family. However, these were not scales but nominal level single items, which were analysed separately.

Table 1: The Scales of the Study,
Number of Items and Reliability (Internal
Consistency) Scores Measured with
Cronbach's α .

| Scales | Number of items | Reliability |
|-----------------|-----------------|-------------|
| Aggression | 4 | .74 |
| Victimisation | 5 | .84 |
| Hostility (BSI) | 5 | .83 |

| | | |
|------------------|---|-----|
| Depression (BSI) | 6 | .89 |
| Anxiety (BSI) | 6 | .94 |
| Social Support | 8 | .74 |

Procedure

The data were gathered on site in the prison with one of the researchers present. It took about one hour to fill in the questionnaire. For the collection of data from the control group, the same questionnaire and procedure were used.

Ethical considerations

The data were collected under strict anonymity with the informed consent of jail authorities and, above all, the women themselves. The study adheres to the principles concerning human research ethics of the Declaration of Helsinki (World Medical Association, 2013), as well as guidelines for the responsible conduct of research of The Finnish Advisory Board on Research Integrity (2012).

Results

A multivariate analysis of variance (MANOVA) was conducted with group belonging (imprisoned women vs. controls), as independent variable, and the seven scales (Aggression, Victimization, Hostility, Depression, Anxiety, Social support, Emotional Self-efficacy) as dependent variables. The results are presented in Table 2 and Figure 1.

As can be seen, the imprisoned women scored significantly higher on Aggression, Victimization, Hostility, and Anxiety; there was a tendency towards a significant difference on Depression. They scored significantly lower than the controls on Social Support and Emotional Self-efficacy.

The imprisoned women had, more often than the controls, a family history with addiction problems (74.3% of the cases vs. 37.1% of the cases among the controls; $\chi^2_{(1)} = 9.79, p = .002$) and suicide (37.1% of the cases vs. 14.3% among the controls, $\chi^2_{(1)} = 4.79, p = .029$).

Table 2: Results from a Multivariate Analysis of Variance (MANOVA) with Group Belonging (Imprisoned Women vs. Controls) as Independent Variable and the Seven Scales of the Study as Dependent Variables (cf. Fig. 1).

| | <i>F</i> | <i>df</i> | <i>p</i> ≤ | η_p^2 | Group differences |
|-------------------------|--------------|-----------|-------------|-------------|-------------------|
| Multivariate Analysis | 8.09 | 8, 68 | .001 | .515 | |
| Univariate Analyses | | | | | |
| Aggression | 10.09 | 1, 68 | .002 | .130 | IW* > C** |
| Victimisation | 0.09 | „ | <i>ns</i> | .001 | |
| Hostility (BSI) | 9.95 | „ | .002 | .129 | IW > C |
| Depression (BSI) | 3.12 | „ | .085 | .044 | (IW > C) |
| Anxiety (BSI) | 21.06 | „ | .001 | .237 | IW > C |
| Social Support | 14.97 | „ | .001 | .182 | C > IW |
| Emotional Self Efficacy | 8.93 | „ | .004 | .116 | C > IW |

Note: * IW = Imprisoned Women; **C = Controls

Discussion

The findings corroborate previous findings about the mental status among prisoners with a death sentence (cf. the review by Cunningham and Vigen, 2002). The women in this study scored significantly higher than the controls on aggression, hostility, and anxiety, and there was a tendency towards a significant difference on depression. It should be noted that also in regard to depression, the effect size (η_p^2) was .044; due to the small sample size, however, the group difference did not fully reach significance. In regard to social functioning, the women on death row scored lower than the controls on emotional self-efficacy and social support.

The results thus provide a similar picture of the mental health of individuals with a death sentence in Iran with that of death row inmates in for instance U.S.A.

The study is unique because it is, to our knowledge, the first study in the world to focus solely on imprisoned women with a death sentence. However, it yielded similar results to studies having mainly men sentenced to death as respondents.

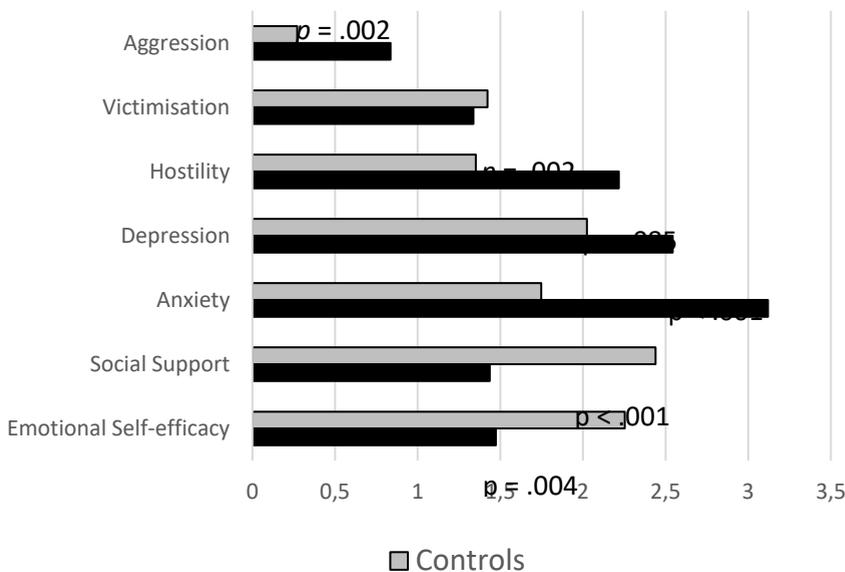


Figure 1. Mean scores for imprisoned women with a death sentence and controls on the seven scales of study (cf. Table 2).

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Religious Tolerance, Gender Equality and Bellicose Attitudes: A Comparative Study of Three Educational Systems in Pakistan

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Abstract

The study explores differences between Pakistani students from three types of schools regarding religious tolerance, views on gender equality, and bellicose attitudes towards India. A questionnaire was filled in by 285 girls and 300 boys, 15–17 years of age (mean age identical for both = 15.8, $SD = 0.8$), from three different types of schools (Urdu Medium, English Medium, and Madrassas). Significant differences were found: students attending English Medium schools differed most from other students. They scored highest on religious tolerance and gender equality, and lowest on bellicose attitudes towards India, while students attending Madrassas scored lowest on gender equality. Especially girls from the Madrassas scored lower than all other students on religious tolerance, and highest on bellicose attitudes. Madrassa students experienced themselves as victims of religious intolerance more often than others. Religious tolerance and positive attitudes towards gender equality were highly correlated.

Keywords: Pakistan, religious tolerance, gender equality, bellicose attitudes, school, madrassa

Introduction

Pakistan is passing through a crucial phase in its history. Religious intolerance is quite rampant (Murphy, 2013). Gender related crimes have placed Pakistan as the third most dangerous country for women in the world (Thomson Reuters Foundation, 2011). On the external front, Pakistan has been and still is engaged in many conflicts with India, which has become a pretext for increasing the defence budget (Iqbal, 2014). This military fund is a major obstacle for allocating financial resources on human development areas such as education. As a result, education has become a neglected field, which has been used for serving the state's objectives (Khan, 2013).

Three Different Educational Systems in Pakistan

The educational system in Pakistan is divided into many different types of schools. The major educational system includes Urdu medium or public schools, English medium or private schools, and Madrassas or religious schools. Besides those school types, there are Urdu and English philanthropic schools catering for the poor. Also, there is a wide variety of low fee private schools which have mixed medium (Urdu and English) of instruction. Moreover, there are many government schools that have been adopted by foundations. In Pakistan, the Federal government is responsible for making educational policies while implementation lies with the provincial governments (Durrani & Dunne, 2010).

The Urdu Medium or Public School System

A large number of public schools use Urdu language as a medium of instruction. However, there are many schools in the public sectors where the medium of instruction is English. Notwithstanding, the government-run schools are mostly known as Urdu medium schools. It attracts mostly the lower-middle class due to its affordable education facilities. A large number of teachers also come from a middle class background. The textbooks used for teaching in these schools are provided by provincial text book boards. Rote learning and punishment are two central educational elements of this school system, which hampers the development of analytical ability of the students (Rehman, 2004).

The English Medium or Private School System

The private schools differ from each other in terms of teaching methods, fee, textbooks, and language of instruction. However, a large number of private schools use English as a medium of instruction (Durrani, Halai, Kadiwal, Rajput, Novelli and Sayed, 2017). Hence, they are dubbed as English medium schools.

According to the Pakistan Education Statistics 2014-2015, the enrolment share of private sector is respectively 36%, 39%, and 41% at primary, middle and secondary level. The importance of English language in job hunting makes the private schools a top preference (Harlech-Jones et al., 2005). However, private English medium schools have become a lucrative business in Pakistan, where education is sold at a high price. These schools mostly use the textbooks published by foreign printing houses. Usually, students from the English medium schools prefer to take both an ordinary level and an advanced level examination (Rahman, 2004).

The Madrassa System

In Arabic, Madrassa (or Madrasa, Madrasah) means "school". In a descriptive definition, Madrassa is 'an educational institution offering instruction in Islamic subjects including, but not limited to, the Quran, the sayings of Prophet Muhammad, jurisprudence, and law' (Blanchard 2007, p. 62). According to the Pakistan Education Statistics 2013-14, Madrassas contribute a 5% share of the educational market in Pakistan. There are around 13,405 Madrassas catering for the educational needs of 1,836 million students in Pakistan. The rate of enrolment is 62% and 38% respectively. Of the Madrassas, 97% are privately run, while 3% are managed by the public sector. There is a tendency among the Madrassa students to pursue higher education in non-religious institutions in order to find good employment opportunities (Aijazi & Angeles, 2014).

Madrassas usually get their funding from the business class. However, some foreign countries are also giving financial assistance to sectarian-based Madrassas. For instance, Saudi Arabia gives funding to *Ahl-i-Hadith* Madrassas, while Shia madrassas get unofficial financial support from Iran. These Madrassas are a centre of attraction for the militant organizations, which tend to approach them for distributing hate literature (Rahman, 2004).

Madrassas provide separate educational facilities for boys and girls. They are also divided between Sunni and Shia Madrassas. The Sunni madrassas are further divided into different kinds of madrassas based on the Sunni sub-sects in Pakistan, which include Deobandi, Brailvi, Ahle Hadith/Salafi, and Jamat-i-Islami. The Madrassa curriculum is planned by each individual school board on sectarian lines. Hence, different Madrassas have different curriculums. The following boards are responsible for the management of different kind of madrassas: *Wafaqul-Madarisul-Arabiya* (established in 1960 to look after the Sunni Deobandi institutions), *Tanzimul-Madaris* (also set up in 1960 for the management of Sunni - Bareilvi madrassas), *Wafaqul-Madaris Shi'a* (established in 1959, the board is responsible for taking care of the Shia institutions), *Rabitahul-Madrisul-Islamiya* (set up by the Jamaat-i-Islami in 1983), and *Wafaqul-Madarisul-Salafiya* (since 1955, this board has been taking care of Ahl-i Hadith institutions). The curriculum in mostly madrassas is based on the *Dars-i-Nizami*. The method of memorization of the religious text is prevalent in large number of madrassas. Commentaries are used to explain the religious text without any analytical view (Iqbal & Raza, 2015).

Tolerance and Education

The relationship between education and tolerance has been a debatable issue. The Declaration of Principles on Tolerance proclaims that education is the most effective means of preventing intolerance (UNESCO, 1995). Researchers agree on the potential of education in promoting tolerance (Afdal, 2006). However, there has been a growing debate on what sort of education contributes to increased tolerance. Parker (2010) has examined the potential of religious education. His work is a notable contribution on the role of religious education being delivered in religious schools to create religious tolerance in Indonesia. He examined the role of two private religious schools and found interfaith education to be a positive step towards religious tolerance. However, he considered a proper surveillance system inevitable for such schools to ensure that they were not breeding intolerance.

Byrne (2009) saw the same potential in interfaith education in a study based on a comparison between schools in Australia and European countries, using multi-faith education in order to promote religious pluralism. He presented findings on students who undertook a course of comparative religion. The purpose was to check pre and post-test level understanding of other religions, and level of tolerance. He found a positive impact of the course on the students' tolerance level. Ekanem and Ekefre (2013) also proposed education as a solution for growing intolerance between Muslims and Christians, in Nigeria. They argued that such an education should be based on the 'philosophy of essencism' developing both physical and spiritual needs of the students.

A few studies have investigated the role of the three educational systems in Pakistan. Some researchers have criticised the curriculum being taught in public schools and Madrassas in Pakistan. Ghazi, Shahzada, Khan, Shabbk and Shah (2011) conducted a study to check whether the curriculum fulfilled the draft objectives set by the government to promote religious tolerance. A content analysis was made of the textbooks of social studies being taught in class 8th, and Pakistan Studies' books of class 10th being taught in Peshawar. The study found that the textbooks did not exhibit all the curriculum draft objectives related to religious tolerance; only one lesson in social studies and three lessons in Pakistan Studies books corresponded with the draft objectives. Hence, their findings highlighted that the curriculum included supportive of both tolerant and intolerant material. They concluded that material related to tolerance should be reviewed and edited accordingly in the curriculum. It further emphasized that education and media may play a positive role in creating tolerance in the society.

Hussain, Salim, and Naveed (2011) conducted a study providing insight into teachers' practices and its impact on students' attitudes towards minorities in Pakistan. The study was based on both qualitative and quantitative methods including textbooks analysis, focus group discussions, and interviews with teachers and students of public schools and Madrassas. The textbook analysis showed that the curriculum had a strong 'Islamic orientation' ignoring the minorities' beliefs. Moreover, negative content was found in the curriculum against India, Hindus and Great Britain. Interviews with public teachers revealed that they advocated respect for minorities in accordance with the attitudes of the minority in question towards Islam. While public school teachers and students had problems in identifying minorities as Pakistani citizens, the Madrassa teachers were quite clear about minorities' status as citizens of Pakistan. The English school system was not included in the study.

Another study on the three educational systems was carried out by Ahmed, Shaukat, and Abiodullah (2009) in a slightly different way. They investigated the role of the three school systems of Pakistan in developing the traits of tolerance, honesty, respect, and patriotism, and violence among students. In their study, the level of religious tolerance was found to be highest among the students of the private school system and lowest among madrassa students, with the Urdu medium students in the middle. The level of patriotism, honesty, and respect for elders were found to be high among Madrassa students as compared to the two other educational systems. The study also investigated the sources of learning Islamic values. It was found that the highest number of private school students reported learning Islamic values from their father while Madrassa students reported to learn such values from their teachers. Television was found to be a major source of learning for the public school students.

Rahman (2004) highlighted sectarian based tendencies and unnecessary criticism of Western domination in the syllabus taught in most Madrassas. However, McClure (2009) investigated Western media's misinterpretation of the Madrassa's syllabus and enrolment rate. He refuted the commonly held belief that all the Madrassas supported militancy. He blamed the Western media for giving a biased picture of the situation.

Contrary to the McClure's study, Nisar (2010) held the view that the influence of the Madrassas should not be understated just because of its enrolment rate. He argued that even if a small number of Madrassa students would use force against the state, they could be a greater danger than the Taliban elements. A qualitative analysis by Nisar (2010) gave an insight into the outcome of the three educational systems in Pakistan. He argued that the educational systems in Pakistan tended to make three different types of citizens. The students of the English medium schools built up a ruling class. Urdu medium school system created "compliant subjects". On the other hand, the Madrassa students were more inclined to use force against the ruling and the lower class. The study concluded that these three educational systems pose a great challenge to the unity of Pakistan.

Gender Equality

A number of studies have investigated the effects of the academic curriculum on gender equality. Ullaha and Skelton (2013) studied gender biases in the school curriculum in Khyber Pakhtunkhwa, one of the provinces in Pakistan. They conducted a content analysis of 24 textbooks in Urdu, English, and Social Studies intended for classes 1 to 8. The study showed that the textbooks contained more male than female characters, and both were represented in stereotyped ways. The study concluded that this gender biased approach used in the curriculum contributes to keeping girls in a limited position.

The findings by Mirza (2004) support the aforementioned study. Mirza (2004) conducted a content analysis of 194 books of various subjects from the entire country. Opinions from content developers were also included. Educational scientists, teachers and students were interviewed, and focus-group discussions were arranged. The findings indicated that the curriculum was to a large extent male-centered. Only 7.7% of individuals mentioned in the curriculum were women, and

the personalities projected male and female stereotypes. A few professional roles for women were included. Half of the educational stakeholders also acknowledged that the curriculum was not fulfilling girls' needs.

Bradly and Saigol (2012) found the same problem within the Madrassa education. They concluded that the curriculum taught in most of the Madrassas had different content for boys and girls. They argued that the purpose was to infuse patriarchal values into both genders. Durrani (2008) explored the potential of the curriculum and the role of teachers in constructing gender and national identities, in a qualitative study. She also identified gender stereotypes in textbooks, where men were given the place of defenders and religious leaders, while women were portrayed in the domestic sphere.

Bellicose Attitudes towards India

The role education may play in constructing national identities and forming the image of the 'other self' has been studied by several researchers. A study by Korostelina (2010) provides an insight into how history education contributes to form national identities. After analysing history textbooks in the Russian Federation and Ukraine, the study brought forth that both countries were using history education to strengthen their national identities and forming a negative image of each other. Russia was projected as an "aggressive enemy" in Ukrainian textbooks, while Ukrainian nationalism was targeted in Russian textbooks.

The same problem is identified in Pakistan. A study by Saigol (2005) gave an insight into how the textbooks in the public school system in Pakistan projected "the enemy within" and "the enemy without". It was found that Hindus, Britishers, Jews, and Sikhs were presented in the curriculum as 'others' in order to create a 'Pakistani self'. A similar work has been done by Durrani and Dunne (2010), who explored the link between school education and student's identity formation into being Muslims and Pakistanis. This study was conducted in four schools in the NWFP province, currently known as Khyber Pakhtunkhwa. The data drawn from different educational documents showed that Islam was being used in the curriculum to create an identity of a 'Muslim Pakistani' and a 'non-Muslim other'. The same study found that the role of women was undermined, and Hindus were projected as the 'other' in the curriculum conveying a negative image of the neighbouring country. The study found that out of 17 'icon' personalities mentioned in the curriculum, 11 were glorified because of their conflicts with non-Muslims. A notable finding of the study was that when the students were given the task of making images of 'others' or 'non-Pakistanis,' they portrayed Hindu symbols. The study highlighted the curriculum as one of the many factors involved in the development of national identity in Pakistan.

Lall (2008) made similar findings. She brought forth the fundamentalisation of textbooks in both India and Pakistan. The study showed how education was used in both India and Pakistan to create each other's image as an enemy country, to support their own national interests. Behuria and Shehzad (2013) also highlighted the distorted, misinterpreted version of Indo-Pak history in the curriculum in Pakistan, and argued that it can have serious repercussions on nation-building in Pakistan. However, the study brings forth a notable recommendation of the writing of common history of pre-partitioned India in order to facilitate friendly relations between India and Pakistan. These studies were conducted using textbook analyses of syllabuses taught in schools in Pakistan. However, there is a scarcity of indepth empirical research on students' attitudes and views from the three educational systems in question in Pakistan.

Research Questions

The study formulated the following research questions: (1) to what extent do the students' attitudes from three educational systems differ in regard to religious tolerance, gender equality, and bellicose attitudes towards India? (2) Are there sex differences in students' attitudes? (3) To what extent do respondents from different school systems consider themselves as victims of intolerance?

Method

Sample

A questionnaire was filled in by 585 students (285 girls, 300 boys), 15–17 years of age, from three different types of schools in Pakistan: Urdu Medium, English Medium, and Madrassas. The mean age for both girls and boys was 15.8 years ($SD = 0.8$). Of the respondents, 528 were Sunni, 52 were Shia, and 5 were Christians. Age group analyses were not performed due to the low number of cases in some cells (see Table 1).

Table 1: *Numbers of Girls (n =285) and Boys (n =300) of Three Age Groups in the Schools in Lahore, Pakistan, that Participated in the Study*

| School Type | Girls | | | Boys | | | Total |
|----------------|-------|----|----|------|----|----|-------|
| | 15 | 16 | 17 | 15 | 16 | 17 | |
| Urdu Medium | 43 | 22 | 45 | 62 | 31 | 7 | 210 |
| English Medium | 55 | 38 | 7 | 67 | 27 | 6 | 200 |
| Madrassas | 26 | 20 | 29 | 16 | 17 | 67 | 175 |
| Total | 124 | 80 | 81 | 145 | 75 | 80 | 585 |

Instrument

The questionnaire included four scales measuring (a) a positive view on gender equality, (b) level of individual religious tolerance, (c) perceived availability of sources for learning tolerance and respect, and (d) bellicose attitudes towards India. It also measured experiences to what extent tolerance and respect was taught by family, friends, the mosque, religious teachers, elders, the media, school, books, and the internet. Response alternatives were on a five-point scale (0 = strongly disagree, 1 = disagree, 2 = neutral, 3 = agree, 4 = strongly agree). Cronbach's Alphas and number of items are presented in Table 2. The questionnaire also included a question about personal experiences of religious intolerance.

Table 2: Cronbach's Alphas, and Number of Items in the Scales Used in the Study

| Scales | Cronbach's Alpha | Number of items |
|--------------------------------------------|------------------|-----------------|
| Positive View on Gender Equality | .84 | 8 |
| Level of Individual Religious Tolerance | .78 | 12 |
| Sources for Learning Tolerance and Respect | .86 | 8 |
| Bellicose Attitudes | .70 | 4 |

Procedure

The questionnaires were distributed in 17 schools. The institutions were selected randomly from different posh and slum areas of Lahore – the largest city and the capital of the Punjab province. The Madrassas were also selected randomly.

Ethical Considerations

The study adheres to the principles concerning human research ethics of the Declaration of Helsinki (World Medical Association, 2013), as well as guidelines for the responsible conduct of research of The Finnish Advisory Board on Research Integrity (2012).

Results

Correlations between the Scales in the Study

Correlations between Positive View on Gender Equality, Level of Individual Religious Tolerance, Perceived Availability of Sources for Learning Tolerance and Respect, and Bellicose Attitudes towards India are presented in Table 3. The highest correlation was between the level of individual religious tolerance and a positive view of gender equality (.64). Religious tolerance also correlated positively with perceived availability of sources for learning tolerance and respect, and negatively with bellicose attitudes. Highly bellicose attitudes correlated with a low level of religious tolerance and perceived sources for learning tolerance and respect.

Table 3: Correlations between the Four Scales in the Study (N = 585)

| | 1. | 2. | 3. |
|-----------------------------------|---------|----------|----------|
| 1. Gender Equality | | | |
| 2. Religious Tolerance | .64 *** | | |
| 3. Sources for Learning Tolerance | .03 | .20 *** | |
| 4. Bellicose Attitudes | -.02 | -.41 *** | -.36 *** |

Ratings of Students from Three Types of Schools on the Four Scales

A multivariate analysis of variance (MANOVA) was conducted with gender and school type as independent variables and the four scales as dependent variables. The multivariate test revealed significant effects for gender, school type, and the interaction between them (see Table 4, and Figure 1). The univariate tests showed a significant difference between girls and boys regarding positive attitudes towards gender equality and individual religious tolerance, with girls scoring significantly higher on both. Self-ratings by students from the three different school types differed significantly on all three of the measures. According to Scheffé's contrast test, students from English Medium schools scored significantly higher on both a positive view about gender equality and on level of individual religious tolerance than students from Urdu Medium schools and Madrassas. They also scored significantly lower than the other students on bellicose attitudes towards India. There was no difference between the school types regarding perceived availability of sources for learning tolerance and respect. Interaction effects were also found between gender and school type. Girls from Madrassas scored significantly lower than others on religious tolerance, and significantly highest on bellicose attitudes towards India. Boys from Madrassas scored highest on perceived sources for learning tolerance.

Individual Experience of Religious Intolerance

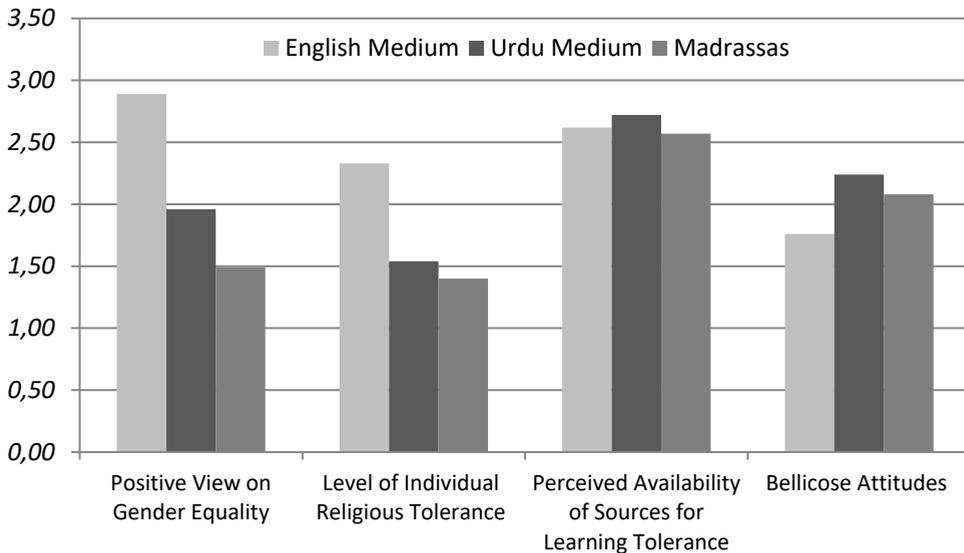
Students from the Madrassas had experienced themselves to be victims of religious intolerance significantly more often than students from Urdu Medium or English Medium schools (mean values 1.02, 0.50, 0.49 respectively) [$F_{(2,573)} = 15.87, p < .001$].

Table 4: Results of a Gender x School Type (2 x 3) Multivariate Analysis of Variance (MANOVA) with Four Scales as Dependent Variables (N = 585)

| | F | df | p ≤ | η_p^2 | Differences between Groups ¹⁾ |
|------------------------------------------------|--------|---------|------|------------|------------------------------------------|
| Effect of Sex | | | | | |
| Multivariate analysis | 44.88 | 4, 570 | .001 | .240 | |
| Univariate analyses | | | | | |
| Gender Equality | 169.50 | 1, 573 | .001 | .228 | Highest: Girls |
| Religious Tolerance | 12.00 | " | .001 | .021 | Highest: Girls |
| Sources for Learning Tolerance | 3.77 | " | .053 | .007 | - |
| Bellicose Attitudes | 2.71 | " | ns | .005 | - |
| Effect of School Type | | | | | |
| Multivariate analysis | 71.90 | 8, 1142 | .001 | .340 | |
| Univariate analyses | | | | | |
| Gender Equality | 358.44 | 2, 573 | .001 | .556 | E > U > M |
| Religious Tolerance | 174.81 | " | .001 | .379 | E > U (>) M |
| Sources for Learning Tolerance | 3.29 | " | .038 | .011 | - |
| Bellicose Attitudes | 15.68 | " | .001 | .052 | U, M > E |
| Interaction between Sex and School Type | | | | | |
| Multivariate analysis | 15.70 | 8, 1142 | .001 | .100 | |
| Univariate analyses | | | | | |
| Gender Equality | 2.27 | 2, 573 | ns | .008 | - |
| Religious Tolerance | 12.92 | " | .001 | .043 | Lowest: Girls in M |
| Sources for Learning Tolerance | 42.22 | " | .001 | .128 | Highest: Boys in M |
| Bellicose Attitudes | 40.65 | " | .001 | .124 | Highest: Girls M |

¹⁾ U = Urdu Medium Schools, M = Madrassas, E = English Medium Schools.

Note. For results in brackets $p = .05-.09$.



Figure

1. Mean values on four scales measuring attitudes among student from three different types of schools in Pakistan (N = 579)

Discussion

The analysis of the data showed that the opinions of the students attending English Medium schools differed significantly from those of the students of Urdu medium schools and Madrassas. They scored highest on both religious tolerance and gender equality, and lowest on bellicose attitudes towards India. One possible explanation may be that the English medium system is catering for the educational needs of the elite or wealthier class, which is already liberal in its orientation. However, some other factors may be contributing to this phenomenon, which include the curriculum, teaching methods, and the environment of the educational institution.

Scoring high on positive views on gender equality by the students attending the English medium schools might be due to the fact that most English medium schools are co-educational, where boys and girls can find more opportunities to interact with each other. Urdu medium schools are gender-separated after primary education, and Madrassas are gender-separated altogether. Furthermore, the Madrassa curriculum is different for boys and girls, supporting patriarchal values and male dominance (Bradley & Saigol, 2012). This might be one of the reasons that the students attending Madrassas held the most negative views on gender equality.

The findings of gender differences regarding personal religious tolerance and a positive view of gender equality were also significant. Girls, as expected, scored higher than boys on both. It suggests that girls are aware of their rights and do not want to be submissive to men anymore. Thus, it reflects social change in the Pakistani society. The fact that girls scored higher on religious tolerance than boys should be considered in the particular context of Pakistani society. There is a difference between girls and boys in regard to their religious learning experiences; most girls receive religious learning largely at home, while boys can freely go to the mosque and meet the religious scholars. Boys also have more opportunities to interact with the outside world than the girls. It might indicate that they are being affected negatively in case of their religious learning through religious institutions. The study also showed that the girls from Madrassas scored lowest on individual religious tolerance. This finding also supports the aforementioned explanation.

Notwithstanding, the high correlation between religious tolerance and a positive view on gender equality suggest that these two are related. It supports one of the hypotheses of the study. It appears that a tolerant society will facilitate gender equality. The fact that Madrassa respondents scored lower on gender equality than the other respondents indicates that Madrassa learning may be a serious obstacle in improving the conditions of women in Pakistan.

An unexpected finding of the study was that the Madrassa respondents considered themselves as victims of religious intolerance to a greater extent than the respondents of Urdu medium and English medium schools. This finding may be interpreted in several ways. First of all, the question arises: is it really true that they are the victims of intolerance, or it is just based on their assumption? The answer to this might lie in the concept of 'groupthink', pioneered in the work of Janis (1971). One feature of this is the need to create a common enemy which often results in the need to develop a victim mentality, or a blame culture. The findings of the present study may reflect this psychological phenomenon. It is possible that, being established on sectarian lines in Pakistan, they may indeed suffer discrimination. However, it is also possible that the pupils attending Madrassas are being brainwashed more than the pupils in the other two school systems due to the sect-based education they receive. It might be creating an 'us versus them' feeling in them that make them assume that others are intolerant towards them: this is a typical way in which groupthink may develop a victim mentality.

This perception of being a victim of religious intolerance can have serious repercussions on the society because a sense of insecurity may give rise to violent sectarianism. Experiencing themselves as victim of intolerance might be a reason for making them intolerant. In other words, if the Madrassa students consider themselves as victims of intolerance, it might provide them a justification to be intolerant towards others and involving themselves in violent activities. It may be a reason of growing sectarianism, extremism and terrorism in Pakistan. This could create an retaliatory cycle of intolerance in Pakistani society.

Furthermore, the current study shows that the girls from the Madrassas scored lower than all other students on religious tolerance, and highest on bellicose attitudes. There is a scarcity of research on girls' Madrassas in Pakistan. This finding may indicate that the Madrassa education is affecting girls more negatively than boys.

Students from the Urdu medium schools had been expected to score higher on bellicose attitudes towards India than the other respondents. They did indeed score higher on bellicose attitudes than the English medium respondents but, when compared with the students from Madrassas, they were almost at the same level. However, the data showed the tendency of high bellicose attitude among the students attending the Urdu medium schools. It should be taken as a cause of concern for two reasons: first, a high proportion of the population sends their children into Urdu medium school. Indeed, this section of the population tends to be less wealthy and holding jobs where there is, perhaps, less awareness of international situations, and they are more dependent on culturally inherited opinions for their views. Secondly, the Urdu medium school system is mostly a state-run educational system. The state holds strong views on the India-Pakistan situation, where there is understandable fear related to tension between these two nuclear powers. This may generate more bellicose attitudes, and the curriculum (with centrally controlled textbooks) may, perhaps implicitly, reflect this.

Girls from the Madrassas scored higher on bellicose attitudes than all other respondents, which may be explained in the religious context. India is predominantly a Hindu country. Muslims and Hindus have been engaged in many violent conflicts both before and after the partition because of their religious identities. The lowest score of Madrassa girls on individual religious tolerance might justify the highest bellicose attitudes towards India in the light of India's religious identity. To recapitulate, the difference between Madrassa girls and Madrassa boys might be due to the lack of exposure to outside world among the girls.

Limitations of the Study

Although, the study was conducted carefully, it still has some limitations which needs to be discussed. First of all, the sample is taken just from Lahore – one city of the Punjab province. Hence, it cannot be the representative for all the schools and Madrassas in Punjab. Second, the sample size is relatively small when divided between three types of schools.

Conclusions

Overall, the study indicates that Madrassa is a problematic educational system which needs to be reformed thoroughly in order to make Pakistan a pluralistic society. It is inevitable because the Madrassa-educated class works as a pressure group to change state policies in Pakistan. However, the Madrassa is not the only a trouble-making education system; the study shows that the respondent from the Urdu medium school system also have a high tendency towards bellicose attitudes towards India, if compared with the respondents of the English medium schools. Overall, the Urdu medium school was found more close to the Madrassa system than to the English medium school. Future studies could explore the reasons of growing religious intolerance among the girls attending Madrassas in Pakistan. It is, furthermore, recommended to investigate what role the religious education can play to make Pakistan a tolerant and pluralistic society.

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Sex Differences in Victimization from Low Intensity Intimate Partner Aggression in South Sudan

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Abstract

The aim of the study was to investigate sex differences in victimisation from low intensity forms of intimate partner aggression in South Sudan. A questionnaire was filled in by 420 respondents (302 females and 118 males) in two cities in South Sudan. The mean age was 22.5 years (*SD* 8.4) for women and 25.6 years (*SD* 7.8). Victimization from intimate partner aggression was measured with the Victim Version of the Direct Indirect Aggression Scales (DIAS-Adult; Österman & Björkqvist, 2009) which includes six scales measuring verbal and nonverbal aggression, direct and indirect aggressive social manipulation, cyber aggression, and economic aggression. The results showed that males had been significantly more victimised from physical and verbal aggression than females. A tendency was also found for males to be more victimised from nonverbal aggression and direct aggressive social manipulation. No sex differences were found regarding victimisation from indirect aggressive social manipulation, cyber aggression, or economic aggression. Males had significantly more often been bit, hit, had their belongings damaged, scratched, spit at, and shoved by their female partner. Males had also been significantly more often subjected to quarrels, to being told nasty or hurtful words, and to being yelled at by their female partner. No sex difference was found for being interrupted when talking, been called bad names, or having been angrily nagged at by their partner. For females, age correlated positively with victimisation, while for males, the correlations were mostly negative. As far as more severe forms of violence are concerned, males have generally been found to be more aggressive against their partner than vice versa; the impact of male aggression has also usually been found to be more severe. The fact that males in domestic settings are also victimised by their spouses, although to less severe forms of aggression, has received much less attention.

Keywords: intimate partner aggression, low intensity aggression, victimisation, South Sudan

Introduction

Intimate partner aggression (IPA) has been studied extensively. Criminal records of serious aggressive acts, including homicide, show that women more often than men are the victims and men the perpetrators (Grech & Burgess, 2011). It has been found that 35% of women worldwide have experienced IPA (WHO, 2103). Less severe, low intensity forms of intimate partner aggression, on the other hand, have been studied to a much lesser degree. Therefore, the aim of the present study was to examine sex differences in victimisation from low intensity forms of intimate partner aggression.

The cost of domestic violence is high to society, it has been estimated that interpersonal disputes are more costly than warfare in terms of both lives lost and money spent (Hoeffler & Fearon, 2014). Roughly nine people are killed in interpersonal disputes for every one person who dies in a civil war. But domestic violence, as reported to authorities and calculated by researchers is just the tip of the iceberg. It is usually the outcome of a long sequence of milder

forms of aggression, like insults, shouting, and slapping between partners. The cost of these types of IPA is close to impossible to estimate.

Definition

Intimate partner violence has been defined as one or more acts of physical and/or sexual violence by a current or former partner. It includes acts of different severity, ranging from being slapped to having been assaulted with a weapon (WHO, 2013). There is still no clear-cut demarcation line between low intensity (less severe) and high intensity forms of IPA. A possible categorisation could be that if the aggression is so severe that it is punishable by law, then it should be regarded as high intensity.

Trends in Research

In the 1960s and 70s, women were still considered so unaggressive that researchers found no point in studying female aggression (Buss, 1961; Frodi, Macaulay, & Thome, 1977; Olweus, 1978). In the 1980s, it was becoming clear that a distinction between quantity and quality of aggression was necessary for the understanding of sex differences in aggression (Eagly & Steffen, 1986; Hyde 1984). Following this development, in the 1990s, researchers in the field realised that physical forms of aggression until then had been overemphasised on behalf of other forms typical of females, like e.g. indirect aggression. A condensed chronological description of trends in the research on sex differences in aggression can be found in Björkqvist and Österman (in press).

Research on sex differences in IPA is at the moment going through a similar development. Two conflicting viewpoints can be discerned, referred to by Archer (in press) as symmetry and asymmetry theory. The asymmetry theory is based on traditional gender stereotypes, and it suggests that males in intimate partner relationships are more aggressive against their female partners than the other way around, i.e. there is an asymmetry between the sexes as far as IPA is concerned (Dobash & Dobash, 2004). This clearly seems to be the case if we use criminal records for an assessment of the matter (Grech & Burgess, 2011). Symmetry theory, again, suggests that males and females in an intimate relationship at an average are mutually and equally aggressive, and that aggressive interactions tend to escalate and de-escalate with the two combatants giving and taking roughly equally much to each other. Evidence for this viewpoint was first found by Straus and his colleagues (e.g. Feld & Straus, 1989; Straus, 1979, 1999; Straus & Gelles, 1992; Straus & Sweet, 1992), but similar findings have been made by others (e.g. Robertson & Murachver, 2007; Schumacher & Leonard, 2005). Notably, these researchers have conducted community based studies using questionnaires for obtaining their data.

To reconcile these two views, Archer (in press) suggested a revised symmetry theory. According to him, symmetry holds as far as low intensity (less severe) forms of IPA are concerned. However, if and when the aggression escalates to more severe aggression, when physical injury is inflicted, then males are more often perpetrators and females victims. Archer (in press) thought that symmetry would hold only in developed, Western type societies. In less developed, more patriarchal societies, he believed an asymmetric relationship would exist also as far as low intensity IPA is concerned.

In a study comparing low intensity IPA in Mexico and Finland (Österman, Toldos, & Björkqvist, 2014), using the same method of measurement of IPA as in the present study, DIAS-Adult (Österman & Björkqvist, 2009), it was actually found that there was a gender asymmetry in the opposite direction regarding low intensity (less severe) forms of IPA: males scored significantly *higher* than females on being *victimised* by their partner from physical and nonverbal aggression. In the same vein, females scored significantly higher on being *perpetrators* of physical, verbal, nonverbal, and indirect socially manipulative aggression against their partner. In another study using DIAS-Adult, carried out in Ghana (Darko, Björkqvist, & Österman, submitted), it was also found that males scored significantly higher than females on victimisation from less severe forms of physical, indirect and nonverbal aggression inflicted on them by their female partner.

About South Sudan

South Sudan is the youngest country on the planet; it became independent in 2011 (Comprehensive Peace Agreement, 2005). High levels of gender-based violence have been documented in the country (Scott et al., 2013). Today, in the aftermath of war, both men and women are commonly practicing physical aggression (Tankink & Richters, 2007). Furthermore, domestic violence has been found to force children out from their homes and starting to sleep in the streets (Ndoromo, Österman, & Björkqvist, 2017).

It has been suggested that the main reason for the high levels of aggressive behaviour in South Sudan is that, during the war, most people remained without an education (Deng, 2003). During the war, people witnessed killing of their relatives, torture, and rape, people fighting at home due to limited resources, and relatives killing each other (Paardekooper, De Jong, & Hermanns, 1999). As a result, many are psychologically affected (Gorsevski, Kasischke, Dempewolf, Loboda, & Grossmann, 2012).

Due to the lack of statistics, there is limited knowledge about the prevalence of intimate partner aggression in South Sudan. Like in other similar cultures, it is still considered a shame for a man to be beaten by his wife (Douglas & Mohn, 2014). Consequently, males are probably less likely than females to report being victimised from IPA.

Aim of the Study

Studies exploring IPA have often focused on men as perpetrators and women as victims. In the present study, IPA was investigated with both women and men as potential victims and perpetrators. If it is correct, as Archer (in press) suggests, that males perpetrate not only more high intensity but also more low intensity IPA than females in patriarchal, developing countries, then females should be expected to be victimised to a higher extent than males. However, Darko et al. (submitted) did not find this to be the case in their study conducted in Ghana. If the present study provides similar findings as those by Darko and his colleagues, then the revised symmetry theory needs to be revised once more, and the conclusion should be made that symmetry regarding low intensity IPA might hold also in African countries.

Method

Sample

A paper-and-pencil questionnaire was filled in by 302 females and 118 males in the cities of Juba and Yei in South Sudan. The mean age was 22.5 years (*SD* 8.4) for women, and 25.6 years (*SD* 7.8) for males, the age difference was significant [$t_{(407)} = 3.42, p = .001$]. Accordingly, age was kept as a covariate in the analyses. The age range was between 14 and 60 years of age.

Instrument

Victimisation from intimate partner aggression was assessed with the victim version of the Direct Indirect Aggression Scales for Adults (DIAS-Adult; Österman & Björkqvist, 2009), consisting of seven scales measuring victimisation from physical aggression, verbal aggression, nonverbal aggression, direct aggressive social manipulation, indirect aggressive social manipulation, cyber aggression, and economic aggression were. Cronbach's Alphas and individual items of the scales are presented in Table 1.

Table 1: Single Items and Cronbach's Alphas of the Seven Scales Measuring Victimisation from Intimate Partner Aggression (DIAS-Adult, Österman & Björkqvist, 2009), in 420 Respondents from South Sudan

| | |
|--------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Physical Aggression 9 items, $\alpha = .82$ | My partner has a) hit me, b) locked me in, c) locked me out, d) shoved me, e) bit me, f) scratched me, g) spit at me, h) thrown objects, i) damaged something that was mine |
| Direct Verbal Aggression 7 items, $\alpha = .85$ | a) threatened to hurt me, b) yelled at me, c) quarreled with me, d) purposely said nasty or hurting things to me, e) called me bad names, f) interrupted me when I was talking, g) angrily nagged at me |
| Nonverbal Aggression 8 items, $\alpha = .89$ | a) refused to talk to me, b) refused to look at me, c) refused to touch me, d) put on a sulky face, e) slammed doors, f) refused to sleep in the same bed as me, g) left the room in a demonstrative manner when I came in, h) made nasty faces or gestures behind my back |
| Direct Aggressive Social Manipulation 5 items, $\alpha = .85$ | a) threatened to leave me, b) purposely provoked a quarrel with me, c) omitted doing things that (s)he usually does for both of us (e.g. household work), or done them less well, d) been ironic towards me, e) been contemptuous towards me |
| Indirect Aggressive Social Manipulation 5 items, $\alpha = .83$ | a) spoken badly about me to someone else, b) tried to influence someone, such as children or relatives, to dislike me, c) ridiculed me in my absence, d) tried to exclude me from social situations, e) tried to make me feel guilty |
| Cyber Aggression 4 items, $\alpha = .82$ | a) written angry text messages to me, b) written angry e-mails to me, c) written nasty text messages about me to somebody else, d) written nasty e-mails about me to someone else |
| Economic Aggression 2 items, $\alpha = .76$ | a) not let me know details about our household economy, b) not allowed me to use money that belongs to both of us |

Ethical Considerations

The study adheres to the principles concerning human research ethics of the Declaration of Helsinki (World Medical Association, 2013), as well as guidelines for the responsible conduct of research of The Finnish Advisory Board on Research Integrity (2012).

Procedure

The study was endorsed by University of Juba. Research permission was given by the local authorities in Juba and Yei. Respondents were reached through the Women's Union in both cities, and through its members' neighbours and acquaintances.

Results

Correlations between the Scales in the Study

For females, all the scales correlated with all other scales at the $p < .001$ -level (Table 2). The same was the case for males, except for the correlation between the scale for victimisation from direct aggressive social manipulation and victimisation from cyber aggression ($p = .008$).

Table 2: Correlations between the Scales of the Study. Females ($N = 282$) in the Lower Part, and Males ($N = 113$) in the Upper Part of the Table

| Victimisation from | 1. | 2. | 3. | 4. | 5. | 6. | 7. |
|--------------------------------------------|---------|---------|---------|---------|---------|---------|---------|
| 1. Physical aggression | | .60 *** | .54 *** | .50 *** | .62 *** | .38 *** | .48 *** |
| 2. Verbal aggression | .72 *** | | .67 *** | .79 *** | .71 *** | .40 *** | .47 *** |
| 3. Nonverbal aggression | .66 *** | .73 *** | | .55 *** | .61 *** | .42 *** | .40 *** |
| 4. Direct aggressive social manipulation | .70 *** | .78 *** | .79 *** | | .68 *** | .25 ** | .35 *** |
| 5. Indirect aggressive social manipulation | .66 *** | .75 *** | .75 *** | .77 *** | | .44 *** | .52 *** |
| 6. Cyber aggression | .33 *** | .40 *** | .51 *** | .42 *** | .49 *** | | .40 *** |
| 7. Economic aggression | .59 *** | .59 *** | .69 *** | .68 *** | .66 *** | .43 *** | |

Note. *** $p < .001$; ** $p < .01$

Victimisation from Intimate Partner Aggression and Age

For females, age correlated positively with all except one (cyber aggression) of the seven scales measuring victimisation from intimate partner aggression (Table 3). In the case of males, age correlated negatively with victimisation from physical aggression, indirect aggressive social manipulation, cyber aggression, and economic aggression. A tendency was also found for a negative correlation between age and victimisation from verbal aggression. Victimisation from nonverbal aggression and direct aggressive social manipulation did not correlate with age for males.

Table 3: Correlations between Age and the Seven Scales of Victimisation from Intimate Partner Aggression

| Victimisation from | Age | |
|-----------------------------------------|---------|----------|
| | Females | Males |
| Physical aggression | .26 *** | -.37 *** |
| Verbal aggression | .22 *** | -.18 † |
| Nonverbal aggression | .28 *** | ns |
| Direct aggressive social manipulation | .32 *** | ns |
| Indirect aggressive social manipulation | .24 *** | -.20 * |
| Cyber aggression | ns | -.26 ** |
| Economic aggression | .27 *** | -.31 *** |

*** $p \leq .001$; ** $p \leq .01$; * $p \leq .05$; † $p \leq .10$

Sex Differences in Victimisation from Intimate Partner Aggression

A multivariate analysis of variance (MANOVA) was carried out with sex as independent variable and seven types of victimisation from intimate partner aggression as dependent variables, and age as a covariate. The results are presented in Table 4 and Fig. 1. The multivariate analysis was significant. The univariate analyses showed that males were significantly more victimised from physical and verbal aggression than females. A tendency was also found for males to be

more victimised from nonverbal aggression and direct aggressive social manipulation. No sex differences were found for victimisation from indirect aggressive social manipulation, cyber aggression, and economic aggression.

Table 4: Results of a Multivariate Analysis of Variance (MANOVA) with Sex as Independent Variable, and Seven Types of Intimate Partner Aggression as Dependent Variables, and Age as a Covariate ($N = 352$)

| | F | df | p | η^2 | Group with Higher Mean |
|-----------------------------------------|------|--------|------|----------|------------------------|
| Effect of Sex | | | | | |
| Multivariate Analysis | 2.96 | 7, 343 | .005 | .057 | |
| Univariate Analyses | | | | | |
| Physical aggression | 9.24 | 1, 349 | .003 | .026 | Males |
| Verbal aggression | 4.46 | " | .035 | .013 | Males |
| Nonverbal aggression | 3.19 | " | .075 | .009 | (Males) |
| Direct aggressive social manipulation | 3.54 | " | .061 | .010 | (Males) |
| Indirect aggressive social manipulation | 1.03 | " | ns | .003 | - |
| Cyber aggression | 1.77 | " | ns | .005 | - |
| Economic aggression | 0.03 | " | ns | .000 | - |

Victimisation from Physical and Verbal Intimate Partner Aggression: Single Items

When the single items measuring victimisation from physical aggression were analysed with multivariate analysis of variance (MANOVA), it was found that males were significantly more victimised than females on six of the nine items (Fig. 2). The multivariate test was significant for sex [$F_{(9, 410)} = 3.02, p = .002, \eta^2 = .062$]. The univariate analyses showed that males significantly more often had been bit [$F_{(1, 418)} = 11.68, p = .001, \eta^2 = .027$], hit [$F_{(1, 418)} = 5.63, p = .018, \eta^2 = .013$], had their belongings damaged [$F_{(1, 418)} = 6.78, p = .010, \eta^2 = .016$], scratched [$F_{(1, 418)} = 8.57, p = .004, \eta^2 = .020$], spit at [$F_{(1, 418)} = 6.17, p = .013, \eta^2 = .015$], and shoved [$F_{(1, 418)} = 13.66, p < .001, \eta^2 = .032$]. No sex difference was found for being locked in, locked out, or thrown objects at.

When the single items measuring victimisation from verbal aggression were analysed with multivariate analysis of variance (MANOVA), it was found that males were significantly more victimised than females in the case of three of the seven items (Fig. 3). The multivariate test was significant for sex [$F_{(7, 412)} = 3.47, p = .001, \eta^2 = .056$]. Males had been significantly more often subjected to quarrels [$F_{(1, 418)} = 13.63, p < .001, \eta^2 = .032$], to purposely being told nasty or hurting things [$F_{(1, 418)} = 7.57, p = .006, \eta^2 = .018$], and to being yelled at [$F_{(1, 418)} = 7.57, p = .006, \eta^2 = .018$]. A tendency was also found for males to have been more often threatened to be hurt by their partner [$F_{(1, 418)} = 2.94, p = .087, \eta^2 = .007$]. No sex differences were found for being interrupted when talking, been called bad names, or having been angrily nagged at by the partner.

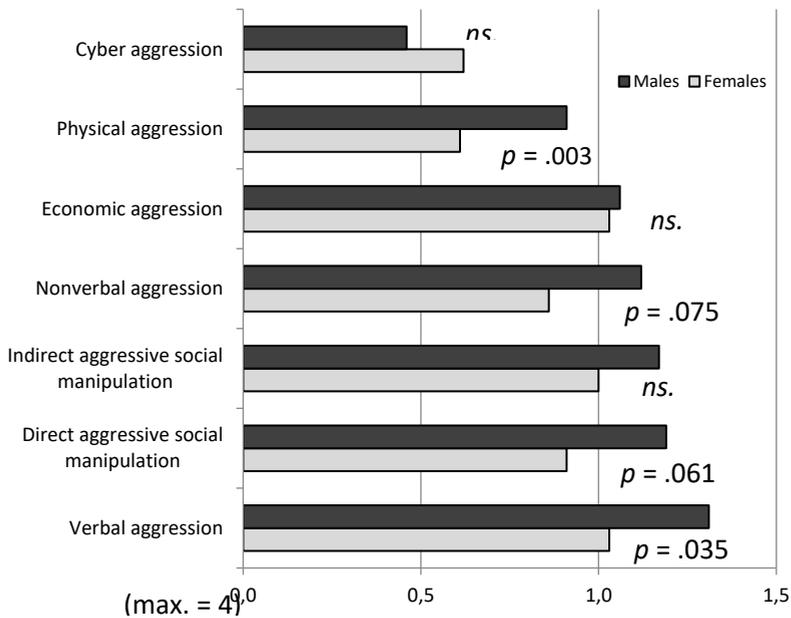


Figure 1. Victimization from seven types of intimate partner aggression, differences between females and males (N = 352).

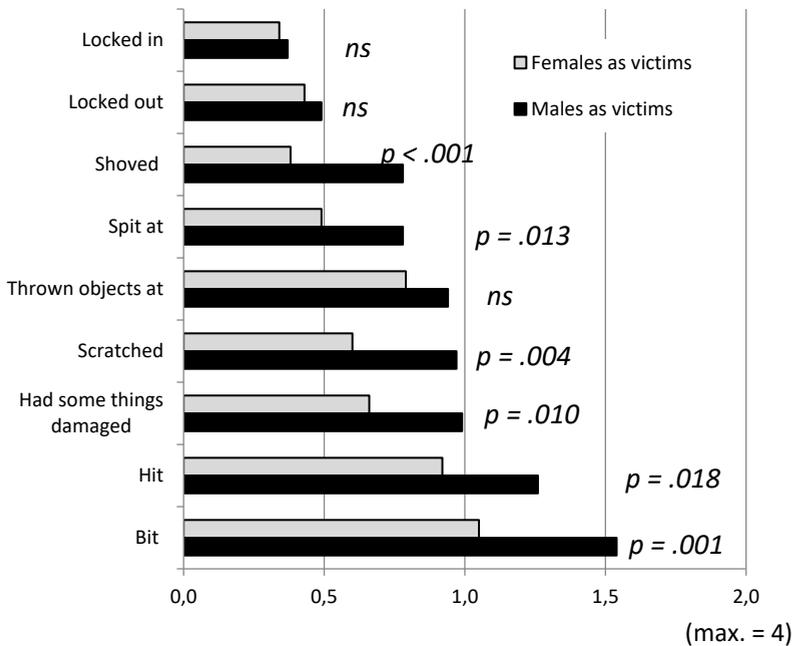


Figure 2. Mean values for females and males on victimisation from nine types of physical aggression by the partner (N = 330).

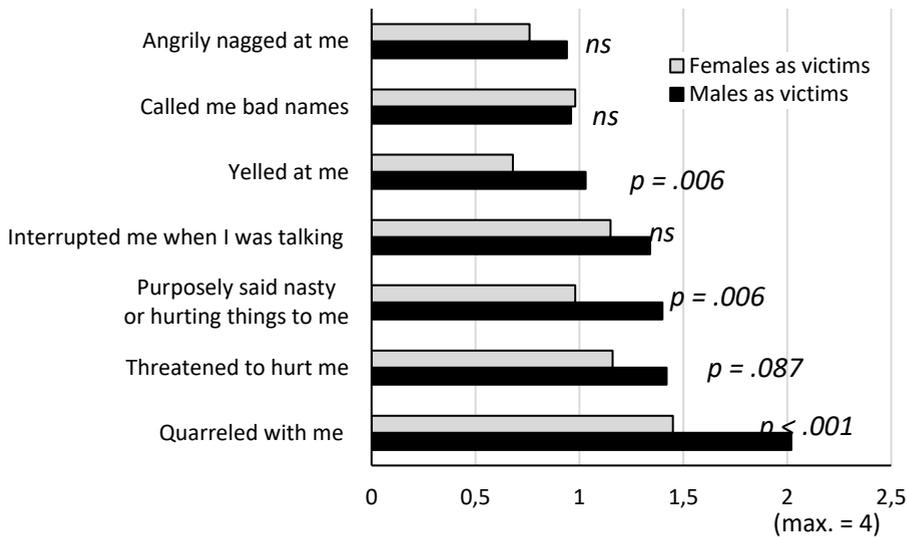


Figure 3. Mean values for females and males on victimisation from seven types of verbal aggression by the partner ($N = 330$).

Discussion

This is the third study utilising DIAS-Adult (Österman & Björkqvist, 2009) for the measurement of IPA; it has previously been used with samples from Mexico, Finland, and Ghana (Österman et al., 2014; Darko et al., submitted). The results are all in the same direction: they do not support the traditional view, the gender asymmetry theory, at least as far as low intensity (less severe) forms of IPA are concerned. If anything, males were more victimised than females, on several of the subscales.

The males of the present study had been significantly more often victimised from physical and verbal aggression. A tendency was also found for males to be more victimised from nonverbal aggression and direct aggressive social manipulation. No sex differences were found regarding victimisation from indirect aggressive social manipulation, cyber aggression, or economic aggression. With regard to individual items from the scale of physical aggression, males had significantly more often been bit, hit, had their belongings damaged, scratched, spit at, and shoved by their female partner. With regard to individual items from the scale of verbal aggression, males had been significantly more often subjected to quarrels, to being told nasty or hurtful words, and to being yelled at by their female partner.

Until now, it has been thought that gender symmetry regarding less severe IPA would exist only in modern, Western countries where patriarchal values are on the decline. The findings of this study refutes this notion; at least in two African countries, Ghana and South Sudan, males are as much victimised from low intensity IPA as their female partners, and as far as some subscales are concerned, they were even more often victimised than their partners.

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Kansei approach for the design of functional products for the elderly

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Abstract

Based on the theory of Kansei engineering, this study adopts the methods and steps of user research and divides the whole process into three stages: (1) survey and categorization of functional household items for the elderly; (2) interview with the high-involvement elderly regarding their affective preference; (3) questionnaire survey and statistical analysis of the representative functional household item for the elderly. Early results showed that (1) in terms of product search ratio, mobility assisting and communication products have the highest proportion; (2) in terms of product sales ratio, mobility assisting products reaches 25% and footwear products are the highest among them; (3) interviews with high-involvement elderly show that footwear with 40.8% is the highest demand among functional household items. Therefore, footwear products will be used as example to conduct subsequent study on Kansei preference and affective design for the elderly.

Keywords: Kansei Engineering, Functional Products, Elderly, High-involvement, Affective Design

Introduction

The new wave of retired elderly people are mostly heavily dependent on scientific gadgets in the era of science and technology. Their living style, including diet, social activities, sports and leisure, education and entertainment, etc., is very worthy of further study. In recent years, the demand for elderly products has grown rapidly due to the growth of the 65-year-old population. The elderly consumer market has become the main source of consumer economy. In the book on consumer behavior in the super-aged society, Hiroyuki Murata (2015) mentioned that the products designed for elderly market need to address the "three-troubled" for the elderly, namely, "unease", "dissatisfaction", and "inconvenience". Lee and Kuo (2001) suggested that the needs of the elderly vary depending on their daily life style. Those who are active and like to exercise prefer learning, socializing, and trying new things; therefor, they spend most of the time on learning the operation of new products. For relatively passive elderly, they focus more on material aspects, such as "food", "clothing", and "pleasure". As for those who do not like exercise or with poor health, their needs focus on "food", "clothing", "live", and "transport". This study based on the survey of elderly people life styles and product use, summarized the demand of functional products in everyday life for high-involvement elderly groups.

Methods and Procedure

Survey of daily necessities classification for the elderly

This study first searched and classified products related to food, clothing, live, transport, education, and entertainment for the elderly. However, due to the number of elderly related products are so huge, the research object mainly focused on the screening results from the database of Resource Portal of Assistive Technology (RPAT) for Multi-functional Assistive Technology, Social and Family Affairs Administration, Ministry of Health and Welfare. Based on the amount of daily search number, we screened the top 9 categories of daily necessities.

According to the product listed on RPAT database, we can see that the mobile assistive products category is the most searched for one, ranked number one as it has three products on the top ten search charts. Leisure products category ranked the second with two products on the list; and personal cleaning products came as the third with one product on the list. Therefore, mobile assistive products were used as samples for the study in the next stage. The product rankings are shown in Table 1. Mobile assistive products are searched frequently by elderly person, such as walking sticks, crutches, walkers, four-leg crutches, trolleys, wheelchairs, electric scooters, electric wheelchairs and so on.

Table 1. Short list of common elderly household items from RPAT database

| Categories | Description | Ranking |
|---------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------|---------|
| 1. eating | Special tableware, such as: curved, easy to scoop plate, non-slip mat, gap cup, adjustable weighted easy to hold tableware, one-way straw, etc. | 7 |
| 2. hygiene | Socks aids, shoelace swivel, slippers aids, snap-on aids, zipper aids, dress aids, etc. | 6 |
| 3. personal cleaning | Personal cleaning, toilet, bath, toilet height, bath chair, bathtub armrest, multi-functional bath set, hair-wash sink, etc. | 3 |
| 4. mobile assistive | Cane, crutches, walkers, four-leg crutches, trolleys, wheelchairs, electric scooter, electric wheelchair, etc. | 1 |
| 5. environmental reminder | Bathroom anti-slip strips, all kinds of safety handrails, automatic lighting systems, voice warning system, high contrast ground, etc. | 8 |
| 6. labor-saving products | Electric scooter, remote control switch, radio called bell, effort saving handle, easy to stand up mat, etc. | 9 |
| 7. communication products | Degraded visual and auditory capability may cause some difficulties in communication. | 4 |
| 8. footwear | foot aids, such as insole to reduce the pain, increase walking ability. | 5 |
| 9. leisure products | Large poker, card holder, large mahjong, automatic shuffler, indoor shooter, dart ball, indoor tennis, pillow audio, fitness ball, grip ball, etc. | 2 |

The transport product samples come from Amazon, one of the world's leading e-commerce providers. The top 100 elderly products on the website are summarized as shown in Fig. 1.

Among the top 100 products in the sales volume, transport category with 25 items summed up the highest. Within the category, six sub-categories can be identified as: the footwear, socks, crutches, trolleys, electric cars, and wheelchairs (as shown in Fig. 2). Among them, footwear accounted for 7 items; crutches accounted for 6 items; trolleys and socks accounted for 4 items each; wheelchairs 2 items; and electric cars accounted for 1 item.

Amazon sales charts

based on sales of the most popular goods. Updated every hour

< All categories

< Health care

Elderly supplies

- Help supplies
- Bathroom supplies
- Adult incontinence articles
- Dietary aids
- Daily life aids
- Care bed and
- 02-0680962

Elderly supplies sales charts



1. Fanny easy to wear off the old women's shoes 7351 Brown 39
★★★★★
¥ 554.00 prime free shipping



2. (Depend) super adult diapers M medium box 60 (buckle 1 waist paste type)
★★★★★
¥ 210.00 prime

In the elderly supplies there are more to explore

New list

> View details



Japan for a white orthopedic old ¥ 86.00 prime
Japan for a white orthopedic old ¥ 59.00 prime
¥ 230.07 prime



Fig. 1. Elderly product sales charts of Amazon's website (Amazon.com Inc.)



Fig. 2. Elderly transport goods ranking

Table 2 shows the products. Footwear sub-category with 7 items reached the highest sales on the list and was the most frequently purchased item.

Questionnaire interview on functional products with high-involvement elderly

Through double questionnaire surveys to make sure whether the footwear is the most commonly used functional products for the elderly.

The 25 samples used were screened from the website. A questionnaire survey on usage was conducted for the elderly (as shown in Fig. 3), followed by a questionnaire survey on the level of involvement for functional products for the elderly. The

results will be used for the EGM interview in the next stage. Fig. 4 shows an online questionnaire for recruiting high-involvement elderly in using functional products.

Table 2. Transport products for the elderly

| Category number | Product item | Number | images | Description | Amazon Ranking |
|-----------------|--------------|--------|-------------------------------------------------------------------------------------|------------------------------------------------------------|----------------|
| 1 | Shoes | (1) |  | Pansy easy to wear and take-off light shoes | No. 15 |
| | | (2) |  | DUNLOP soft material cushion shoes | NO. 17 |
| | | (3) |  | Pansy summer anti-skid casual shoes | NO. 37 |
| | | (4) |  | Duflex healthy shoes | NO. 44 |
| | | (5) |  | Rider Brazilian fashion function slippers | NO. 59 |
| | | (6) |  | BaBa Baba GPS smart shoes | No. 72 |
| | | (7) |  | IUMaw anti-skid easy to wear and take-off shoes | No. 83 |
| 2 | crutches | (8) |  | KAINOS carbon fiber material folding O-type anti-skid cane | NO. 12 |
| | | (9) |  | MAKI standing assisted soft grip four-leg cane | NO. 30 |
| | | (10) |  | Fuji home type S folding crutches | NO. 48 |
| | | (11) |  | KangChien aluminum alloy crutch stool | NO. 59 |
| | | (12) |  | KangChien four-leg crutches | NO. 62 |
| | | (13) |  | PengYi four-leg anti-slip climbing sticks | NO. 63 |

| | | | | | |
|---|-------------|-----|-------------------------------------------------------------------------------------|----------------------------------------------------------------|--------|
| 3 | trolley | 14) |  | Japan's dual use cart & trolley | NO. 27 |
| | | 15) |  | <i>Japan Tacaof aluminum alloy light folding shopping cart</i> | NO. 33 |
| | | 16) |  | KangChien folding shopping cart | NO. 48 |
| | | 17) |  | <i>Elliago walker /portable shopping cart</i> | NO. 68 |
| 4 | socks | 18) |  | <i>Aircast A60 ankle jacket</i> | NO. 98 |
| | | 19) |  | Anti-falling socks | NO. 43 |
| | | 20) |  | TXG warm decompression socks | NO. 21 |
| | | 21) |  | Diabetes socks | NO. 47 |
| 5 | wheelchairs | 22) |  | YuYao wheelchair | NO. 28 |
| | | 23) |  | Kawa Mora titanium aluminum wheelchair | NO. 42 |
| 6 | 電動車 | 24) |  | <i>Taiwan BiXiang electric wheelchair</i> | NO. 5 |
| | | 25) |  | <i>Taiwan BiXiang quick disassembly electric scooter</i> | NO. 78 |



Fig. 3. Fill in the online questionnaire



Fig. 4. GOOLE online questionnaire design

Statistical analysis for the questionnaire on representative elderly functional products

Screened from the online questionnaire, 12 elderly people over the age of 65 were asked to attend the interview, and the results are shown in Fig. 5. Footwear products, with the highest percentage, took up to 40.8% meaning that it was used most frequently and by most subjects. Fig. 6 indicated that items labeled 1 to 7 are all footwear. Therefore, footwear will be used to represent the elderly daily functional products in the study.

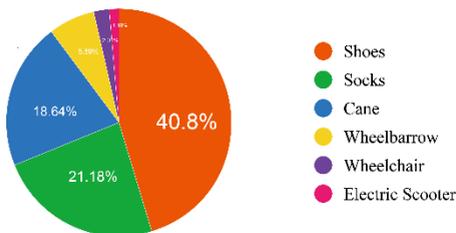


Fig. 5. Distribution of product usage from survey

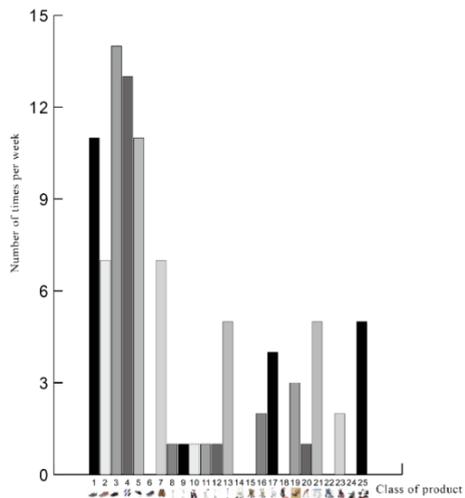


Fig. 6. Product use frequency from survey

According to the recruiting results from online questionnaire regarding the usage and frequency of use, 15 elderly were qualified as high-involvement users and were invited for in-depth EGM interview.

Results and Discussion

According to the interview with the high involvement user group, the results show that sample no.2, the anti-skid soft bottom functional shoes, is one of the essential style elderly would wear for going out, as shown in Fig. 7. It is believed that the protection of foot has been the important issue to the elderly. Many medical studies have pointed out that knee aging, plantar aponeurosis degeneration and other reasons will make elderly do not want to move around, which makes the elderly physical decline rapidly.

Among the 15 interviewee, according to their using experience and frequency of use, there are currently 60% of them wearing the very functional shoes, 20% wearing easy to wear and take-off ones. Only 20% currently not wearing functional shoes (Fig. 8), and nearly 80% of elderly people would choose functional shoes for the transport products. The results from

the interviews also showed that about 48% of the elderly with the highest frequency of wearing functional shoes at about five days a week. (Fig. 9)

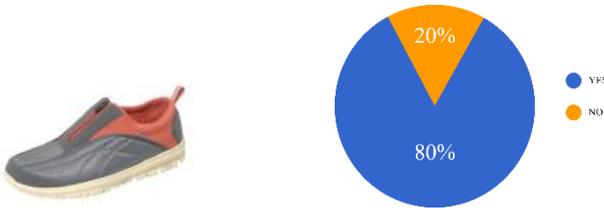


Fig. 7. Anti-skid soft bottom functional shoes Fig. 8. Usage of anti-skid soft bottom functional shoes



Fig. 9. Frequency of anti-skid soft bottom functional shoes used in a week

Conclusion and Suggestion

Concluded from the survey, data compiled, summarized and interview, it shows that the proportion of sales from mobile assistive and communication products is the highest. Which makes it clear what the demands of the elderly in the daily life are - hoping to move around independently, keep healthy, defer inconvenience caused by physical aging, and interact and communicate with friends and relatives, to maintain the quality of life. Among various functional products, footwear sub-category has the highest proportion within the transport products, which shows that footwear meets the basic functional needs of the elderly and is their most commonly used functional products. The results from the interview with 15 high involvement elderly also showed that footwear has the highest demand among functional products in daily use.

When designing functional footwear products for the elderly in the future, characteristic factors of the footwear must be captured and designed to meet the physical and psychological needs of different elderly groups. By doing so, it is hoped that functional products can be designed to meet the needs of users as we have wished in the very beginning.

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The Novel in Lesson Hours (Classrooms)

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Abstract

The novel as a complex fictitious form in which is projected the life totality has begun to lose new readers, with special emphasis on pre-university level. This study, through a survey conducted in the schools of the Republic of Kosovo, aims to show why and to what extent this phenomenon is manifested at the aforementioned level; How much and what is read; how is read. The recognition of new reader- novel reports, namely the recognition of the practical situation, becomes into the function of the possible solution of this problem that increases its magnitude day by day.

Keywords: Novel, the lesson hour, reading, reception

Introduction

By avoiding the exact language forms, with countless ways of presenting material, the novel is the art of projecting a different world; a possibility of escape from the reality of life; the ennoblement and the spiritual growth.

The general perception is that nowadays the novel has lost the reader, with particular emphasis on the new reader. Such a perception, generalized, reckless, not based on facts, or just starting from some indicators such as the fact that young people are constantly using technology, gives the impression that today none of the young people read novels. Certainly, there's a lot of truth regarding this conclusion. Nevertheless, impressions created in this form, without a real measurement, without a verification of the actual situation, are not convincing and as such cannot be taken for granted.

Creating the new reader

It would be called utopia if in this day and age we are looking forward to finding the old school reader. It is impossible that the rapid development of human society, which has influenced in every sphere of life, to not affect the reading process, at the time when life's dynamism grows more and more, reading the novel as the longest type of prose "takes a lot of time" of youngsters and is often overcome. "Unlike the lyricism and short form of prose or even drama, the novel is more open, more accumulative ... in its most prominent shows, the novel is a work in which the prose is transformed into poetry and poetry in prose"

Within a single work, the novel creates many realities that break away from a series of addictions and create their own artistic unity. Essential issues of the novel are treated as distinct categories, which are uniform enabling its receptors to select which to put on top.

Whether the novel remains a professional challenge for the literary scholar, no matter how skillful he or she is are demonstrated by several examples of "uncertainties", such as: novel is a multi-faceted genre, although there are important

novels where the is one storyline, the novel is a love story, even though the highest models of the European novel are completely stripped of the element of love ...".

Therefore, the youngsters' reception of the novel is varied. It is not just the lack of willingness to read, but also the teacher's approach and expectations from the students. The teacher's expectations should be realistic, compatible with the abilities of his/her students. It cannot be expected of primary school pupils to deal with the comprehensive and specialized analysis of the novel when their knowledge of literary theory is limited, however the level of expectation should change to the pupils of secondary school, who have a higher level of knowledge of literature, and potentially, they can become future literature scholars. So, the ability of a teacher to adapt to his/her student's age skills is a good start, but it is not everything.

Prior to the teacher "presents" the novel, a long, circumstantial preparation is required. "Therefore, truth in art is neither limited nor standardized, as it is not true only for itself, because then it would be worthless and would not serve anyone." Modalities need to be found in order that students will be eagerly waiting to read a work of literature, "Since in the world of great art, there is always something to be discovered."

Unfortunately, the findings of many years ago are still valid: "As a first problem is our outdated education system of all levels, starting from elementary to university studies. If one can say that today's literature has gone through several stages of development, there have been major changes in all aspects thus creating a series of stylistic orientations and a large number of creative individualities, the methods of literature study have remained unchanging, have not followed the development of literature as a process that is transformed every day, but as a static subject once and for all. "This is also evidenced by the fact that during a survey conducted in the schools of the Republic of Kosovo, a significant number of teachers escaped the completion of a questionnaire concerning the way they teach the novel in the class. The number of teachers who filled the questionnaire simply "because they had to" is very large.

This happens when the teacher finds ways that awaken the students' curiosity, such as the proper handling of a novel fragment, especially when we want to encourage reading outside of the classroom, or finding appropriate methodology within the lecture, where it can be included the assigning of specific tasks for groups of students, analyzing the same element of the work from different perspectives, specifically tasks that are attractive to the particular ages and from which students can enrich their souls, as well as intellectual growth and development of aesthetic taste. But, how well prepared are teachers for this "task"?

How much and how is read

The results of the survey conducted at the end of the academic year 2016/2017 in schools show different levels of teachers' approach to the lessons of the novel, either with reading fragments or the novel as a whole. As a consequence, students' approach to the novel also changes.

To the question of what they read more: storybooks, novels or poetic volumes, it is noteworthy that the novel remains the most popular genre followed by the storybooks, while the poetic volumes, according to the results of this survey, are scarcely read.

Although the novel remains the most read genre, we cannot take this fact unreservedly, as teachers with their own approach, whether or not they have influenced the creation of semantic readers instead of working towards transforming readers from semantic to semiotic ones.

According to the survey, it is obvious that the number of novel readers is directly dependent on the requirements of the teacher. This is evidenced by the fact that even in schools of the same profile the number of novels read by students is significantly different in the classroom where the teaching is held by different professors. As far as the novel is concerned, it can be implied that the largest number of its readers are females. Certainly, this number is different in other cities, but what does not change is that the dominant reader of the novel is female. Thus e.g. in a professional school in Gjakova, the average of the novels read during a school year by students is 5.5, while in a professional school in Mitrovica the average number of novels read by females is 3.6. As for the number of male readers in these schools, the results of the study are as follows: in the first school 3.3 novels, whereas in the second school 2.3 novels read by a student during a school year.

Regarding the question whether they preferred the lectures where only fragments of novels are analyzed (these are included in the books of literature for high schools) or the novels as a whole (most of which relate to reading outside the classroom) the students have preferred the lectures where the novel is analyzed in its entirety. Even though this fact should be considered as a positive sign that the novel has its readers, it is still upsetting because a considerable number of students

who were asked whether: The analysis of novels is written by themselves or taken from friends or taken from the internet, they responded that they get the analysis of novels ready from the internet. This implies that the reading is formal and the reader fails to dive deeply into the literary work, but lies on its surface, thus failing to capture its essential values. What leaves even more negative impression is the fact that teachers allow these issues to happen with countless students.

However, if students were to read only literary criticism from literary scholars, then the problem would be smaller, because at least they would face the real artistic and aesthetic values of the work for which they read, they would be acquainted with genuine criticism and would benefit from it. However, today on different Internet sites, almost everybody is able to post their own writings, no matter if they are worthless or not. A fair and serious approach by their teachers would prevent, at least in large part, this problem.

Conclusion

Based on the aforementioned survey, we conclude that reading novels by youngsters has not fallen to "zero level" as some claim, however it does not mean that it is on its best. If we rely on the average, it is noticeable that the novel could retain considerably its reader. What is worth mentioning is that this average is increased by the number of novels that are read by some students who claim to have read over 15 novels during a school year. Therefore, we can speak about different cases, students who read a lot, those who read a bit and those who do not read at all.

Since literature books include an enormous number of novels, it is teachers' "fault" for the decrease of the avid reader; many of the teachers are not considering the fact that a small mistake will be the cause of pushing away readers rather than attracting new ones to read novels. Therefore, teachers should provide the quantity and the quality of reading, include elements of novelty into classroom, provide adequate study methods, and be vigilant regarding plagiarism. Harmonizing these elements would lead towards the creation of a new dimension of novel reception by young people.

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'Positive Obligations' Doctrine of the European Court of Human Rights: Is it Cogent or Obscure?

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Abstract

Over the last half century, positive obligations jurisprudence of the European Court of Human Rights (ECtHR) has been playing a pivotal role in sculpting European Human Rights system. There is, however, some potential for disagreement on whether it is an effective and well-established doctrine or not. On the one hand, the activeness of the ECtHR brings about some practical benefits in order to keep out with new societal context, but on the other, unique tensions (e.g., underestimation of state's margin of discretion, increasing burden on state, inconsistencies and uncertainties of verdicts) in the implementation of that doctrine give rise to anxieties about its cogency. Since this issue is quite multifaceted, this paper aims to elucidate in what ways positive obligations doctrine is justified and to what extent it has been deliberate while deriving positive obligations regarding Article 2. At the end, it asserts that without positive obligations doctrine, the Convention might be outmoded and ineffective. However, despite some immature aspects of it, the Court at least strived to dynamically interpret the Convention thanks to this doctrine. For this reason, it is claimed that considering existing and possible benefits of that doctrine, common legitimization for the judicial creativity of the ECtHR might be assured in foreseeable future.

Keywords: Positive Obligations Doctrine, Margin of Discretion, European Human Rights, Right to Life

Introduction

As it is well known the first section of the Convention, consisting of Articles 2 to 18, identifies a list of major rights and freedoms. If any of these articles are taken together with Article 1, then these provisions bring about a set of duties on the State. More precisely, Article 1 transforms the declaration of these rights into a range of obligations for the Council of Europe states by stating that "The high contracting parties shall *secure* to everyone within their jurisdiction the rights and freedoms defined in the section one" (Ovey & White, 2006, p.18).¹

What is meant by the word "secure" was not explicitly defined. However, it is eventually admitted that since the negative obligations refer to "duties of restraint", to place states under only negative obligations will not be enough to "secure" these rights (Fredman, 2006, p.1). Then, it is proposed that Article 1 comprises a "double obligation" which means states are no longer merely being required to refrain from interfering with individuals' rights (negative rights); they are being needed to take steps or direct actions to protect those rights (positive rights) as well (Dickson, 2010, p.203 and Ovey & White, 2006, p.20). Yet, as determining whether positive obligations exist or not, the Court has to regard to the fair balance that must struck between the competing interests of the individual and broad community.² In this context, it is widely criticized that if the rights require positive obligations to be ascertained, then lesser protection will be available for applicant regarding that right (The Law Society, 2003, p.2). Thereby, even if the judicial creativity of the Court is admitted, some problems in practice draw attention. Before examining them, this paper begins by explaining general reasons of the positive obligations and then it goes on illustrating their reflections into real cases.

What justifies 'positive obligations' jurisprudence?

In fact, the ECtHR has solely interpreted and applied explicit positive obligations in the Convention, not derived additional ones from apparently negative obligations until the 1970s (Mowbray, 2004, p.227). However, it has more assertively derived

¹ See. Convention for the Protection of Human Rights and Fundamental Freedoms (European Convention on Human Rights, as amended) (ECHR) art 1 (emphasis added).

² See for ex., *McGinley v United Kingdom* (1998) 27 EHRR 1 para.98 and *Powell v United Kingdom* (1990) 12 EHRR 355, para. 41

implicit or implied positive obligations through purposive interpretation of the ECHR after that period. To understand the root causes of that process, the main premise of this paper is that positive obligations doctrine stems from three main factors namely: (a) deficiencies in the system, (b) the nature of the Convention itself and (c) the evolving characteristics of the Court.

To begin with, deficiencies in the system mean the problematic distinction between positive and negative obligations and less reference to socio-economic rights. In this sense, it is claimed that since the interdependency and indivisibility of all human rights has been affirmed over time, the Court has further laid stress upon implied positive obligations of the Convention in due course (Vienna Declaration and Programme of Action, 1993, para.5). Therefore, this problematic distinction is disappeared and socio-economic rights are mentioned more than earlier. Also, the nature of the ECHR refers to subsidiarity and solidarity principles. In line with these principles, the Court has more actively reiterated the primacy of the State to secure the Convention rights. At last, the dynamic characteristics of the Court points out that owing to the increased complexity of the societies and a higher rigidity in assessing breaches of principal values in democratic states, to ensure properly running human rights system has become more challenging (Harris and Warbrick, 2009, 71). Thereby, the ECtHR began to strive for not only *"the prevention of destruction"* but also *"the construction of better rights framework"* (Dickson, 2010, p.204). In this context, this section mainly seeks to analyse these factors in detail.

Deficiencies in the system

The first critique to the European Convention on Human Rights (ECHR) is that it has limited association with socio-economic types of rights and what states should/have to do. Thereby, both the limited extent of the rights and overwhelmingly negative obligations in its nature are interpreted as the significant hindrances on the way of effective system. O'Gorman (2011, 1836) also draws attention to that problem by contending that the ECHR, except the right to education, only consists of civil and political rights.

Admittedly, social and economic rights cannot be guaranteed by state's inaction. For instance, a homeless person's need of sheltering cannot be met by the imposition of only negative obligations. Due to this reason, socio-economic and cultural rights seem to be more demanding as compared to civil and political rights. Thus, they thought to be positive in nature whereas the civil and political rights thought to be negative.

Furthermore, on Dickson's view, the distinction between these rights results from the wording of two different international covenants on which these rights are modelled (2011, p.204). More precisely, International Covenant on Civil and Political Rights is premised upon "Everyone has right..." model whereas International Covenant on Economic, Social and Cultural Rights adopts "The States Parties recognize that..." model. Accordingly, it means that to ensure socio-economic and cultural rights is a decision left to high contracting state's own free will. Nonetheless, since the Convention is not inclusive enough to guarantee socio-economic rights, the Court has called for more activist state to take some affirmative tasks over time.

Additionally, blurring distinction between negative and positive obligations has been emphasised to resolve these problems and this situation eventually led to a unity amongst different types of rights. The reason behind the unity was that each right can only be ascertained by the protection of one another. For instance, Sen (1987) illustrated that "political freedom may have close connection with the distribution of relief and food to vulnerable groups". This example demonstrates that the existence of a political right is highly-attached to the guarantee of a socio-economic right.

Likewise since there is no water-tight division separating socio-economic rights from civil and political rights, the claim about limited scope of the Convention was refuted by Merrills (1993, p.94). Also Shue (1996, p. 54, 60) stated that "all basic rights involve threefold correlative duties"¹ namely: "to avoid depriving, to protect from deprivation and to aid the deprived". Hereby, the Court stressed that positive obligations are inherent in the convention itself, so each right by its nature requires not only negative but also positive obligations.

The Nature of the Convention

Subsidiarity and solidarity principles were the basic principles of the ECHR. As solidarity principle has emphasised the role of Contracting Parties to secure the rights, subsidiarity principle has undertaken the Court to be supplementary to the adjudication organs of domestic legal systems (Ovey &White, 2006, p.18). Thereby, since these principles strengthen the

¹ H Shue, *Basic Human Rights: Subsistence, Affluence, and US Foreign Policy* (2nd edn Princeton University Press, New Jersey 1996) 54

efficiency by division of labour technique, the escalation of state responsibility and the judicial creativity of the ECtHR were unavoidable.

Due to these principles, the Court has felt the necessity to stress the importance of the State as an “*Initial Protector*” and it has strengthened its role as a monitoring mechanism.¹ It also reiterated that unless the remedies are exhausted at home, the plaintiff cannot bring the case to the ECtHR. In conclusion, the Court has imposed a positive duty on States to ensure an effective national remedy system.

Besides, the Court aimed at the compatibility between state’s jurisprudence and the Convention. By this way, states structurally adjust their system to make their enforcement mechanisms more operative. Consequently, these principles has provided not only faithful state intention to secure rights but also less workload and chance to discover national courts view for Strasbourg.² Then, the inventive positive obligations jurisprudence of the Court could be justified by the nature of the Convention.

The Evolving Characteristics of the Court

Initially, the Convention aimed at providing judicial resolutions rather than imposing positive obligations (Fredman, 2006, p.1). However, while contracting states are pursuing greater unity by protecting and further realising rights and freedoms, societies have turned out to be too complex for an exclusively passive approach to rights and freedoms (Dickson, 2010, p.204). Accordingly, the Court has transformed itself from being “a factory churning out thousands of judgements each year” to “an institution that can make a real difference to the lives of people throughout the continent” (Dickson, 2010, p.205).

To exemplify, in *Artico v Italy*³, the Court points out that “the Convention is intended to guarantee not rights that are theoretical or illusory but rights that are practical and effective”.⁴ It demonstrates that European Court aims at becoming a *constitutional court* which goes beyond dealing with the allegations of human rights violation (Dickson, 2010, p.205). Briefly, the dynamic character of the Court, which aims at keeping up with new societal context, has become another stimulus for the positive obligations doctrine.

Positive Obligations Arising from Article 2 of the ECHR

Article 2(1) requires that “Everyone’s right to life shall be protected by law”.⁵ This expression consists of both negative and positive aspects of an obligation namely: (a) a negative duty to refrain from the unlawful killing and (b) a positive duty to “protect” right to life through procedural and operational measures. Even if these measures were not defined in the Convention, the Court has developed them through its jurisprudential justification. Accordingly, these measures might be interpreted as indicators of evolving nature of both the Convention and the Court.

More precisely, as indicated in *McCann and Others v the United Kingdom*⁶, “...a general legal prohibition of arbitrary killing by the agents of the State would be ineffective in practice...” because there was no procedure to scrutinize the justification for the use of lethal force in domestic legal system.⁷ Although Article 2(2) defines absolutely necessary criteria for the deprivation of life when the variability of human conduct is considered to formulate a far-reaching convention for a modern society is difficult to achieve. Consequently, the Court imposed a range of positive obligations through its judicial creativity. This paper discusses them under there headings namely: (a) the planning and supervision of operations; (b) preventive and protective measures; and (c) the investigation of killings.

Planning and the Supervision of Operations

¹ See. *Handyside v The United Kingdom*, (App No 5493/72) (1976) 1 EHRR 737 para 48 and N J Blake & L Fransman, *Immigration, Nationality and Asylum under the HRA 1998*: Nature of the Convention: the key concepts of state responsibility, the subsidiary role of the Court, positive and negative obligations, and vertical vs horizontal effect (Lexis Nexis Butterworths, London 2009)

² Ovey and White (n.1) 19

³ *Artico v. Italy*, (App No 6694/74) A/37 [1980] ECHR 4 para 33

⁴ *Artico v. Italy*, para 33

⁵ See. Convention for the Protection of Human Rights and Fundamental Freedoms (European Convention on Human Rights, as amended) (ECHR) art 2

⁶ *McCann and Others v the United Kingdom*, (App No 18984/91) (1995) 21 EHRR 97

⁷ *McCann and Others v the United Kingdom*, para.161

Due to being a subsidiary organ, the Court has participated into human rights protection mechanism merely through contentious proceedings. Nevertheless, since security or civilian forces did carry out their operations with lack of appropriate care and precaution, they justified the positive obligations jurisprudence of the Court.

To begin with, in *McCann and Others v the UK*, claimants alleged that the deliberate lethal shootings of Mr McCann, Ms Farrell and Mr Savage by British Special Air Service members violated Article 2(2) of the Convention.¹ Also, they claimed that Article 2(1) imposes a positive duty on state to give adequate training, briefing and instructions to its security forces and to supervise any action which might contain lethal force.² The ECtHR examined these claims and held that the killings of these people, even if their terrorist activities constitute a threat to state, was not proportional official response with appropriate care in organization and control.³ On Mowbray's view (2004, p.9), this case depicts the Court's eagerness to assess the care taken by the security forces of member states in carrying out operations.

However, in *Andronicou and Constantinou v Cyprus*⁴, although MMAD officers had shot Lefteris with 25 bullets and Elsie with 2 bullets during a rescue operation, the Court did not think that this operation was disproportional. The Court surprisingly was of the view that the authorities acknowledged this was a "lovers' quarrel", so the use of guns was not actually intended in the implementation of plan.⁵ On the Court's view, the authorities opened fire to prevent the worst possible eventualities.⁶ Thus, the Court rejected the claim that "the rescue operation was not planned and organised in a way which minimised to the greatest extent possible any risk to the lives of the couple".⁷ When this verdict is compared with the former one, it can be stated that some inconsistent applications occurred and thus the Court's doctrine is loosely legitimized.

Additionally, the ambit of positive obligations regarding supervision of operations is extended from security forces operations to civilian forces operations in due course. For example, in *Avsar v Turkey*, the Court did draw attention to the possible risk of using civilian forces in a quasi-police activity.⁸ At the end, the government was found liable for the acts of those forces. Thereby, it is noticeable that the protection of the right to life requires not only "criminal-law enactment" but also many other "affirmative actions" by officials which are imposed by the Court (Mowbray, 2004, p.15). Consequently, the Court has scrutinized many different aspects of state operations by its positive obligations doctrine.

Preventive and Protective Measures

As interpreting the Convention, the Court has highlighted that states have a duty to provide appropriate protective and preventive operational measures to the individuals who are under a real or immediate threat. For instance, in *Osman v United Kingdom*⁹, the Court pointed out that the ECHR might impose a positive obligation on a member state to protect an individual from the criminal acts of one another.¹⁰ Thus, the ECHR does not only have vertical effect. Due to positive obligation jurisprudence, the Convention has been applied with both vertical (state to individual) and horizontal effect (individual to individual) in due course.¹¹ Moreover, the *Osman v United Kingdom* coined "*Osman Test*" term into the legal literature. It is considered as an important test to measure the risk of real or immediate threat.¹²

At the same time, the Court indicated that "an obligation must be interpreted in a way which does not impose an impossible or disproportionate burden on the authorities".¹³ Thereby, the Court has acknowledged the capacity of the states in terms of resources and priorities and strived to impose attainable targets for officials. This situation may contribute to jurisprudential justification.

¹ *McCann and Others v the United Kingdom*, para.145

² *McCann and Others v the United Kingdom*, para.151

³ *McCann and Others v the United Kingdom*, para.212

⁴ *Andronicou and Constantinou v Cyprus*, (App No 25052/94) (1997) 25 EHRR 491

⁵ *Andronicou and Constantinou v Cyprus*, para 183

⁶ *Andronicou and Constantinou v Cyprus*, para 185

⁷ *Andronicou and Constantinou v Cyprus*, para 186

⁸ *Avsar v Turkey*, (App No 25657/94) (2001) 37 EHRR 53 para.414

⁹ See *Osman v The United Kingdom*, (App No 23452/94) (1998) 29 EHRR 245 para.116

¹⁰ *Osman v The United Kingdom*, para.115

¹¹ See *Costello-Roberts v United Kingdom*, (App No 13134/87) (1993) 19 EHRR 112

¹² See *Hertfordshire Police v Van Colle* [2008] UKHL 50 (30 July 2008)

¹³ *Osman v The United Kingdom*, para.116

Moreover, protective measures may necessitate providing medical services to some extent. However, since the economic resources of countries hugely differ, it constitutes a big challenge on the way of establishing minimum health care provisions. For instance, in *Cyprus v Turkey*¹, although the Court admitted that if a State endangers an individual life by denying health care, an issue might arise under Article 2; it denied that Turkish authorities deliberately withheld medical services to Greek Cypriots and Maronites.² Moreover, it stated that “it does not necessary to examine...the extent to which Article 2 of the Convention may impose an obligation”.³ The word ‘extent’ illustrates that the Court does not impose a certain standard for countries, it just reviews the failures. Thereby, Mowbray (2004, p.26) thought that positive obligations regarding health care provisions are “at early stage of development”. Considering possible economic burden on state, specifying a standard might be hard to achieve. For this reason, many aspects of positive obligations derived on this matter seems to be quite weak.

The Court also thinks that to provide sufficient information regarding possible threats is another state responsibility. For instance, in *Oneryildiz v Turkey*⁴, the claimant lost his family members due to methane gas explosion and the Chamber stated that “government authorities had failed to comply with their duty to inform the inhabitants of the Kazim Karabekir area of the risks they were taking by continuing to live near a rubbish tip”.⁵ Additionally, in *Budayeva and others v Russia*⁶, the Court has further elaborated this obligation. Although the media had informed civilians about potential risk of mudslides, the Court decided that there was a “substantive” violation of the right to life due to “the authorities’ omissions in implementation of the land-planning and emergency relief policies in the hazardous area of Tyрмаuz”.⁷ Therefore, the Court has gradually widened its positive obligations doctrine by imposing new duties to the States.

Investigation of Killings

The Court imposes procedural and institutional investigative duties on states both in the public and private spheres when an individual is killed or disappeared in life-threatening conditions. *Mccan and Others v the United Kingdom* was the first case which implies the necessity of the investigation by state when an individual is killed by the agents of state.

Following cases have further extended the positive obligations jurisprudence by initiating new elements. For example, *McKerr*⁸ and *Jordan*⁹ emphasised the importance of seeking and recording the facts regarding the fatal incidents to ensure “public confidence”. Furthermore, jurisprudential legitimization has been provided for this positive obligation through the judgements of the Court. For instance, in *Kelly and Others v the United Kingdom*¹⁰, the Court indicated that main purposes of making inquiries are to effectuate the implementation of domestic laws and to make states more accountable for killings and disappearances occurred under their jurisdiction.¹¹

The key elements of a proper investigation were specified by the Court while criticizing improper inquest of killings by states. In *Mccan and Others v the United Kingdom*, the applicants claimed that (a) police investigation was not independent; (b) police did not trace or interview with all eyewitnesses; (c) the Jury might had close connections with the military; (d) usual scene-of-crime procedures were not followed and so on.¹² In the light of these claims, the Court has developed key aspects of inquiry. Thereby, in *Brecknell v the United Kingdom*¹³, the compliance of the State is measured according to the elements of (a) independence, (b) effectiveness, (c) accessibility to the family and public scrutiny, (d) promptness and reasonable expedition.¹⁴

¹ *Cyprus v Turkey* (Application no. 25781/94)(ECtHR, 10 May 2002)

² *Cyprus v Turkey*, para. 219,221

³ *Cyprus v Turkey*, para. 219 (emphasis added)

⁴ *Oneryildiz v. Turkey* (App no 48939/99)(2004) 41 EHRR 20

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⁷ *Budayeva and others v Russia*, para 158

⁸ *McKerr v. The United Kingdom*, (App No 28883/95) (2002) 34 EHRR 553

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¹⁰ *Kelly and Others v the United Kingdom*, (App no 30054/96)[2001] ECHR 40

¹¹ *Kelly and Others v the United Kingdom*, para 94

¹² *Mccan and Others v the United Kingdom*, para.157

¹³ *Brecknell v the United Kingdom*, (App no 32457/04) [2007] All ER (D) 416

¹⁴ *Brecknell v the United Kingdom*, para 75-82

Also, in *Nachova and others v Bulgaria*¹, the Court reiterated that more rigid obligations will be necessary when a violent act is prompted by racial prejudice.² Thus, these cases demonstrate that since the beginning duty to investigate is evolving. The Court has been striving to provide effective remedies to Article 2 violations and not to bring about onerous burden on states. Nonetheless, Chevalier-Watts (2010, p.721) states that even if the Court provides a fair balance between the burden on state and practical method of ensuring Article 2, "it will always be subject to constraints in its ability to enforce or demand regime change in a liberal democracy".³

Conclusion

In sum, when the Court has taken the lead to mitigate the problems arising from the European Human Rights system, the ambit of positive obligations jurisprudence has unprecedentedly broadened in due process. However, owing to the uncertainty and inconsistency in the implementation of that doctrine deep concerns have been raised about its cogency. Another anxiety was that these obligations might be underestimating state's measure of discretion and leading to onerous burden on states. Also, it is contended that while many positive duties have been laid down by the ECtHR on Article 1 of the Convention, such obligations did not arise in relation to all provisions and they are loosely justified (Campbell, 2006). Therefore, it is asserted that the positive obligation jurisprudence of the Court still does not demonstrate a "*principled and systematic commitment*" to all of the rights defined in the ECHR (Dickinson, 2010, p.207). For this reason, this paper preferred to examine main positive obligations derived regarding one of the most fundamental rights, right to life, and concluded that positive obligations doctrine has some impotent and vague aspects.

On the other hand, as indicated by Mowbray (2004, p.5-6) the Court's positive obligations jurisprudence is a natural result of "...dynamic interpretation of the convention in the light of changing social and moral assumptions".⁴ Additionally, even if the obligations of state appear to increase, state's role is correspondingly shifted from "*rowing to steering*", and therefore it may have mechanisms to share its burden (Osborne & Gaelber, 1992). In this regard, the belief was that without positive obligations doctrine, the convention might be outmoded and ineffective; however, despite immature aspects of that doctrine the Court has at least strived to prevent it. Therefore, once the relevant rights become practical and effective in practice, common legitimization for the judicial creativity of the ECtHR might be assured in foreseeable future (Mowbray, 2004, p.207).

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² *Nachova and Others v Bulgaria*, para. 157

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Free-Time Management among Master's Degree Students of Georgia

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Abstract

Attitude to time management in modern literature becomes more and more topical. According to (Orlikowsky and Yates 2002), increased competition causes the necessity of effective utilization of time. The part of free time in time budget of employed Master's degree students becomes smaller, and the importance of free time is almost disregarded. (Garhammer M. 2002) supposes that short period of time includes such types of activities, which have direct impact on energy restoration of Master's degree students. We can't completely share the opinion of Marquis and Huston (2009), who think that only event management and not time management is possible in life, and we consider that proper use of time resource causes formation of self-management culture (Kharadze N. Gulua E., 2016) Our article deals exactly with mentioned issues. Research was organized by Human Potential Management Laboratory (HPML) of TSU. Research was carried out in 5 leading universities of Georgia: Iv. Javakhishvili Tbilisi State University, Georgian Technical University, Gori State University, Telavi State University and Shota Rustaveli Batumi State University. Research was referred only to Master's degree students. Number of respondents amounted to 523. The questionnaire included 37 questions and 117 versions of answers. We laid an emphasis on that part of time budget, which doesn't represent the part of working time, in particular the time allotted for everyday rest, part of activities scheduled on Saturday and Sunday, time spent in social networks, personal hygiene, transportation, sport, physical activities, time devoted to sleep and nutrition. Research showed that in time budget of employed Master's degree students less attention is paid to free-time management that is the basis of increase of stress situations. Thus, conflict situation management among Master's degree students became the subject of consequent research of our laboratory. Except for employment or teaching activities, one has to devote certain time to personal life. Psychological or physical health predetermines better accomplishment of intended objectives. Proceeding from peculiarities of free-time management the recommendations were elaborated, which requires: development of self-management abilities, implementation of changes at organization level and amendments in the Law on Education System. In-depth study of time budget of Master's degree students is topical, since exactly these youngsters are potential labor resource of our country. Availability of healthy labor resources, in its turn, predetermines the potential of long-term development of organization and country as a whole.

Keywords: Time Management, Free-Time Management, Human Potential Management, self-management, stress Management

Introduction

Attitude to time management is becoming more actual in modern literature. (Orlikowsky & Yates, 2002) The increase in the competition causes the need for effective use of time. The amount of free time is gradually decreased and its meaning is ignored in the employed graduates' time budget. Garhammer, M. considers that the activities that are directly affecting the recovery of the magistrates' energy are done in a short period of time. (Garhamer, 2002) The opinion that in our life it is

possible to manage only events and not time (Marquis & Huston, 2009), we do not fully share, and we believe that proper use of time resources causes a creation of self-management culture. (Kharadze, natalia; Gulua, Ekaterine, 2016) Our article is dealing with the above mentioned issues. The research was organized by Human Potential Management Laboratory. The survey was conducted at 5 leading universities in Georgia: Ivane Javakishvili Tbilisi State University, Tbilisi Technical University, Gori State University, Telavi State University and Batumi Shota Rustaveli State University. The research was focused only on the MA students in Economics and Business Directions. The number of respondents was 523. The card included 37 questions and 117 options for answers. We focus on the part of the time budget that is not included in the amount of working time, namely the time allotted for daily rest, the share of events planned for the weekend, the time spent on social networking, personal hygiene, transportation, sport, physical activities, sleep and eating.

Besides performing work or learning activities, people must give some time to themselves and their personal lives. Psychological or physical health determines a better performance of the set goals.

"It is true that management is an essential part of governance, but leaders are not always effective leaders at this time. An effective leader is someone who can influence others in some ways or manners. A student who cannot manage himself/herself, which directly means not being able to manage time, will not be able to manage someone else. (Kharadze, Natalia; Amyoladze, Gocha, 2014)

Rational use of time is important for students because this is a stage for professional and moral formation, a period of establishment in the community (Kharadze, natalia; Gulua, Ekaterine, 2016) Time management is the one of main challenges of students, who have many other challenges caused by system problems of higher education (Gulua, Ekaterine, 2017)

Due to this fact, an in-depth survey of the time spent on the MA students is very important, because they represent potential labor resources of the country. Healthy labor resources determine a long-term future development potential of the organization and the country. MA students' wish is to become leaders, The main phenomenon in the governance is a leader, who is active, emphatic, emotional, knowledgeable and educated, honest, and most importantly the existence of followers based on its main character activity, encouraging success and influencing them. However, by incorrect distribution of time, they may get sick and their goals remain unrealized. (Kharadze, Natalia; Amyoladze, Gocha, 2014) Georgian MA students have special opportunities in a tourism sector, because Georgia is annually becoming more and more appealing to foreigners. (Kharadze, Natalia; Korganashvili, Larisa, 2014) Future masters are allowed to work in foreign companies, the number of which is growing. In foreign companies it is necessary for them to adjust to a different rhythm of life which means effective time consumption.

While doing our research, we focused on 2 parts of time. One was directly related to the time spent on work since the majority of MA students are employed full-time and it also included the time to attend lecture-seminars and to study disciplines. The second part is free time in which we meant time for nutrition, sleep, sports activity, weekend rest.

We will pay attention to the analysis of the second part, because we think that in the age group of MAs it is important to use free time correctly to restore the energy spent by them. This will enable them to increase labor productivity with resource. Interestingly, the attitude MA students have towards the time management is also influenced by the cultural characteristics of the country and the region. Relationship to free time is different in different countries (Kharadze, Natalia; Chikhradze, Kakhaber, 2015) Special attention to free time management is even more interesting, since 85.5% of respondents indicate that they don't have enough time and only 14.5% are satisfied with their time. Let's assume that they are the students who are not employed or work part-time. See Table 1.

| | | Frequency | Percent | Valid Percent | Cumulative Percent |
|-------|-----------------------|-----------|---------|---------------|--------------------|
| Valid | Time is enough for me | 76 | 14.5 | 14.5 | 14.5 |
| | Is sometimes enough | 306 | 58.5 | 58.5 | 73.0 |
| | Is never enough | 141 | 27.0 | 27.0 | 100.0 |
| | Total | 523 | 100.0 | 100.0 | |

Systemic time deficiency is a very strong stress that affects health: immune system is weakening, the risks of diabetes, ulcer, cardiovascular, tumor and other diseases are increasing. Managing yourself means that you can manage the special and normalized resource that is called time. Proper management of time means fulfilling your activities effectively and achieving the goal with less expenditure. From the well-known time management systems Franklin's pyramid, Covey's time management matrix and David Allen's Getting Things Done (GTD) I will focus on American Peter Drucker, who indicates in his book "The Effective Executive" that time management and management are closely linked to each other (Drucker, 1967). We will add on our side that self-management should also be considered in connection with them. If you cannot manage your own time, you cannot manage yourself and therefore cannot manage anything and anyone.

It is also interesting that the majority of the interviewed MA students are employed full-time (76%) and accordingly are at work from 9 am to 6 pm. Approximately the number of unemployed graduates is equal to the amount of MA students content with their time. The employed students have to spend more time on transportation during the day, because they go to work first and then to university. Obviously, the transportation time could be considered as a sort of relax, but most of the respondents have to spend several hours to travel because they have to be in traffic jams after working hours. See Table 2.

| | | Frequency | Percent | Valid Percent | Cumulative Percent |
|-------|------------------|-----------|---------|---------------|--------------------|
| Valid | Up to one hour | 172 | 32.9 | 32.9 | 32.9 |
| | 1 -2hours | 271 | 51.8 | 51.8 | 84.7 |
| | 3 -4hours | 65 | 12.4 | 12.4 | 97.1 |
| | More than 4hours | 14 | 2.7 | 2.7 | 99.8 |
| | 5 hours | 1 | .2 | .2 | 100.0 |
| | Total | 523 | 100.0 | 100.0 | |

As a result of the analysis, it was estimated that the average time spent by MA students on the transportation is 2 hours from their time budget. Only 0.2% of the respondents do not have to travel. These are the students who do not work and live in the university dormitory.

It is interesting how MA students understand the importance of free time and if they plan it. As it turned out while distributing the time resource the majority of the students do not plan free time. See Table 3. As a result of the survey, only 25.9 percent of respondents often plan how to spend free time and 71,1 percent sometimes or never plan it. This picture is also aggravated by the fact that a large number of respondents cannot find time to relax even on weekends. The use of free time and a healthy lifestyle are the factors that affect the development of healthy labor resources. Thus, in this regard, we have introduced a number of questions in the questionnaire which give us an idea about the attitude of the MA students towards a healthy lifestyle. The healthy lifestyle implies the behavior that positively affects the health of human beings, that means that the healthy lifestyle itself includes all the elements of behavior.

| | | Frequency | Percent | Valid Percent | Cumulative Percent |
|---------|-------------|-----------|---------|---------------|--------------------|
| Valid | Often | 135 | 25.8 | 25.9 | 25.9 |
| | Sometimes | 236 | 45.1 | 45.2 | 71.1 |
| | Hardly ever | 151 | 28.9 | 28.9 | 100.0 |
| | Total | 522 | 99.8 | 100.0 | |
| Missing | System | 1 | .2 | | |
| Total | | 523 | 100.0 | | |

Despite the low level of free time planning, it is noteworthy that respondents manage to spend time in social networks. The social network has both positive and negative sides as well. Through this students can save time and connect with many people, get lots of information. Along with the positive sides it has its negative sides. Often there are occasions when social networks have a negative impact on the human psyche. Despite the lack of sufficient time resource, most of our respondents

spend more time on social networking. In particular, only 40% spend one hour and the rest spend more than 2-3 hours. It is a subject of a separate research with what activities are they busy in social networks. Unfortunately, this question is not in our field of research. If we rely on the question in the questionnaire, from which we can find out that employed MA students are content with the materials provided by the lecturer and are less familiar with other materials, we can conclude that the majority of them don't use social networks for professional purposes.

Against the background of learning and employment, the overloaded day regime is a great risk to emerging stresses. In such circumstances it is not a social network but a physical activity which is a means of relaxation. This gives them the opportunity to restore energy and not switch from the natural condition of fatigue to the chronic conditions, since releasing chronic tension is not possible without a doctor's intervention.

What is the attitude towards sport? See Table 4. Nearly 82% of respondents have never been engaged in sport activities and the level of daily physical activity is higher, in particular, only 8% do not do exercises at all.

| | | Frequency | Percent | Valid Percent | Cumulative Percent |
|-------|--------------------|-----------|---------|---------------|--------------------|
| Valid | Up to half an hour | 352 | 67.3 | 67.3 | 67.3 |
| | Up to 1 hour | 109 | 20.8 | 20.8 | 88.1 |
| | More than 1 hour | 43 | 8.2 | 8.2 | 96.4 |
| | More than 2 hours | 15 | 2.9 | 2.9 | 99.2 |
| | 5 hours | 4 | .8 | .8 | 100.0 |
| | Total | 523 | 100.0 | 100.0 | |

With the enhanced loading background, students' sleep is important. Insufficient sleep reduces resistance to stress. It is known that 80% of stress causes the disease of cardiovascular, nervous, gastrointestinal and other organ systems. As a result of the overloaded schedule and addiction to social networking, young people's sleep regime is also violated. See Table 5. The study shows that only 29% sleep for 8-9 hours, and about 75% sleep for 5-6 hours. It is also alarming that only about 25% manage to sleep before 12 o'clock, especially when most of the students have to be at work at 9 o'clock the next day. The optimal period recommended for sleep is between 22-23 pm and 6-7 am. The data are even getting worse because the full majority of respondents start working at 9-10am which means that either they do not arrive in time in working places or they are sleepy and without energy, accordingly their labor productivity in such a case obviously will be very low.

| | | Frequency | Percent | Valid Percent | Cumulative Percent |
|-------|-------------------|-----------|---------|---------------|--------------------|
| Valid | Less than 5 hours | 43 | 8.2 | 8.2 | 8.2 |
| | 6-7 hours | 350 | 66.9 | 66.9 | 75.1 |
| | 8-9 hours | 123 | 23.5 | 23.5 | 98.7 |
| | More than 9 hours | 7 | 1.3 | 1.3 | 100.0 |
| | Total | 523 | 100.0 | 100.0 | |

In our study, the MA students' eating frequency was also included. One of our criteria for proper nutrition is the frequency of receiving food, which is the basis of eating culture, which is a necessary condition for good health and subsequently for successful activities. The picture is alarming. See Table 6. From the data it becomes clear that only 2.6% of respondents manage to eat 4 times a day, which is considered to be a norm, and it is a sad reality that 23% of the students eat only

once a day. Only 48% manage to eat twice a day. It is a subject of a separate study whether they get the amount of calories that are needed for human and especially for adolescents' development and maintaining health. Unfortunately, our study did not cover the determination of the food ration.

| | | Frequency | Percent | Valid Percent | Cumulative Percent |
|---------|---------|-----------|---------|---------------|--------------------|
| Valid | Once | 118 | 22.6 | 23.5 | 23.5 |
| | Twice | 242 | 46.3 | 48.1 | 71.6 |
| | 3 times | 130 | 24.9 | 25.8 | 97.4 |
| | 4 times | 13 | 2.5 | 2.6 | 100.0 |
| | Total | 503 | 96.2 | 100.0 | |
| Missing | System | 20 | 3.8 | | |
| Total | | 523 | 100.0 | | |

We have formulated the following hypotheses:

H1: Gender, working in private or public sector, working with profession and working time in social networks have a significant impact on variables:

Q10 - How many hours do you attend lectures per day?

Q11 - How many lectures do you attend weekly and

Q8 - What time do you need to prepare lectures and seminars during a day?

H2: Gender affects variables: Q10 – For how many hours are you at the lecture per day?

Q11 - How many lectures do you attend weekly and Q8 - During the day how many hours do you need to prepare lectures – seminars.

H3: H3: Working in private or public sector affects variables: Q10 - For how many hours are you at the lecture per day?

Q11 - How many lectures do you attend weekly and Q8 - During the day how many hours do you need to prepare lectures – seminars.

H4: Working with a profession affects variables: Q10 - For how many hours are you at the lecture per day?

Q11 - How many lectures do you attend weekly and Q8 - During the day how many hours do you need to prepare lectures – seminars?

H5: Time for working on social networks affects variables: Q10 - For how many hours are you at the lecture per day?

Q11 - How many lectures do you attend weekly and Q8 - During the day how many hours do you need to prepare lectures – seminars?

It was interesting for us to evaluate the effect of social networking on the Q10, Q11 and Q8 variables during the day.

As is shown in Table 7, working on social networks during the day affects the Q11 variable (about how many lectures/hours do you attend per week) with a statistically significant link on 0,05 level, $P = 0,033$, $P < 0,05$

| Dependent Variable | Sum of Squares | df | Mean Square | F | Sig. | Partial Eta Squared |
|--------------------|----------------|----|-------------|---|------|---------------------|
|--------------------|----------------|----|-------------|---|------|---------------------|

| | | | | | | | |
|------------------------------------------------------------------------------|-----------------------------------------------------------|----------|-----|-------|-------|-------|-------|
| Q10 How many hours are you at the lecture per day? | How many hours do you spend on social networking per day? | 1,334 | 3 | 0,445 | 0,921 | 0,430 | 0,006 |
| | Error | 228,753 | 474 | 0,483 | | | |
| Q11. How many lectures/hours do you attend weekly? | How many hours do you spend on social networking per day? | 25,559 | 3 | 8,520 | 2,939 | 0,033 | 0,018 |
| | Error | 1373,825 | 474 | 2,898 | | | |
| Q8 During the day how many hours do you need to prepare lectures – seminars? | How many hours do you spend on social networking per day? | 1,842 | 3 | 0,614 | 1,514 | 0,210 | 0,009 |
| | Error | 192,253 | 474 | 0,406 | | | |

A weak positive attitude ($r = 0.137$, table 8). So the fifth hypothesis was fulfilled partly to the Q11 variable.

| | | Q1 Gender | Q4 Besides studying do you work in private or public sector ? | Q19 How many hours do you spend on social networking per day? | Q21 Do you work with your profession? |
|------------------------------------------------------------------------------|---------------------|-----------|---------------------------------------------------------------|---------------------------------------------------------------|---------------------------------------|
| Q8 During the day how many hours do you need to prepare lectures – seminars? | Pearson Correlation | -0.116** | 0.208** | 0.050 | 0.285** |
| | Sig.(2-tailed) | 0.008 | 0.000 | 0.258 | 0.000 |
| | N | 518 | 518 | 512 | 517 |
| Q10 How many hours are you at the lecture per day? | Pearson Correlation | -0.172** | 0.355** | 0.115** | 0.175** |
| | Sig.(2-tailed) | 0.000 | 0.000 | 0.010 | 0.000 |
| | N | 509 | 509 | 507 | 508 |
| Q11 How many lectures/hours do you attend weekly? | Pearson Correlation | -0.040 | 0.355** | 0.137** | 0.139** |
| | Sig.(2-tailed) | 0.366 | 0.000 | .002 | 0.002 |
| | N | 513 | 513 | 509 | 512 |

By means of filtration we have only selected the students who work in private or public service and analyzed the social condition of employed students. In particular, the following types of data are available for married and single students through the consumer table: salary, duration of sleep, whether they have the time allotted for rest, how many times they eat a day properly. We got the following picture (Table 9).

According to the 9th table, the number of employed students is 427; 72 are single and 450 are married, most students - 212 single students and 40 married students have more than 500 GEL.

| Q28 What is your salary? | | Q18 Marital Status | | Total |
|--------------------------|--------------------------|--------------------|-----------|-------|
| | | Married | Single | |
| | | Frequency | Frequency | |
| Up to 100 Gel | Up to 100 Gel | 1 | 11 | 12 |
| | From 100GEL - to 200 GEL | 1 | 8 | 9 |

| | | | | |
|---------------------------------------------------|---------------------------|-----|-----|-----|
| | From 200 GEL – to 300 GEL | 2 | 25 | 27 |
| | From 300 GEL - to 400 GEL | 4 | 41 | 45 |
| | From 400 GEL – to 500 GEL | 10 | 60 | 70 |
| | More than 500 GEL | 40 | 212 | 252 |
| Total | | 58 | 357 | 415 |
| Q29 How many hours do you sleep? | Less than 5 hours | 6 | 35 | 41 |
| | 6-7 hours | 43 | 261 | 304 |
| | 8-9 hours | 10 | 71 | 81 |
| | More than 9 hours | 0 | 1 | 1 |
| Q16 Do you have time allotted for a rest per day? | Often | 8 | 93 | 101 |
| | Sometimes | ,24 | 174 | 198 |
| | Almost Never | 27 | 101 | 128 |
| Q33 How many times do you eat properly per day? | Once | 14 | 93 | 107 |
| | Twice | 26 | 177 | 203 |
| | 3 times | 14 | 77 | 91 |
| | 4 times | 0 | 10 | 10 |

When asked about sleeping duration most employed students from both categories (married and single) answered the question about sleeping duration and indicate that they sleep for about 6-7 hours.

When asked whether they have the time allotted for a rest per day, most of the single students (174 students) indicate that they sometimes have time for a rest during the day and most of the married students unfortunately have almost no time to relax. A large number of single students (101 students) also report the same.

And they were asked the last question - how many times they eat properly per day, most of both married and single employed students responded that they eat twice. No one from the married students has given a positive answer to the category- 4 times.

While building a consumer table by means of statistics we had an opportunity to define a connection of marital status of students with the following variables: Q28 What is your salary? Q29 How many hours do you sleep? Q16 Do you have time allotted for a rest during the day? And Q33 How many times do you eat properly per day?

From the statistical table 10 we find that the marital status variable has a close statistical connection on 0.01 level ($P = 0.010$), with the leisure time variable.

Table 11 shows a correlation between Q18 (marital status) and Q16 (Do you have the time for a rest during the day?) Variable. As is shown in the table, there is a weak negative correlation between these variables.

| | | Q18 Marital Status |
|-------------------------------------------------|------------|----------------------|
| Q28 How much is your salary? | Chi-square | 3.077 |
| | Df | 5 |
| | Sig. | 0.688 ^a |
| Q29 How many hours do you sleep during the day? | Chi-square | 0.358 |
| | Df | 3 |
| | Sig. | 0.949 ^{a,b} |

| | | |
|--------------------------------------------------------------|------------|--------|
| Q16 Do you have the time allotted for a rest during the day? | Chi-square | 9.118 |
| | Df | 2 |
| | Sig. | 0.010* |
| Q33 How many times do you eat properly per day? | Chi-square | 1.935 |
| | Df | 3 |
| | Sig. | 0.586 |

| | | Do you have the time allotted for a rest during the day? | Marital Status |
|----------------------------------------------------------|---------------------|----------------------------------------------------------|----------------|
| Do you have the time allotted for a rest during the day? | Pearson Correlation | 1 | -0.156** |
| | Sig. (2-tailed) | | 0.000 |
| | N | 522 | 522 |
| Marital Status | Pearson Correlation | -0.156** | 1 |
| | Sig. (2-tailed) | 0.000 | |
| | N | 522 | 523 |

This research provides a general picture about the time budget of the employed MA students in Georgia and offers general trends about time management. Since the results of the research are mainly given in the data of descriptive statistics, we present general recommendations that should be taken into consideration by an employed (MA) student to effectively organize the time. Part of these recommendations were formulated by Iv. Javakhishvili TSU Department of Psychology.

Objectives and prioritization. In addition to learning and career goals, personal goals, including: understanding social, emotional or financial goals, realizing their significance will also help the person to better prioritize its goals. Consequently, time planning more reasonably should be taken into account in order to achieve a certain goal.

It is important for people to remember keeping a balance between different goals. In addition to learning and working, it is necessary to have time for relaxing and daily household activities.

Planning of the activities and writing the list. It is Recommended to have a book/notebook with a calendar, where all the important events: the date of exams, the timing of submitting reports at work, short term goals and other events will be written down.

Making a schedule of activities is desirable for the effective management of a limited amount of time. Every evening it is possible to find 10 minutes to write a list of activities for the next day, what you need to do and how much time you actually have: to find the literature for an abstract or choose a birthday gift for a friend.

It is important to order a list of activities according to priorities. You can specify the time duration or the specific day section for each activity.

However, it is important to have flexibility, make some corrections in the list, remove or add some activities.

Avoiding postponing of doing things ~ It is not recommended to postpone the various difficult or boring tasks. Often instead of starting a whole project, we procrastinate and do nothing. As a result, a person may have qualms of conscience and anxiety.

To avoid this habit, it is desirable to think about the negative aspect of putting off something before the last minute. If it is not possible to finish the entire project at once, it is better to divide it into smaller parts and perform separately.

Concentrating on the learning process - It is recommended to relax for a short time before starting to learn. It is necessary to allocate specific time for studying and it is desirable this period to be the same every day. It is better to choose a quiet and comfortable place for studying. It is desirable to turn off the phone, TV and other devices, as well as switch off the various social networks so that people can be fully focused on the studying. Since it's easy to lose attention, that's why it is important for people to think only about the study material and not about job related things.

Allocating time for yourselves. In addition to performing work or learning activities, people must give some time to themselves and their personal lives. Being psychologically or physically well ensures better fulfillment of the set goals.

Eating: It is necessary to eat properly. Some food and substance increases stress and anxiety, while others reduce them. It is recommended to reduce caffeine, nicotine, animal fat; to get a lot of water, vegetables, cereals. It is necessary to get food at least twice a day and the last meal should not be later than 8pm.

Exercise: Physical activity improves blood circulation, focus concentration, sleep and generally - health; it reduces stress, encourages releasing endorphins, which leads to feeling of being well.

Sleep: It is better to sleep and wake up at the same time. Sleep duration is recommended from 7 to 9 hours. If you do not sleep enough regularly, the concentration capability, the efficiency of memory, general cognitive functions and the energy level decrease, the stress increases.

Relationships: Despite the busy schedule, social relationships should not be stopped. If the schedule allows you, find some time every week to meet your friends or enjoy with your family.

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It is important for people to realize that it is impossible to satisfy and fulfill all the wishes and goals at once. Developing time management skills is not easy, it takes time. Sometimes people are not able to keep balance. In this situation it is desirable to understand the positive and negative sides of the situation, evaluate the results and review possible alternatives. Sometimes people should forgive themselves if they could not do something in such a way as they meant to do, they will bring the goals to the end as soon as it is possible.

- After completing any item in the list of planned activities, it is desirable to reward yourself, even with a little bit. For example, if you finish an important task at work, you can reward yourself with visiting friends.

- Considering the interests of the MA students who are employed by the organizations will have the sense of belonging to the organization and the use of their own potential in favor of the organization. (Gulua, Ekaterine; Kharadze, Natalia, 2014)

- At the legislative level it is important for employed MA students to be allowed to work part time.

- The study has shown that the employed MA students' time budget is less focused on managing free time, which is the basis for increasing stressful situations. Thus, conflict situations became the subject of further study in our laboratory.

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Revisiting the Issue of Interdisciplinarity and Disciplinary Distinctions in Social Sciences

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Abstract

Interdisciplinarity depicts a theoretical and pedagogical approach and a set of academic practices that has been increasingly more popular and widespread. Being more than a general term describing theoretical, pedagogical and institutional activities, interdisciplinarity has radically altered the conception of disciplinary distinctions and caused various disciplines to redefine their symbolic and methodological boundaries. Moreover, academic communities are on the way of changing their symbolic and institutional territories, very solidly defined at times, upon influence of interdisciplinarity. This article focuses on the concept of interdisciplinarity with respect to the relatively long history of disciplinary distinctions and attempts to critically analyze the various definitions of and problematic points regarding the concept.

Keywords: Interdisciplinarity, Disciplinary Distinctions, Postmodernism, Social Sciences, Methodology.

Introduction

Interdisciplinarity, when it first emerged as a concept, simply described a more efficient method of education by bringing together the methods and knowledge of different disciplines. However, this approach led to the questioning of the epistemological assumptions of different disciplines and ways of acquiring knowledge and, through the very perspectives it provided, led to a radical set of transformations. Moreover, interdisciplinarity has become almost a keyword not only in terms of academics of today, but also in the business world and in different professional fields. With interdisciplinary programs that are becoming increasingly common in universities and interdisciplinary approaches that are increasingly influential and important in different academic practices, interdisciplinarity has become a hallmark of contemporary education and approaches.

However, we see that the term is often used to create a conceptual confusion and is simply perceived as a side-by-side introduction of different areas of expertise. On the other hand, it is also true that the concept of discipline notion tends to define a particular specialty or specialization practice and, in particular, to create 'disciplinary disciplines' with the same specialization practice on the institutional level. This is a fairly accurate observation especially in areas such as cultural studies or communication that have begun to take root in the institutional sense. However, when the basic rationale of interdisciplinarity is understood, it would be clear that this is only a seemingly contradiction, that interdisciplinarity is not merely a discipline of different disciplines, which is to bring the boundaries of these disciplines together. In this relatively long historical light of the division of social and human sciences into objective disciplines, this paper aims to problematize interdisciplinarity, to reveal how interdisciplinarity emerges and to reveal the theoretical implications of interdisciplinarity, which is a concrete practice of interrogating traditional disciplinary distinctions.

Disciplinary Distinctions in Social Sciences and the Rise of Interdisciplinarity

Discipline is conceptually related directly to the notions of hierarchy and power. The discipline that derives from the word *disciplina* in Latin refers to a kind of master-apprentice relation in the learning process and necessarily implies a specialized and valued knowledge that some have and some do not possess (Moran, 2010: 2). Discipline speaks of a certain degree of coherence in the sense that it has been "encased in stainless steel" as Frank (1988: 100) says. However, the etymological effort for the concept of discipline, of course, hardly provides us with an understanding of the epistemological and ontological assumptions of the concept, its place in the modern knowledge creation process and its institutional background. In order to understand these structures, it is necessary to look at the basis on which the distinctions between disciplines occur. In this sense, it is useful to return to one of the most popular and basic texts on the emergence of disciplinary approaches and distinctions between disciplines. The 1996 report of the Gulbenkian Commission, which imposes an ambitious mission of restructuring social sciences (Wallerstein, 1996), is in fact a late manifestation of the embodied interdisciplinarity tendency

in social sciences. This manifesto, which rejects disciplinary divisions, European universalism and methodological positivism altogether, is trying to reinforce a belief that scientific knowledge can be combined on a pluralistic basis. The report basically follows the historical distinction between the natural and social sciences, helping to keep track of the disciplinary crisis that social sciences have faced today. It is observed that the distinction between the disciplines of social sciences in the period of 1850-1945 has strengthened both in the sense of the dominant science paradigm as well as in the institutional sense. This is also the period when social sciences completely purify itself from the idiographic historical roots. Disciplines of different social sciences (such as economics, political science, and sociology), which define themselves on a nomothetic basis, are in need of finalization by emphasizing a number of disciplinary divisions among themselves, which are specific to their fields (Wallerstein, 1996: 31). We can say that the process of building these disciplinary boundaries, which have been successfully established in both institutional and paradigmatic sense, has been dragged after the 1945s.

Several different tendencies are striking in the period after World War II. Especially after 1960, in social sciences the intellectual boundaries between different disciplines become increasingly unclear, but a relative resistance to this obscurity in institutional sense is observed (Wallerstein, 2004: 23). Secondly, there was a gradual disappearance of the differences in intellectual spheres dealing with the Western and the non-Western world. Another point is that as the interdisciplinary distinction becomes unclear, the culture gains an increasingly decisive role as an area of study. Moreover, with the "cultural turn" which "encompasses a wide array of new theoretical impulses coming from fields formerly peripheral to the social sciences" that emphasize the "causal and socially constitutive role of cultural processes and systems of signification" (Steinmetz, 1991: 1-2) the paradigm of cultural studies has had a significant role in dissolving of disciplinary boundaries.

We observe that this process, which begins with field studies and gradually takes the form of methodological and epistemological sharing of different disciplines, is not simply a sharing of information. It is possible to explain the effect of interdisciplinary studies with the changing definition of theory. Nowadays, without any restrictive definition in human and social sciences, the 'theory' does not refer to discipline-based forms as it used to be. Today, with the intense influence of the interdisciplinary approach, the theory refers to a "combination of some specific kinds of theorizing that have acquired a metadisciplinary universal status" (John, 1996: 29). Post-structuralism, feminism, semiotics, psychoanalysis are examples that can be given to these forms.

The history of the idea of being sensitive and open to very different areas, which are the basic principles of interdisciplinarity, can be dated back to Antiquity. We see that in ancient times there is a belief that true knowledge can only be obtained by feeding from very different areas of expertise. For example, Aristotle (1952: 161) stated that a well-educated person should not restrict himself to a specific field, he must feed and acquire skills from all sources of life. However, it should be noted that interdisciplinarity is a modern concept as it is operational today and is directly related to the concept of modern university. Thus, interdisciplinarity is a movement, a set of practices and an approach, which, as mentioned earlier, occurs in response to and after the disciplinary separations that became increasingly evident in the Western world in the 19th century.

Interdisciplinarity is often defined by reference to the limitations of a particular discipline at the analysis level and the establishment of knowledge on the basis of reciprocity. For example, according to a widespread definition, interdisciplinary studies refer to a process of solving an issue or problem that is too complicated or too comprehensive to be adequately addressed by a single discipline or area of expertise (Klein and Newell, 1998: 3). However, this definition does not explain the methodological properties of the concept but rather talks about its functions. Obviously, exploiting the concepts and methods of different disciplines itself does not make a research interdisciplinary. In the words of Stember (1998: 341), the interdisciplinary approach involves the integration of knowledge produced by different disciplines on a particular subject. But this integration does not simply mean assembling. The information, concepts, tools, and rules used by different disciplines should be integrated in a way that after this process much more analysis power would be uncovered from their respective totals. It is this methodological maneuver that gives strength to interdisciplinarity. In this sense, it is necessary to point out the difference between multidisciplinary and interdisciplinarity. While multidisciplinary refers to bringing together different disciplines without expecting them to intersect on a well-defined matrix (Cluck 1980: 68), interdisciplinarity denotes a process necessarily involving a unifying interaction (Klein 2000). In this sense, the elements of a multidisciplinary approach may complement each other or intersect, but the communication between these disciplines is assumed to be minimal (Hanisch and Vollman, 1983). Because there is no real integration between these disciplines, the multidisciplinary process does not create an epistemological or methodological change or difference in these disciplines.

When one of the main sources of interdisciplinarity is thought to be pedagogical, the inevitable link between interdisciplinary research and education emerges. Along with the question of disciplinary boundaries, one of the main objectives of interdisciplinary education is to develop critical thinking. In the context of interdisciplinarity, this is only possible with ability to make a transition between cognitive and theoretical structures of the disciplines and to compare and contrast their methodological principles in their different areas of research. Bradbeer (1999: 382) stated that the three main problems encountered in the provision of interdisciplinarity in education is being able to develop an interdisciplinary approach, sufficient understanding of the possibilities that disciplines have within themselves and synthesizing different disciplines. These problems are becoming more complicated when the epistemological preconceptions and discourses of different disciplines and the educational strategies and traditions of these disciplines are considered. If we go back to the differences between multidisciplinary and interdisciplinarity, we can better understand how critical these differences are in interdisciplinarity. The fundamental difference of interdisciplinarity from multidisciplinary, that is, the ability to intersect different disciplines on the basis of a well-defined matrix, requires the observation of these epistemological and pedagogical differences and the integration of these differences in the general framework of the interdisciplinary approach. In this case, interdisciplinarity in this context is far beyond bringing together different disciplines; it aims to unify them in a coherent whole. As a result of both institutional developments and interdisciplinarity, we observe that many interdisciplinary perspectives are disciplines of their own (e.g. archeology, cultural studies, communication sciences, urban studies, historic preservation).

However, a seemingly paradoxical situation with the observation of 'disciplined interdisciplinary spheres' arises as a result of the criticism of interdisciplinarity. These criticisms that focus on the disappearance of the disciplinary boundaries and the popularization of interdisciplinarity, particularly agree on the disappearance of the historically founded methodological criteria and the ambiguity of the traditional fields. Abbott (2001: 121) speaks of an increasingly apocalyptic point of view at the academy. In the academic world, which is shaped by this point of view, professors of English language are doing anthropology and calling it cultural studies, economists are doing sociology and calling it family economics. Clifford (2005: 31) made a similar observation that in recent years there has been a sort of "disciplinary disarray" in which "things fall apart" and the "center cannot hold". In this mess, he says, cultural studies dominate the academic world. It should be noted, however, that such criticisms are, in a sense, aimed at the interdisciplinarity approaches at the extreme poles. There is also the opinion in the view of advocacy of interdisciplinarity that does not prefer establishing a duality between disciplinarily and interdisciplinarity or denying disciplinarity altogether but claim that these are complementary elements. It should also be noted that this approach argue that any attempt to protect disciplinary boundaries as such tend to neglect the complicated relationship between knowledge and power. Kelley (1997: 21) argues that we can not escape from disciplinary approaches because we are shaped by a set of disciplinary traditions, and that interdisciplinarity reinforces the position of disciplines at the center of the modern problem of knowledge. Hence, interdisciplinarity still operates within an academic language, which, while forming its own paradigm and discourse, is also influenced and necessarily shaped by disciplinary boundaries.

Some Problems of Interdisciplinarity

Although the interdisciplinarity is becoming increasingly popular and emerging as a defining paradigm of contemporary research processes, we can see that the paradigmatic and discursive differences and distances created by the disciplinary distinction embody itself in institutional sense. Especially the research, performance and promotion criteria based on the traditional disciplinary distinctions constitute the foundational basis of academic community that sustains its influence and protects its boundaries. We can easily observe that the interdisciplinarity largely influence the criteria based on disciplinary distinctions and the traditional academic community concept. This effect threatens the boundaries of academic communities, while at the same time it tends to change the relationship between the communities. Becher and Huber (1990) find that there is a hierarchical relationship between academic communities and that 'pure' sciences or natural sciences stand in a hierarchically higher place than the social sciences. Cole's (1992) explanation of which variables this hierarchy built on would help us to observe the influence of interdisciplinarity. The most important and relevant variables are high degree of quantification, methodological and theoretical compromises within and among academic communities, and a verifiable set of predictions based on theories (Cole, 1992: 107). Clearly, with the widespread adoption of the interdisciplinary approach, these features that are attributed to the pure sciences are increasingly being questioned. The tendency to quantify has been replaced by the widespread consensus on the significant contribution of qualitative research. The direct effect of this is the threatening of the methodological and theoretical reconciliation between and within academic communities in pure sciences. Similarly, social sciences which have tended to be nomothetic and expected to be located in a high place in this hierarchy have gradually felt the need for the contribution of the idiographic human sciences. Hence,

interdisciplinarity has not only directly affected the hierarchy between pure sciences and academic communities of other sciences, but also directly influenced the hierarchical positioning of academic communities in these two spheres. On the other hand, the impact of the interdisciplinarity on the relationship between academic communities significantly influences the basic academic practices of different specializations. Elzinga (1987) has already identified this phenomenon for the Western world in the 1980s and has attributed increasingly project-oriented academic activities to the reduction of disciplinary distinctions. The activities that are increasingly appreciated in the academic world are project activities (Elzinga, 1987: 16), which develop in accordance with the needs of economic centers and significant problems identified by different centers. While not being the subject of this paper, the overriding importance of project activities might result in the fact that academic communities would show less interest in dealing with basic epistemological and ontological problems and develop theoretical analysis that rely on practice.

Academic disciplines draw their boundaries and become regulatory systems through a number of institutions such as universities, research centers, associations, scholarship institutions, and academic journals. These regulatory systems can be conceptualized as cognitive systems that improve their vocabulary and cultural systems that contain norms and values about how to work on problems (Buanes and Jentoft, 2009: 448). These organizing, cognitive and cultural systems are disciplines since they are dealing with the subject from a particular perspective and generating a set of principles and methods (methodologies) on how to work on it. However, as Buanes and Jentoft (2009: 449) have noted following an analogy they have established with political systems, academic disciplines can take on a variety of forms ranging from very loosely structured 'anarchies' to very rigid hierarchically organized systems. In the same conceptualization, loosely structured disciplines that do not have a hegemonic paradigm are defined at an immature stage. Merton's idea that sociology reaches very few conclusions since it has many different areas of research refers to this 'immaturity' of sociology discipline in this sense (DiMaggio, 1997, cited in Buanes and Jentoft, 2009: 449). In other words, when we look at the concept of discipline in this way with an evolutionist scheme, it is seen that one of the basic conditions of producing a cumulative scientific knowledge is possible through the disciplines which are perceived as regulatory, cognitive and cultural systems and imagined as closed systems. The basic question is how the interdisciplinarity that is supposed to contradict this kind of scheme and which is supposed to wrap the foundations of this fiction will provide cumulative knowledge production. This is a pedagogical question, including the transfer of knowledge as much as it is production. The absence of paradigm, or the absence of a particular method, which is often put into interdisciplinarity, is in fact just the criticism developed on the basis of this disciplinary tradition and its basic principles.

A fundamental trend observed in these criticisms is a parallelism between the postmodern approach and the interdisciplinary approach. This parallelism lies on the fact that the two approaches question the legitimacy of disciplinary distinctions. The fact that postmodernism is against the disciplinary distinctions or has a "radical interdisciplinary character" (Rosenau, 1992: 6) do not make postmodernism interdisciplinary. It should be noted that there are many differences between interdisciplinarity and postmodernism both in terms of methodology and epistemology. If a postmodern methodology is mentioned, it can only be understood by the notion of schizoanalysis and a semiotic multicentric approach that operates within the framework of this concept (Murphy, 1989). Along with the idea that the fact can have multiple meanings synchronically and there is no ultimate reading of a 'text', postmodern tradition does not conform the concept of reality and conventional sense of methodology. Szostak (2007) compares postmodernist and interdisciplinary positions in terms of different aspects in his valuable work. For example, while postmodernist position advocates that there can be no scientific method to produce claims of universal truth, the disciplinary position merely asserts that the strengths and weaknesses of different methods are present, and thus that each discipline might contribute to an integrative approach (Szostak, 2007: 66). At the same time, the interdisciplinary position does not explicitly state the radical positions of postmodernists that prefer intuition over reason and reject the whole idea of progress, or it can not adopt a radical attitude to this area (Szostak, 2007: 72). One of the most distinctive features that separates the interdisciplinary position from the postmodernist position is the fact that the interdisciplinary approach, as mentioned earlier, believe in in an integrative approach that can produce claims of truth. Moreover, the belief that amalgam, which can be formed as a result of specific contributions of different disciplines during integration and disintegration, is more capable than that of individual methods in the discovery of reality is basically separating these two positions.

Conclusion

The main difficulty in using interdisciplinary approaches in both research and pedagogical areas is due to the confusion of the concept with multidisciplinary. Another difficulty arises from the implementation of integration which fundamentally differs it from multidisciplinary. First of all, this process, which is based on the methodologically and epistemologically

consistent analysis of different disciplines, the use of different tools specifically designed for the subject area and the establishment of the basic principles of the interdisciplinary field, undoubtedly presents its own difficulties. These difficulties continue even for the more entrenched interdisciplinary fields such as communication sciences, cultural studies, or urban studies. Another problem related to this point is that the social sciences, as explained in the first sub-section, defines a nomothetic field of research historically. In addition to the difficulty of establishing the interdisciplinarity in fields such as sociology, economics and political science, which are historically described in the nomothetic field, there are difficulties created by intersections of those fields with the disciplines of philosophy and history which are historically described in the idiographic realm. This creates new challenges for disciplines such as women's studies, comparative literature, cultural history research, and a host of other problems related to disciplinary boundaries. One of the fundamental criticisms of interdisciplinarity is the ambiguity or limitlessness of the methodology, but in fact, it becomes a 'non-disciplinary discipline' as a result of the interdisciplinary integrative approach as we have seen from the differences between interdisciplinarity and postmodernism. Therefore, the goal of these criticisms should be read more in terms of relatively less-developed interdisciplinary approaches.

Another radical transformation brought about by interdisciplinarity is, as mentioned, felt in the concept of academic community and in its interrelated institutional and structurally embodied relations. As noted, this is particularly a question of increasing importance of project activities in academic performance and knowledge production. This is of course a positive development in terms of questioning the strict boundaries between academic communities and their hierarchical relations, and the negative effects of these boundaries on the realization of the meritocracy. However, the dependence of the awards of academic performance and academic practice on project execution leads to the gradual depreciation of theoretical studies specific to their own fields of different disciplines and relatively well-established disciplinary fields. The production of cumulative scientific information is not merely an issue of problem-solving. The mentioned process tends to limit scientific knowledge to this issue, and the role of interdisciplinarity in this process is remarkable.

When interdisciplinarity is perceived in superficial terms, it is simply defined as cooperation of different disciplines. We are often faced with such perceptions in project activities and in pedagogical processes. In fact, interdisciplinarity is a process in which conventional disciplinary distinctions are questioned and, as explained in the present work, it refers to a process of 'non-disciplinary discipline' which generates an integrative approach rather than new disciplinary boundaries. We can easily observe good examples to this process in deep-rooted interdisciplinary fields such as cultural studies, communication sciences, archeology, urban studies, etc. So an interdisciplinary field will contribute positively to the production of cumulative scientific knowledge as a 'non-disciplinary discipline', as long as it questions the knowledge-power relations operates within the structuring of disciplinary boundaries and is being embodied through institutional and symbolic formations.

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Reflections on the Environmental Impact Assessment Processes in Turkey

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Abstract

Environmental Impact Assessment (EIA) process is a procedure that the environmental impacts of decisions on people, fauna and flora, soil, weather, climate, land, cultural heritage, etc. are taken into account before the decisions are made. Moreover, the EIA process has gradually been evolved to cover social aspects. However, Turkish legislation and implementation of EIA process seem to have significant problems when it comes to assessment of decisions on social aspects. This article will offer a critical account on the EIA process in Turkey with regard to the analysis of social impacts. The study will especially focus on whether the EIA reports in Turkey deal with the medium and long-term social impacts of the decisions in real terms and whether these reports have practical benefits in decision making processes. Moreover, the author will specifically ask whether EIA reports in Turkey assess the investments in terms of usefulness and sustainability. The main argument in this study is that those significant merits of the EIA process directly depend on the strength, efficiency and applicability of democratic participation mechanisms.

Keywords: Environmental Impact Assessment, Turkey, Social Impact Assessment, Democratic Participation, Sustainability

Introduction

Environmental Impact Assessment (EIA) process is a procedure that the environmental impacts of decisions on people, fauna and flora, soil, weather, climate, land, cultural heritage, etc. are taken into account before the decisions are made. EIA is a process that has been evolved into its current state almost in the last four decades. There has been a growing interest in environmental issues, which focuses on the notion of sustainability and reaching to goals of economic development by establishing a harmony with environment. This awareness was reflected in legislation as well to regulate different activities in accordance with principles of environmental protection and prevention of associated problems. The role of European Commission in this process is decisive and the EIA process has been a major consequence and realization of this environmental awareness. Although there are many definitions existing in literature, the following definition is operational for our purposes:

EIA is a process, a systematic process that examines the environmental consequences of development actions, in advance. The emphasis, compared with many other mechanisms for environmental protection, is on prevention. Of course, planners have traditionally assessed the impacts of developments on the environment, but invariably not in the systematic, holistic and multidisciplinary way required by EIA (Glasson et al., 2005: 2).

Thus EIA as a systematic and holistic method not only specifies the possible environmental impacts of the projects but also deal with the ways to take measures to prevent these impacts. As Gilpin (2000: 4-5) states EIA not only investigates the "likely effects of a proposed policy, program, or project on the environment" but also it offers "alternatives to the proposal" and "measures to be adopted to protect the environment."

This paper aims to examine the environmental impact assessment processes in Turkey, which are regarded as one of the most effective tools globally in reducing environmental problems. EIA applications in Turkey will be examined in terms of legal processes and difficulties in implementation, and efforts will be made to understand how the EIA process has undergone a major transformation. In this context, one of the main objectives of the study is to explain the link between EIA processes and social factors. The EIA process appears to be a product of a sustainable development framework and a human-focused approach to the concept of ecology. Being also an academician, the author is a social impact assessment expert who has participated in various levels of EIA processes since 2000 in Turkey. Through this experience and knowledge, it is examined how stakeholders perceive the problems in relevant legislation and difficulties in implementation

in the EIA processes in this study. While addressing the structural problems in the EIA processes in Turkey, the author also examines the social awareness to the environment and the effects that this problem has on the EIA issues, which are as important as these structural problems. The main assumption of the study is that EIA processes in countries such as Turkey where social awareness to environmental problems are mostly perfunctory. In this context, even if the legislation on EIA processes is formulated flawlessly, structural problems arise in the implementation of these processes.

The fact that the EIA processes in Turkey are not developed through adequate environmental awareness does not mean that only the cultural and social structure can be blamed for the deficiencies and problems in the implementation and relevant legislation. Today, many environmental problems are resulted from the fact that policy makers tend to prioritize development in their choices between environment and development. The results of such decisions lead to environmental and social problems cannot be compensated in the future. Waiting for increased environmental awareness in the solution of ecological problems will lead to a number of problems that cannot be solved in the middle and long term. At this point, instead of policies that prioritize development, an understanding based on principles of sustainable environment must become dominant. It is necessary to examine the structure of the perception that is common in member countries of European Union that environmental constraints and individual interests are parallel phenomena. This would enable us to reveal the facts that prevent the formation of such perception in Turkey and to think about which the steps should be taken to form such a perception.

The Basic Principles of EU Environmental Policies

There is no doubt that for European Union politicians, environmental problems are far more critical than the politicians of neighboring countries who are not members of the Union. The growing awareness of the environment in the EU countries, the increasingly stronger green movement, and the fact that these countries play a leading role in the international arena cause environmental problems to take more place on the public agenda. In member states of the European Union, environmental sensitivities play a decisive role in all political decisions taken about everyday life.

Increasing numbers of disasters such as floods, droughts, forest fires, the increase of carbon dioxide emissions from houses and transportation vehicles, the decrease in quality of life due to pollution and noise especially in urban settlements, and many other environmental problems have become increasingly part of everyday life in Europe as well as other industrialized regions. The fact that the European Union exhibits a minimum of a common political attitude against environmental problems stems from the existence of environmental problems that have become part of everyday life. On the other hand, the cost of eliminating environmental problems threatens the sustainability of economic activities. The most basic condition of economic sustainability has become environmental problems. In this sense, it has become compulsory for the countries of the Union to designate a common environmental policy or to develop a common view towards the environment.

As the scale of all economic sectors such as agriculture, industry, energy, tourism, transportation grows, the environmental problems increase and these problems undermine the economic activities that create them. Today, many researchers are clearly demonstrating a deep relationship between the economy and the environment. However, EU and European countries' policies and awareness towards environmental issues have also evolved from total negligence to an accentuated emphasis on environmental issues. For example, as Jordan (2005: 3) states the word "environment" was not found in the 1957 Treaty of Rome. He maintains that with the increasing environmental awareness in the late 1960s and early 1970s, the member states of European Economic Community have begun to work on environmental issues for better European integration especially in the 1972 United Nations Environment Conference in Stockholm. Consequently, European Commission first prepared the Programme of Action on Environment in 1973. Since then the member countries' emphasis on environment have increased both in terms of legislation and implementation of basic principles.

Although created by environmental sensitivities, the European Union's understanding of sustainable economy and environment is an understanding based entirely on the individual's growing needs and based on economic development. The acceptance of this political point of view by all the member states is primarily due to concern that economic competition should be fair. The environmental problems we face today must undoubtedly be addressed on a global scale beyond the national borders. However, the commonality of the views of the member states of a nuclear activity is related to the fact that the thorium clouds will not require any visa to cross the national borders between France and Britain, as well as a standard in the production costs of energy and creation of a competitive economic space in unity. This partnership does not mean only the protection of a cleaner environment and ecological equilibrium, but also the creation of a common and competitive market.

Moreover, the freedom of movement of capital, goods and people is mainly based on fair competition conditions to be provided within the European Union countries. In short, what makes the European Union a political, economic, cultural and environmental union is itself in the conditions of fair competition. In order for different political approaches to environmental problems not to be obstacles to fair competition, it is necessary to create a common environmental policy, common approaches and a social demand to support this policy. Today, the rise of the environmentalist social movements in the European Union countries in parallel with each other is based on a common market understanding as well as a movement to prevent environmental problems. Such a social demand is necessary to legitimize the additional costs that are created by the means to be used to solve environmental problems and which, in the end, must be paid by the citizens. This environmental demand will create common policies within the European Union that will be developed against environmental problems. These common policies, while raising environmental standards, will be the founders of fair competition as well. In short, environmental problems are caused by the unlimited needs of the individual. Individuals created an environmental perception at the point where the environmental problems threatened their daily lives. This perception has made it a political imperative to establish certain environmental standards. These standards ensure fair competition conditions that form the basis of the European Union. We can call this cycle a cycle of environmental awareness and economic interest.

When we look at the basic principles of the EU environmental policy, it is possible to see the cycle we are trying to convey above. The primary principle of the European Union's environmental policy is integration. Within this guideline, sustainable development is only possible with the harmonization of environmental protection measures with all the policies of the European Union. Integration requires that development be within the boundaries where it has not destroyed itself. With the integration principle, the individual is encouraged to make a request to exchange their short-term interests with their long-term interests. As Musu (2008: 3-4) maintains integration principle aims to integrate different dimensions to environmental policy: "legal, administrative, economic, and participatory." He asserts that the main aim of this principle is to "compare different possible instruments so as to use them in the most efficient way." The second principle is preventive principle, and this principle again emerges as one of the basic principles of sustainable development. Economic sustainability is more important than economic profitability in all circumstances. This principle, which aims to prevent environmental problems before they are created, excludes a self-destructive economic understanding. The cost of such exclusion requires citizens to pay the cost or walk in order to be able to see a beautiful landscape. An environmental policy, where everything is made easily accessible, is incompatible with the preventive principle. In order to eat in front of a beautiful landscape, it is necessary to walk or to pay a large amount of money. In both cases, the landscape will be less affected by human factors and preserved. Moreover, the preventive principle calls for ways to make an investment without causing the problem, rather than creating a problem and then solving it. The third principle is precaution principle. Precautionary principle emphasizes the unpredictability of environmental impacts. If there is a suspicion that an activity will have a negative impact on the environment, it aims to prevent the activity, even if it is not scientifically proven. The fourth principle is the "polluter pays" principle. If there is any damage occurred in any economic activity, the responsible party pay the costs of that particular activity. The last principle is the subsidiarity principle. This principle is based on the fact that the service is provided by the institution closest to the public. This principle, which places responsibility on local governments, emphasizes the complementary effect of the European Union. This principle, which states that local governments are responsible for environmental management, emphasizes the link between environmental issues and the social structure. However, this principle is also subject to many criticisms. As Glachant (2001: 13) maintains some interpreters consider this principle as having a weakening effect on EU environmental policy through which the EU's power on the scope of environmental issues could be restricted.

Environmental Impact Assessment processes have been the most basic environmental control agent that these principles have come to life. EIA processes can also be seen as the implementation area of these basic principles within the European Union. Even though these principles live with many agents in everyday life, EIA processes are the main source of these principles. It would be correct to say that these principles have shaped European Union EIA legislation in practice. As Löber (2011: 44) stated EIA has a novel approach to the environmental issues at hand:

EIA ... seek to overcome the vertical approach to environmental issues, i.e. the goal was to integrate environmental policies into other policy fields. They require that environmental issues be considered across all sectors; previously, problem solving remained strictly within the borders of the addressed sectors. This vertical policy-style could not consider the environment as a whole, thus measures to solve one problem often had adverse effects on other environmental issues.

Moreover, the prerequisite for these principles to survive in EIA implementation is the public pressure to ensure that these principles are implemented correctly and are included in legislation. In order for this kind of public opinion to be formed

within the framework of individual preferences, it is primarily necessary for the individual to develop a medium- and long-term perspective that prioritize environment over development. This is fundamental to determining the legal framework and the effectiveness of the EIA processes.

Some Problems of the EIA Processes in Turkey

The legal source of EIA processes in Turkey is the EIA directive, which has undergone 17 major and minor changes from 1993 to 2017 in total. According to a statement made by the Chamber of Environmental Engineers, the EIA directive, published in the European Union in 1985, has only been amended three times. This can even be seen as a proof of the perfunctory nature of the EIA processes in Turkey, which inevitably generates the lack of interest in fighting environmental problems and in environmental protection. When the concept of EIA first emerges in Turkey, it can be seen that the legal regulations in this area are far from aiming to balance the environment and the economy and to realize the basic principles we consider above. EIA first entered environmental legislation in August 1983 with Article 10 of the Environmental Law No. 2872. However, the EIA Regulation has been published only after 7 February 1993, almost 10 years later in various negligence and delays. With the provisional Article 3 of the first published Directive, the projects for which approval, license, permit, and expropriation decisions were taken before the enactment of EIA Regulation of February 1993 were exempted from the EIA process. A legal gap has been created for this 10-year delay: The projects of which the implementation projects have been approved, or a permit, license or approval or expropriation decision has been taken from competent authorities in accordance with the Environmental Legislation and other relevant legislation (or has been selected in accordance with the relevant legislation, activities taken) prior to 7 February 1993 were exempted from the EIA process.

Furthermore, when we look at the amendments made in the directive over the years, it is possible to say that the EIA directive has gradually moved away from the five principles we have listed above. The results of policies by political governments that make the EIA process an "obstacle" in front of the investor and interpret the environmental protection-use balance by prioritizing "use" principle are also consistent with the EIA statistics of the Ministry of Environment and Urbanization. The number of projects evaluated between 1993-2012, which had positive EIA decision was 2,792. The number of projects for which the EIA is not required decision is 39,649. The number of projects which had negative EIA decision is only 32. In this sense, the EIA processes have ceased to be processes that will provide the basic conditions of a sustainable ecology and a sustainable economy that will balance ecology and economy in both practical and legal senses. This is confirmed by the European Union official report of 2016 (European Union, 2016). Moreover as many commentators point out, there are important problems related with the qualifications of the people and establishments that prepare EIA reports in Turkey (2010: 132). There are also many shortcomings in the preparation of the EIA reports which conflict with the requirements and methodology of the EIA process. As Ürker (2012: 73) states Environmental Consultancy companies, especially those who prepare EIA reports and complete the related procedures, can prepare reports in a very short time with the encouraging of the related ministries, by copy paste plagiarism without even seeing the project area. The Ministry of Environment and Urbanization, which has the authority to supervise and make decisions about the relevant processes and reports, encourages the urgent realization of the projects rather than putting emphasis on the issue of the protection of environment.

Showing many indications of the imbalance between economy and ecology, Turkey has recently become one of the countries increasing the rate of pollution the fastest, while attaining high figures in terms of economic indicators. However, this phenomenon cannot be said to increase environmental awareness. The number of individuals in Turkey who have to make a choice between economy and ecology and prioritize ecological concerns is very limited. Such inquiries are widespread among environmental groups that are marginalized by the vast majority of the population. The problems arising from the fact that natural equilibrium is sacrificed to economic growth have been concern only to a limited number of environmentalists, sensitive groups, experts, etc. The reasons for this situation is populist policies as well as excessive specialization in the academy and the fact that Turkey does not have a economic and social structure enough to support strong environmentalist political attitude. It is not possible to talk about a strong environmentalist movement or a formation that will bring ecological problems to the public agenda in Turkey. Though there are small local groups that sometimes take a stand against specific projects, they cannot form a national agenda in general, or the national level of environmental awareness they have created is very short. It is possible to relate these irresponsibility or lack of interest in ecological problems to many factors in Turkish society. However, the most fundamental of these is the fact that due to high level of economic development differences between regions, ecological awareness cannot take precedence over concerns of economic development. According to the results of Kadir Has University Social-Political Trends Survey held in 2016,

Turkey's biggest problem is seen as terrorism.¹ Unemployment and high cost of living are also at the top of the problems that are seen as important. Interestingly, environmental problems have not even taken place as a category in this research. Even this observation reveals the inadequacy of environmental awareness in the Turkish society. In addition, 71.7 percent of the respondents said that there was an economic crisis in Turkey. According to a research conducted by the Konsensus research company in 2017,² the percentage of respondents who regarded environmental problems as one of the most fundamental problems of Turkey is only 2%, and thus environmental problems seem to be the least important problems. Again in the same survey, unemployment is second with 40%, inequality in income distribution is fourth with a 23% and inflation / life cost is fifth with 21%.

These numbers suggest that when there are problems that are seen more vital by the society, a sufficient level of environmental awareness is not possible. In 1972 Stockholm Human Environment Conference, Indira Gandhi voiced a similar statement: "There are grave misgivings that the discussion on ecology may be designed to distract attention from the problems of war and poverty". And she continues: "Are not poverty and need the greatest polluters?"³ On October 30, 1984, a statement by the Minister of Culture and Tourism of the Republic of Turkey defended the same view: "Thinking about environmental problems to us is like necktie to a porter. Foreign experts say that if your income per capita is not at least \$ 7-8 thousand, thinking about environmental pollution is a luxury for you".⁴ Since 1972, it is not hard to predict that the biggest problem in India is still poverty. However, for Turkey, where per capita income is close to 10,000 dollars, it is not understandable that concern for environmental problems is still seen as luxury. In the last 33 years, we are still observing that environmental sensitivities are not sufficient in Turkey. In a country that is late in the process of industrialization and urbanization and having difficulties in the functioning of its political system, it can be seen natural that ecological problems are not regarded as one of the main problems. But this will inevitably lead to worrying problems in the long run. Duru (2013: 5) mentions the relationship between urbanization and the development of environmental awareness:

There are important links between the fact that we are late in the urbanization process ... and the underdevelopment of green movement in our country. From this point of view, it can be suggested that the problems arising from the coexistence of a large number of people in a small space recently begin to emerge. Topics such as traffic, garbage are only a problem on the agenda of one or two latest generations. In short, late emergence of such problems might be said to cause the delay in taking common action for solution and the emergence of strong environmentalist movements.

Thus, as many commentator states, "environmental concern is related to personal memory." (Hussey and Thompson, 2000: 3) The delayed urbanization and industrialization in Turkey has caused the rural to be always remembered with backwardness and the identification of industrial investments, bridges, dams and many urban facilities with modernity and development. This perception hinders the development of environmental consciousness that questions urban facilities in the long run. In Turkey, the analysis of the politicians' responses to the groups that oppose the projects that may cause environmental problems, or bring these projects to the public agenda is very illuminating. These responses are also an expression of the late urbanized and industrialized Turkish society, longing for cities with large, wide streets. It is not possible to expect children of a generation who used to live in villages without roads, carry patients to the hospitals on their back, work in candle light to show ecological awareness to a gigantic hydroelectric power plant or a major highway project. This perception of backwardness in Turkish society leads to the definition of EIA processes as meaningless and useless by the individuals.

Conclusion

The basic condition for the realization of European Union's five basic principles of EIA processes is the change of the individual's view of environmental problems. Unless the environmental demands of the individual are expressible, it seems very difficult to realize these five basic principles in both legal sense and practical sense. Increasing the awareness of individuals to environmental problems is the most fundamental condition that will bring EIA processes in Turkey out of its perfunctory state. Individuals' environmental demands will be both a challenging element for politicians, and create a basis for an environmental rationality for the private sector. Individuals involved in EIA processes and involved in these processes as an element of resistance with ecological sensitivities will lead the private sector to gain an environmental rationality. One or several EIA reports that are canceled as a result of social reactions would ensure that both political decision-makers and

¹ <http://www.khas.edu.tr/news/1498>

² <http://www.konsensus.com.tr/turkiyenin-en-onemli-sorunlari/>

³ <https://www.theguardian.com/global-development-professionals-network/2014/may/06/indira-gandhi-india-climate-change>

⁴ <http://www.cumhuriyetarsivi.com/katalog/192/sayfa/1984/11/10/7.xhtml>

the private sector gain environmental awareness. In order to make people with medium- and long-term concerns for environment effective in EIA processes, it is necessary for environmental groups in Turkey to work on the current social problems of today and develop an approach dealing with local needs, not global ones. However, as we stressed earlier, due to Turkey's unique structural problems, explaining EIA processes solely through environmental issues or the protection of nature will make it difficult for individuals to adopt the principles of the process.

Participation in the EIA processes will increase as the EIA process is linked to the individual's daily life. Defining EIA processes as a solution to more local, more familiar problems such as poverty, shelter, and drought, instead of a distant, foreign issue, where people do not feel individual impacts, such as climate change would make the process more efficient and understandable for people. It can be said that nuclear power plant projects, urban transformation implementations, hydroelectric power plant constructions and mine exploration activities are increasingly faced with more social resistance in recent years in Turkey. But this reaction is far from being an expression of a general ecological resistance. It is clear that main concern of people who have taken action against the construction, mining and energy investments is more the damage to their vital sources and the intervention to their living spaces rather than the environmental problems associated with these projects. Similarly, the basic reason for the increasing involvement of the local people and the villagers in the EIA processes in recent years is also related with their more practical needs. The question of whether it is possible to create an individual that emphasizes ecological concerns from such resistance is an important question. The best way for making the citizens to understand that it is also economically beneficial to deal with ecological problems, even if not in the short run, is to make the EIA processes compatible with the five basic principles of the European Union.

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I wear Prada, because I want to.

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Abstract:

Previous studies on luxury consumption indicated that women may use luxury consumption as a self-promotion strategy during within-sex competitions, as these luxuries improve their advantages against same sex rivals for mates. Many of these studies rely on costly signalling and intra-sexual competition theory, and they suggest female intra-sexual competition in a mate attraction context triggers women's spending on luxury products. The focus of this paper is to understand the gender-related motivations, specifically for female consumers in the luxury market and to compare and contrast the new findings with the previous studies. The finding of this study demonstrates other motives in female luxury consumer behaviour rather than relationship, self-enhancement and competition.

Keywords: women, empowerment, motives, culture, luxury consumption, gender trait change

Introduction:

Over the past three decades, the luxury-brand industry has experienced unprecedented growth: the global market for personal luxury brands was estimated at €224 billion in 2015, delivering a healthy growth of 5% year on year (Bain and Company 2015). Female luxury consumers account for a big chunk of the luxury market, as they are willing to spend large sums of money on conspicuous luxuries, such as Louboutin shoes, Louis Vuitton purses, or Armani dresses (Chao and Schor, 1998; Stokburger-Sauer and Teichmann, 2011). American women acquire on average three new handbags each year (Bev et al. 2011), prominently flaunting designer brands such as Fendi, Gucci, Louis Vuitton, Marc Jacobs, Christian Dior, Prada, and Chanel (Nunes et al., 2010). In the United States alone, spending on luxury goods amounts to as much as \$525 billion per year (Bev and Zolenski 2011), with women's products accounting for over half of this consumption (D'Arpizio 2011). Given women's passion for pricey possessions, why do women desire luxury goods?

Previous studies show male and female luxury consumers demonstrate different motivations for purchasing luxury products and, therefore, may differ in terms of their value perceptions toward luxury brands (Tynan, McKechnie, and Chhuon 2010). Several researches have shown that men ostentatiously spend their money on luxury brands to signal their mate value to women; however, research on the motivations for female luxury consumption is rather scarce (Hudders, 2012; Wang and Griskevicius, 2014).

Hudders et al (2014) in their article, *The Rival Wears Prada*, investigated the Luxury Consumption as a Female Competition Strategy and concluded some interesting results which shows females have different attitudes and purposes toward the personal self-enhancing luxury products and the non-self-enhancing products. There are a number of studies which investigate female consumer buying behaviour in luxury shopping through an understanding of romantic relationships, as it's believed that luxury goods are known to serve an important function in relationships for men and, accordingly, that such goals may help to attract romantic partners (Griskevicius et al. 2007). This study's focus is to investigate what additional or alternative motives to romantic relationship, mate-guarding and signalling function may exist for female luxury shoppers when they spending their money on luxury products.

Theories

To understand the female motivations in buying luxury goods, various studies and researches have been conducted and some studies have relied on costly signalling and intra-sexual competition theory (Griskevicius et al., 2007; Miller, 2009; Nelissen and Meijers, 2011; Saad, 2007, 2011; Saad and Vongas, 2009; Sundie et al., 2011) to explain the females' motives in luxury shopping by suggesting that female intra-sexual competition in a mate attraction context triggers women's

spending on luxuries. Intrasexual competition occurs when individuals compete to gain access to limited resources that they do not want to share (Cox and Fisher, 2008). This involves same-sex competition for access to potential and desirable mates (Rosvall, 2011) and competition to retain a mate (Schmitt and Buss, 1996). Wang and Griskevicius (2014) found that women use luxury consumption as a mate retention strategy. More specifically, their studies indicate that women display luxuries to deter same sex others who are perceived as a threat towards a romantic relationship.

In addition to male retention strategy, signalling theory in this context indicates that women's luxury products function as a signalling system directed at other women who pose threats to their romantic relationships. Additional studies revealed that women use pricey possessions to signal that their romantic partner is especially devoted to them. (Griskevicius et al. 2007)

Men and women differ in the characteristics they pay attention to when selecting potential mates (Buss, 1999; Miller, 2000). Women tend to look for reliable men with high social status and good financial prospects, such that they mate with men who are both able and willing to invest their time and resources into a relationship (Buss, 1999).

These preferences are adaptive because they enable women to select a mate who will help them ensure the survival of their children, thereby increasing their inclusive fitness. Men, on the other hand, highly value youthfulness and physical attractiveness in women. These preferences evolved because these observable features signal fertility and reproductive potential, which are characteristics that can maximize the reproductive success of men via increased numbers of healthy children (Buss, 1999).

The bedrock of the findings above, is what is called 'gender role' which is a set of societal norms dictating the types of behaviours which are generally considered acceptable, appropriate, or desirable for people based on their actual or perceived sex or sexuality. The extension of the concept of gender roles on consumer behaviour results in conceptions of femininity and masculinity in purchasing products.

Research on gender differences in consumption generally states that the different life orientations of men and women influence their consumer behaviour. While men strongly follow agentic goals, that are, life goals directed toward task-oriented thinking and performance-motivated acting, women more strongly follow communal goals, that are, life goals directed toward social and emotional relationships with others (Meyers-Levy, 1988; Prakash, 1992). Research, however, has also recognized the fact that gender roles are becoming increasingly blurred. The changes in gender roles and the possible impact of that on consumer buying behaviour of luxury products is one of the main focuses of this research to investigate whether female luxury shoppers buy luxury products to compete with other females and to retain their partners or whether there are other underlying factors those have been ignored in many of the previous studies.

Many of such previous studies have the following in common: 1)They are mostly quantitative, 2)They are conducted in developed countries, 3)Females' age and cultural differences haven't been taken into account and 4)the dynamics and changes in sex-typing such as possessing more male traits haven't been fully investigated across the researches.

Methodology:

The need for a more comprehensive study across the various cultures and female age range to uncover more variables in females' motive in spending money on luxury products led this study toward a more in-depth study through a semi structured interview and qualitative study in four phases:

Phase one: Qualitative research in London luxury market

Phases two: Qualitative research in Tehran, Iran

Phase three: Qualitative research in Kuala Lumpur, Malaysia

Phase four: Comparisons, analysis and conclusion

The focus of this paper is to identify what are the motivations behind female luxury shopping in addition to what was suggested in previous studies and whether the result of this study confirms the previous findings or not therefore, in order to answer the main question of this paper, qualitative research design was chosen to gain an understanding of underlying reasons, opinions, and motivations. It provides insights into the problem or helps to develop ideas or hypotheses for potential quantitative research.

The data collection of phase one of this study was completed between May and August 2017. For an in-depth understanding of the intention female luxury shoppers, a qualitative research design has been selected. A semi structured interview which

enabled females to answer the questions and express themselves freely was designed. There were around 20 questions asked in each interview in London and each interview took between 35 to 75 minutes. The sample was mostly selected through referral and personal contacts in London Fashion Shows, opening and launch of new luxury brands and shops. Females who took part in the interviews were between ages 20 to 52 and that was because no female above age 52 consented to be interviewed. In addition to interviewing 24 female luxury shoppers, a colleague put me in contact with an experienced personal shopper in Harrods which was very helpful in understanding the underlying motives of female in buying luxury products. All respondents were informed about the general aims of the study, their anonymity was guaranteed and all gave full consent. All interviews were recorded and transcribed mostly by myself and the manual coding system was used for data analysis purpose.

The interviews mainly focused on the purchases of personal fashion luxury products such as luxury sunglasses, handbags, jewellery and outfits rather than other luxury items such as cars, collectable items and mobile phones.

Result:

Brand image and following friends and celebrity trends were the most important variables mentioned by female shoppers across any ages. Respondent 5 (R5) who was 45 years mentioned:

"The reason I buy a piece of jewellery or a new luxury handbag is when I see someone that I know has a beautiful jewellery or handbag, I feel curious and I investigate the brand or the collection and I buy a similar or even nicer item [...] my friends are the source of information and motivation for me".

R5 she has no feeling of competition to anyone and sometimes she doesn't even tell her husband about her shopping and she mostly wear her new luxury goods when she goes out with her female friends or on her own as she feels better about herself and she feels she looks nicer.

R11, who buys at least one luxury fashion items every two weeks said:

"If I see a middle age lady wearing so many luxury items I think that lady is a successful career woman, I don't think her husband necessarily bought them for her [...] but if I see any female is wearing a lot of luxury items with a lot of logos on them and the lady has a lot of make up on her face, I feel a bit sad for her and I think she is lonely and looking for a partner rather than she is trying to secure her current relationship".

Sixteen of respondents mentioned they buy luxury fashion products because they believe items are well-made, beautiful and durable and they feel more confident wearing them. R11 said:

"when I buy a foundation for my face, it always gives me confidence when I buy it from Dior or Chanel rather than a high street brand such as Revlon or L'Oreal, maybe they are the same but I feel better when I buy a Chanel foundation, I have the same feeling toward my scarves".

R20 a lady in age 37 said:

"I found it very insulting when people think I buy luxury stuff to attract men, I have been working since I was 18 and now I can afford beautiful luxury stuffs, I buy them because I like them and because I can afford them, why is this so complicated to understand? I always wanted a Prada handbag, finally, I bought it because I could."

Some of the respondents admitted that when they wear luxury clothes they feel sexier and more confident and they agreed that they might look better for their partners but they didn't feel their personal relationship needed guarding by displaying their luxury items to other females.

R3 said:

"It is probably fair to say if I need to go to my husband's office I make sure I carry an expensive handbag and wear luxurious outfits [...] I want to make my husband proud and to do a bit of show off of his success".

Only two respondents, one in her late twenties and one in early twenties mentioned demonstrating luxurious items indicates a better relationship with their partners and as a result they felt other female don't dare to target their partners and to flirt with them.

E, the personal shop assistant in fashion department in Harrods who has been working in Harrods Fashion Department for fourteen years and in her current position, who had a great insight about why females buy luxury fashion products added:

“ There are many reasons why females spend a lot of money on luxury clothes, most of the time because they feel better about themselves, their bodies, their images and their looks but mostly they buy luxury items in a habitual way, they never have shopped differently, most of our customers are females who come from rich families, they were born in rich families, married to another rich person and buying luxury items for them is exactly like buying non-luxury items from a high street department store by someone with a modest income level. They buy luxury items because that’s the only way that they know to shop”.

She continued:

“ We have two types of customers; the common type in Harrods is like the one I mention earlier; very wealthy customers and the second types are customers who buy luxury as a reward to themselves or when they can afford it, most of the time they think about quality and value for money and they select the product very carefully, when they book an appointment with me or my colleagues, they always mention they want to look better or slimmer or posher and they only mention their partners when they think the partner might not like what they are buying and use statements such as ‘ my husband doesn’t like snakeskin leather handbag or leather pants’ but customers hardly mentions things that their partners like”.

E thought now, more number of females buy luxury products just because of the quality and functionality of the products rather than buying them for attracting men or compete with other women. She said even Asian and Middle Eastern clients don’t bring the husbands or partner for shopping as often as they use to in the past and they make the decision quicker and independently. She mentioned that luxury fashion producers added more items of clothing for the use at home such as cashmere pyjamas and in-house-wears in comparisons with the past. She thought that’s because females seek for more comfort in fashion and luxury products and they enjoy buying them for their quality and comfort rather than enhancing their look and male attraction.

Most of the respondent felt uncomfortable with the idea that the reason for their luxury shopping is mate retention strategies and they found that irrelevant. Five respondents were single and three of them mentioned they purchase the luxury products only for their own satisfaction and not even for the mate attraction.

Findings:

According to Mpinganjira, M (2014) research shows that customers have a range of underlying motivations triggering their shopping behaviour, but there are essentially two types of shopping motives: 1-Utilitarian: The conscious pursuit of an intended consequence. Essentially, meaning you’re shopping “to get something done”. 2-Hedonic: Related to intrinsic and emotional responses. In other words, you’re shopping because you love it. It has established that most men tend to follow the utilitarian approach whereas most women tend to follow hedonic approach. If this approach is applicable to luxury buying behaviour, it shows a strong link between the female buyers to the luxury products or the actual shopping. These links have been refelected in the interviews when female shoppers mentioned they like to buy luxury products because of the quality, features and durability. Some respondents called the process of shopping pleasurable and socially entertaining.

The previous research didn’t identify the ‘empowered female luxury shoppers’ intention as an important motivation for female luxury purchases. The idea of “I buy because I can” couldn’t be linked to Intrasexual Theory and Signalling Theory. The result of previous research wasn’t break down to dependency/independency of female or their age or cultural background. The changes in gender roles and therefore the impact of such changes on decision making process of luxury products hasn’t been fully explored in many previous studies and so do on the money allocation and budgeting in the household and the impact of it on luxury shopping. Many of the respondents emphasized on the fact that they do not buy luxury products to attract long term potential partners nor to guard their partners.

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On Some Types of Continuity for Fuzzy Functions

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ABSTRACT.

In this document, we extended the concept of semi-strong α continuous function to fuzzy topology and discussed its characterizations. We also give the definitions of fuzzy strongly continuous function[2], fuzzy α continuous function, fuzzy super continuous function[9] and investigate the relationships of semi-strong α continuous function with these types of fuzzy continuous functions. Additionally, we obtain a diagram. Moreover, properties of fuzzy semi-strong α continuity about restriction function, graph function, composite function are discussed on some fuzzy spaces and product spaces.

Keywords. Fuzzy topology, fuzzy semiopen set, fuzzy regular open set, fuzzy semi-strong α continuous. 2010 AMS Classification: 54A40, 03E72.

Introduction

The continuity of functions has always been one of the most important and investigated topics in general topology and fuzzy topology. This concept has been used in several sciences such as statistics, mathematical programming, economics, fixed point theorems, probability, differential inclusions and economics.

L.Zadeh[14] defined the fundamental concept of a fuzzy set in 1965 and Chang[5] introduced the notion of fuzzy topology in 1968. Then, several Mathematicians made many investigations in this area. The concept of function has been extended to fuzzy topology and many scholars examined its properties. The continuity of these functions has always been one of the most investigated topics in almost all studies. Many kinds of continuities of functions in general topology were reconstructed in fuzzy topology by many scholars. In this paper, we redefined the concept of semi strong α continuous functions in fuzzy topology and studied its characterizations.

2. Preliminaries

Let (X, τ) be a topological space and A be a subset of X . The closure (resp. the interior) of A is denoted by A^- (resp. A°). A fuzzy subset A is defined to be fuzzy regular open [1] (resp. fuzzy regular closed) if $A = A^{-\circ}$ (resp. $A = A^{\circ-}$). The fuzzy δ -interior [8] of a fuzzy subset A of X is the union of all fuzzy regular open sets of X contained in A and is denoted by A_δ° . A

fuzzy subset A is called fuzzy δ -open [7] if $A = A_\delta^\circ$, i.e, a set is fuzzy δ -open, if it is the union of fuzzy regular open sets. The complement of a fuzzy δ -open set is called fuzzy δ -closed. Alternatively, a fuzzy subset A is called fuzzy δ -closed [7] if $A = A_\delta^-$, where $A_\delta^- = \{x_p \in X : A \wedge U^{-\circ} \neq 0_x, U \in \tau \text{ and } x_p \in U\}$. A fuzzy subset A is defined to be fuzzy semi-open [1] (fuzzy α -open[11], fuzzy preopen [10]) if $A \leq A^{-\circ}$ ($A \leq A^{\circ-}$, $A \leq A^{-\circ}$). The complement of a fuzzy semi-open (fuzzy α -open, fuzzy preopen) set is called fuzzy semi-closed (fuzzy α -closed, fuzzy preclosed). The family of all fuzzy regular open (fuzzy δ -open, fuzzy semi-open, fuzzy α -open) sets of X containing a fuzzy point $x_p \in X$ is denoted by $FRO(X, x_p)$ ($F\delta O(X, x_p)$, $FSO(X, x_p)$, $F\alpha O(X, x_p)$). The intersection of all fuzzy semi-closed (resp. fuzzy δ -closed) sets of X containing A is called the fuzzy semi-closure[13] (fuzzy δ -closure[7]) of A and is denoted by A_δ^- (resp. A_δ^-).

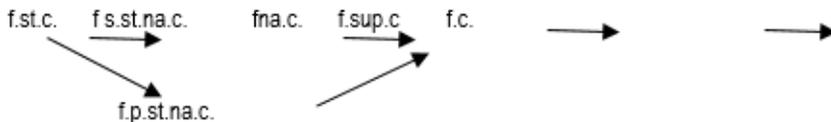
3. Characterizations

Definition 3.1. A fuzzy function $f: (X, \tau) \rightarrow (Y, \theta)$ is called to be fuzzy semi-strong α continuous (briefly f.s.st.na.c.) if for each fuzzy point $x_p \in X$ and each fuzzy semi-open set V of Y such that $x_p \in f^{-1}(V)$, there exists $U \in FRO(X, x_p)$ such that $U \leq f^{-1}(V)$.

Definition[2] 3.2. A fuzzy function $f:(X,\tau)\rightarrow(Y,\theta)$ is defined to be fuzzy strongly continuous if $f^{-1}(V)$ is fuzzy clopen in X for each fuzzy subset V of Y ,

Definition 3.3. A fuzzy function $f:(X,\tau)\rightarrow(Y,\theta)$ is defined to be fuzzy pre strong na continuous (briefly f.p.st.na.c.) (fuzzy na continuous , fuzzy super continuous [9]) if for each fuzzy point $x_p \in X$ and each fuzzy preopen (fuzzy α -open, fuzzy open) set V of Y such that $x_p \in f^{-1}(V)$, there exists $U \in F\delta O(X, \tau)$ such that $U \subseteq F^+(V)$,

Remark 3.1. For a function $f:(X,\tau)\rightarrow(Y,\theta)$ the following implications hold:



In general the converses are not true.

Example 3.1. Let $X=\{a, b, c\}$ and $Y=\{x, y, z\}$. Consider the family of fuzzy sets $A_{k,r,m}$ where $A_{k,r,m}=\{(a, k), (b, m), (c, r)\}$ and $k, m, r \in [0.4, 0.6]$. Then, the family of fuzzy sets $A_{k,r,m}$ forms a topology for X with 0_X and 1_X . Namely, (X, τ) is a fuzzy topological space where τ is the union of the family of fuzzy sets $A_{k,r,m}$ and $\{0_X, 1_X\}$. In this fuzzy topological space, $FRO(X, \tau) = \tau$. (Y, σ) is also a fuzzy topological spaces where $\sigma=\{0_Y, B, 1_Y\}$ and $B=\{(x, 0.4), (y, 0.4), (z, 0.4)\}$. The family of all fuzzy semi-open sets in Y consists of fuzzy sets where the membership values of x, y and z are in $[0.4, 0.6]$. Let $f:X \rightarrow Y$ be a fuzzy function defined as $f(a)=x, f(b)=y$ and $f(c)=z$. Then, f is f.s.st.na.c. but not f.st.c.

Example 3.2. Let $X=\{a, b, c\}$ and $Y=\{x, y, z\}$. Consider the fuzzy sets $A=\{(a, 0.4), (b, 0.4), (c, 0.4)\}$ and $B=\{(x, 0.4), (y, 0.4), (z, 0.4)\}$. Then, (X, τ) and (Y, σ) are fuzzy topological spaces where $\tau = \{0_X, A, 1_X\}$ and $\sigma = \{0_Y, B, 1_Y\}$. Let $f:X \rightarrow Y$ be a fuzzy function defined as $f(a)=x, f(b)=y$ and $f(c)=z$. Since $F\alpha O(Y, \sigma)=\sigma$ and $F\delta O(X, \tau)=\tau$, the inverse image of any fuzzy α -open set under fuzzy function f is fuzzy δ -open in X . So f is f.na.c. Consider the fuzzy set $C=\{(x, 0.5), (y, 0.5), (z, 0.5)\}$. C is fuzzy semi-open in Y and $f^{-1}(C) = \{(a, 0.5), (b, 0.5), (c, 0.5)\}$. Since $f^{-1}(C)$ is not fuzzy regular open in X , f is not f.s.st.na.c.

Example 3.3. Let $X=\{a, b, c\}$ and $Y=\{x, y, z\}$. Consider the family of fuzzy sets $A_{k,r,m}$ and $B_{n,q,s}$ where $A_{k,r,m}=\{(a, k), (b, m), (c, r)\}$, $B_{n,q,s}=\{(a, n), (b, q), (c, s)\}$, $k, m, r \in [0, 0.4]$ and $n, q, s \in [0.6, 1]$. Then, the family of fuzzy sets $A_{k,r,m}$ and $B_{n,q,s}$ forms a topology for X with 0_X and 1_X . Namely, (X, τ) is a fuzzy topological space where τ is the union of the family of fuzzy sets $A_{k,r,m}$, $B_{n,q,s}$ and $\{0_X, 1_X\}$. (Y, σ) is also a fuzzy topological spaces where $\sigma=\{0_Y, C, 1_Y\}$ and $C=\{(x, 0.4), (y, 0.4), (z, 0.4)\}$. The family of fuzzy preopen sets in Y consists of fuzzy sets where the membership value of x, y and z in $[0, 0.4]$ or $[0.6, 1]$. Then, the inverse image of any fuzzy preopen set under the fuzzy function f is fuzzy δ -open in X . So f is f.p.st.na.c. Consider the fuzzy set $C=\{(x, 0.5), (y, 0.5), (z, 0.5)\}$. Since $f^{-1}(C) = \{(a, 0.5), (b, 0.5), (c, 0.5)\}$, $f^{-1}(C)$ is not fuzzy clopen in X . So f is not f.st.c.

Example 3.4. Let $X=\{a, b, c\}$ and $Y=\{x, y, z\}$. Consider the fuzzy sets $A=\{(a, 0.4), (b, 0.4), (c, 0.4)\}$, $B=\{(a, 0.6), (b, 0.6), (c, 0.6)\}$ and $C=\{(x, 0.4), (y, 0.4), (z, 0.4)\}$. Then, (X, τ) and (Y, σ) are fuzzy topological spaces where $\tau = \{0_X, A, B, 1_X\}$ and $\sigma = \{0_Y, C, 1_Y\}$. Let $f:X \rightarrow Y$ be a fuzzy function defined as $f(a)=x, f(b)=y$ and $f(c)=z$. Since $F\alpha O(Y, \sigma)=\sigma$ and $F\delta O(X, \tau)=\tau$, the inverse image of any fuzzy α -open set in Y under the fuzzy function f is fuzzy δ -open in X . So f is f.na.c. Consider the fuzzy set $D=\{(x, 0.3), (y, 0.3), (z, 0.3)\}$. Then, $f^{-1}(D)=\{(a, 0.3), (b, 0.3), (c, 0.3)\}$. Since D is fuzzy preopen in Y and $f^{-1}(D)$ is not fuzzy δ -open in X , f is not f.p.st.na.c.

Example 3.5. Let $X=\{a, b, c\}$ and $Y=\{x, y, z\}$ with topologies $\tau = \{0_X, A, B, 1_X\}$ and $\sigma = \{0_Y, C, 1_Y\}$ respectively where $A=\{(a, 0.8), (b, 0.8), (c, 0.8)\}$, $B=\{(a, 0.2), (b, 0.2), (c, 0.2)\}$ and $C=\{(x, 0.8), (y, 0.8), (z, 0.8)\}$. Consider a function $f:(X, \tau)\rightarrow(Y, \sigma)$ defined as $f(a)=x, f(b)=y$ and $f(c)=z$.

Then, f is not fuzzy na continuous. Because there exists a fuzzy α -open set $D=\{(x, 0.8), (y, 0.8), (z, 0.9)\}$ whose the inverse image under the function f is not fuzzy δ -open. On the other hand, f is fuzzy super continuous from the fact that the inverse image of each fuzzy open set in Y is fuzzy δ -open in X .

Theorem 3.1. The following conditions are equivalent for a fuzzy function $f:(X,\tau)\rightarrow(Y,\theta)$:

f is f.s.st.n.a.c.,

For each fuzzy point $x_p \in X$ and each $V \in \text{FSO}(Y)$ such that $x_p \in f^{-1}(V)$, there exists $U \in \text{F}\delta\text{O}(X, x_p)$ such that $U \leq f^{-1}(V)$,

$f^{-1}(V) \in \text{F}\delta\text{O}(X)$ for each $V \in \text{FSO}(Y)$,

$f^{-1}(F) \in \text{F}\delta\text{C}(X)$ for each $F \in \text{FSC}(Y)$,

$f(A_{\delta}^-) \leq [f(A)]_{\delta}^-$ for any fuzzy subset A of X ,

$[f^{-1}(B)]_{\delta}^- \leq f^{-1}(B_{\delta}^-)$ for any fuzzy subset B of Y .

Proof.

1) \Rightarrow 2) Let $x_p \in X$ and $V \in \text{FSO}(Y)$ such that $x_p \in f^{-1}(V)$. By (1), there exists $U_{x_p} \in \text{FRO}(X, x_p)$ such that $U_{x_p} \leq f^{-1}(V)$. Set $U = \bigvee \{U_{x_p} : U_{x_p} \in \text{FRO}(X, x_p)\}$ for each $x_p \in X$. Then U is a fuzzy δ -open set in X and $U \leq F^+(V)$.

2) \Rightarrow 3) Obvious.

3) \Rightarrow 4) Obvious.

4) \Rightarrow 5) For any fuzzy subset A of X , $[f(A)]_{\delta}^-$ is a fuzzy semiclosed set in Y . $A \leq f^{-1}([f(A)]_{\delta}^-)$ and by (4), $f^{-1}([f(A)]_{\delta}^-)$ is fuzzy δ -closed. Hence $A_{\delta}^- \leq f^{-1}([f(A)]_{\delta}^-)$ and $f(A_{\delta}^-) \leq [f(A)]_{\delta}^-$

5) \Rightarrow 6) Let $B \leq Y$. Then $f^{-1}(V) \leq X$. By using (5), we obtain $f([f^{-1}(B)]_{\delta}^-) \leq B_{\delta}^-$. Hence,

$$[f^{-1}(B)]_{\delta}^- \leq f^{-1}(B_{\delta}^-).$$

6) \Rightarrow 1) Let $V \in \text{FSO}(Y)$ such that $x_p \in f^{-1}(V)$. Then $Y-V$ is a fuzzy semi-closed set. By (6),

$[f^{-1}(Y-V)]_{\delta}^- \leq f^{-1}((Y-V)_{\delta}^-)$. Hence $f^{-1}(V)$ is a fuzzy δ -open set in X and there exists $U \in \text{FRO}(X, x_p)$ such that $U \leq f^{-1}(V)$. This shows that f is f.s.st.n.a.c.

Definition 3.4. Let D be a directed set. A fuzzy net $(x_{\lambda})_{\lambda \in D}$ in X is defined to be fuzzy

δ -converges [3] to a fuzzy point x_p in X if the net is eventually in each fuzzy regular open set containing x_p .

Theorem 3.3. f is f.s.st.n.a.c if and only if for each $x_p \in X$ and each fuzzy net (x_{λ}) fuzzy δ -converging to x_p , $f(x_{\lambda})$ is eventually in each fuzzy semi-open set of Y containing $f(x_p)$.

Proof. Necessity. Let f be f.s.st.n.a.c, (x_{λ}) fuzzy δ -converges to a fuzzy point $x_p \in X$ and $V \in \text{FSO}(Y)$ such that $f(x_p) \leq V$. Since f is f.s.st.n.a.c. there exists $U \in \text{FRO}(X, x_p)$ such that $U \leq f^{-1}(V)$. Since (x_{λ}) fuzzy δ -converges to x_p , (x_{λ}) is eventually in U . Hence f is eventually in V .

Sufficiency. Suppose that f is not an f.s.st.n.a.c.function. Then, there exists a fuzzy point x_p and a fuzzy semiopen set V with $x_p \in f^{-1}(V)$ such that $U \leq f^{-1}(V)$ for each $U \in \text{FRO}(X, x_p)$. Let $x_u \in U$ and $x_u \notin f^{-1}(V)$. Then for the fuzzy regular open neighbourhood net (x_u) , (x_u) is fuzzy δ -convergent to x_p but $f(x_u)$ is not eventually in V . This is a contradiction. Hence f is f.s.st.n.a.c.

SOME PROPERTIES OF FUZZY SEMI-STRONG NA CONTINUOUS FUNCTIONS

Lemma 4.1. Let A be a fuzzy open set of a fuzzy topological space (X, τ) and B a fuzzy subset of (A, τ_A) . Then, we have $\tau_A\text{-Int}(Cl(B)) = A \wedge \text{Int}Cl(B)$.

Proof. Since A is fuzzy-open, $\text{Int}(C) = \tau_A\text{-Int}(C)$ for every subset C of A . Therefore, $\tau_A\text{-Int}(\tau_A\text{-Cl}(B)) = \tau_A\text{-Int}[A \wedge Cl(B)] = \text{Int}[A \wedge Cl(B)] = A \wedge \text{Int}Cl(B)$.

Theorem 4.1. Let A be a fuzzy-open set in a fuzzy topological space (X, τ) . If U is fuzzy regular-open in X , then $U \wedge A$ is fuzzy regular-open in the subspace (A, τ_A) .

Proof. Since U is fuzzy regular-open in X , $\text{IntCl}(A \wedge U) \leq U$ and hence $A \wedge \text{IntCl}(A \wedge U) \leq A \wedge U$. On the other hand, since $A \wedge U$ is fuzzy-open in X , $\text{IntCl}(A \wedge U) \geq A \wedge U$ and hence $A \wedge \text{IntCl}(A \wedge U) \geq A \wedge U$. Therefore, we have $A \wedge \text{IntCl}(A \wedge U) = A \wedge U$. By Lemma 4.1, we obtain $\tau_A \text{-IntCl}(A \wedge U) = A \wedge \text{IntCl}(A \wedge U) = A \wedge U$. This shows that $U \wedge A$ is fuzzy regular-open in (A, τ_A) .

Theorem 4.2. If $f: (X, \tau) \rightarrow (Y, \theta)$ is an f.s.st.n.a.c function and A is a fuzzy open subset of (X, τ) then the restriction $f_A: (A, \tau_A) \rightarrow (Y, \theta)$ is an f.s.st.n.a.c. function.

Proof. The proof is obvious by Theorem 4.1.

Theorem 4.3. If $f: (X, \tau) \rightarrow (Y, \theta)$ and $g: (Y, \theta) \rightarrow (Z, \sigma)$ are f.s.st.n.a.c functions then, $g \circ f$ is an f.s.st.n.a.c. function.

Lemma 4.2. Let $\{X_\lambda : \lambda \in D\}$ be a family of spaces and U_{λ_i} be a fuzzy subset of X_{λ_i} for each $i=1,2,\dots,n$. Then $U = \prod_{i=1}^n U_{\lambda_i} \times \prod_{\lambda \neq \lambda_i} X_\lambda$ is fuzzy δ -open [7] (resp. fuzzy semi-open [1]) in $\prod_{\lambda \in D} X_\lambda$ if and only if $U_{\lambda_i} \in F\delta O(X_{\lambda_i})$ (resp. $U_{\lambda_i} \in FSO(X_{\lambda_i})$) for each $i=1,2,\dots,n$.

Theorem 4.4. Let $f_\lambda: (X_\lambda, \tau_\lambda) \rightarrow (Y_\lambda, \nu_\lambda)$ be a fuzzy function for each $\lambda \in D$ and $f: \prod X_\lambda \rightarrow \prod Y_\lambda$ be a fuzzy function defined by $f(\{x_\lambda\}) = \{f_\lambda(x_\lambda)\}$ for each $x_\lambda \in \prod X_\lambda$. If f is an f.s.st.n.a.c. then f_λ is f.s.st.n.a.c. for each $\lambda \in D$.

Proof. Let $V_\lambda \in FSO(Y_\lambda)$. Then by Lemma 4.2, $V = V_\lambda \times \prod_{\lambda \neq \beta} Y_\beta$ is fuzzy semi-open in $\prod Y_\lambda$ and since f is f.s.st.n.a.c. $f^{-1}(V) = f^{-1}(V_\lambda \times \prod_{\lambda \neq \beta} Y_\beta) = f^{-1}(V_\lambda) \times f^{-1}(\prod_{\lambda \neq \beta} Y_\beta) = f^{-1}(V_\lambda) \times \prod_{\lambda \neq \beta} X_\beta$ fuzzy δ -open in $\prod X_\lambda$. From Lemma 4.2, $f^{-1}(V_\lambda) \in F\delta O(X)$. Therefore f_λ is f.s.st.n.a.c.

Theorem 4.5. Suppose that (X, τ) and (X_α, τ_α) are fuzzy topological spaces for each $\alpha \in J$. Let

$f: X \rightarrow \prod_{\alpha \in J} X_\alpha$ be a fuzzy function from X to product space $\prod_{\alpha \in J} X_\alpha$ and let $P_\alpha: \prod_{\alpha \in J} X_\alpha \rightarrow X_\alpha$ be the projection for each $\alpha \in J$. If f is f.s.st.n.a.c., then $P_\alpha \circ f$ is f.s.st.n.a.c. for each $\alpha \in J$.

Proof. Let V_{α_0} be a fuzzy semi-open set in $(X_{\alpha_0}, \tau_{\alpha_0})$ for any $\alpha_0 \in J$. Then $(P_{\alpha_0} \circ f)^{-1}(V_{\alpha_0}) = f^{-1}(P_{\alpha_0}^{-1}(V_{\alpha_0})) = f^{-1}(V_{\alpha_0} \times \prod_{\alpha \neq \alpha_0} X_\alpha)$. By Lemma 4.2, $V_{\alpha_0} \times \prod_{\alpha \neq \alpha_0} X_\alpha$ is a fuzzy semi-open set and since f is f.s.st.n.a.c., $f^{-1}(V_{\alpha_0} \times \prod_{\alpha \neq \alpha_0} X_\alpha)$ is fuzzy δ -open in X . This shows that $P_{\alpha_0} \circ f$ is f.s.st.n.a.c. Hence, $P_\alpha \circ f$ is f.s.st.n.a.c. for each $\alpha \in J$.

Recall that for a fuzzy function $f: X \rightarrow Y$, the fuzzy graph function $G_f: X \rightarrow X \times Y$ of f is defined as follows: $G_f(x_p) = \{x_p\} \times f(x_p)$ for every $x_p \in X$ and the subset $\{\{x_p\} \times f(x_p) : x_p \in X\} \subseteq X \times Y$ is called the fuzzy graph of f and is denoted by $G(f)$.

Lemma 4.3. For a fuzzy multifunction $f: X \rightarrow Y$, $G_f^{-1}(A \times B) = A \wedge f^{-1}(B)$ for any fuzzy subset $A \subseteq X$ and $B \subseteq Y$.

Theorem 4.6. Let $f: (X, \tau) \rightarrow (Y, \theta)$ be a fuzzy function. Then f is f.s.st.n.a.c. if the fuzzy graph function G_f is f.s.st.n.a.c.

Proof. Let $x_p \in X$ and V be any fuzzy semi-open set in Y such that $f(x) \leq V$. Then $X \times V$ is a fuzzy semi-open set in $X \times Y$. Since $\{x\} \times f(x) \subseteq X \times V$, $G_f(x) \subseteq X \times V$. By the fuzzy semistrong na continuity of G_f , there exists $U \in F\delta O(X, x)$ such that $U \subseteq G_f^{-1}(X \times V)$. By using Lemma 4.3, we obtain $U \subseteq f^{-1}(V)$. Therefore, f is f.s.st.n.a.c.

Definition 4.1. For a fuzzy function $f: (X, \tau) \rightarrow (Y, \theta)$ the fuzzy graph $G(f) = \{(x_p, y_r) : y_r = f(x_p), x_p \in X\}$ is defined to be fuzzy δ -closed in $X \times Y$ if for each $(x_p, y_r) \in X \times Y - G(f)$, there exist $U \in F\delta O(X, x_p)$ and a fuzzy open set V of Y containing y_r such that $(U \times V) \wedge G(f) = 0_{X \times Y}$.

Definition 4.2. A fuzzy space X is defined to be fuzzy nearly compact [6] (fuzzy semi-compact [4]) if every fuzzy regular open (fuzzy semi-open) cover of X has a finite subcover.

Theorem 4.7. If $f: (X, \tau) \rightarrow (Y, \theta)$ is an f.s.st.n.a.c. function such that $\{f(x_p) : x_p \in X\}$ is fuzzy semi compact and (Y, θ) is a fuzzy Hausdorff space, then $G(f)$ is fuzzy δ -closed in $X \times Y$.

Proof. Let $(x_p, y_r) \in X \times Y - G(f)$ then $y_r \in Y - \{f(x_p)\}$. Since Y is a fuzzy Hausdorff space for each $s_k = f(x_p)$, there exist disjoint open sets U_{s_k} and V_{s_k} of Y such that $s_k \in U_{s_k}$ and $y_r \in V_{s_k}$. Since every fuzzy open set is a fuzzy semi-open set, $\{U_{s_k} : s_k = f(x_p)\}$ is a fuzzy semi-open cover of $\{f(x_p) : x_p \in X\}$ and since $\{f(x_p) : x_p \in X\}$ is fuzzy semi compact, there exist finite number fuzzy points $s_{k_1}, s_{k_2}, \dots, s_{k_n}$ in Y such that $\{f(x_p) : x_p \in X\} \leq V \{U_{s_{k_i}} : i = 1, 2, \dots, n\}$. Use $U = \bigvee \{U_{s_{k_i}} : i = 1, 2, \dots, n\}$ and $V =$

$\bigcup \{ V_{S_{k_i}} : i = 1, 2, \dots, n \}$. Then U is a fuzzy semi-open and V is a fuzzy open set in Y such that $\{f(x_p) : x_p \in X\} \subseteq U$ and $y_r \in V$, $U \cap V = 0_Y$. Since f is an f.s.st.n.a.c. function, $f^{-1}(U) \in F\delta O(X, x_p)$. Hence we have, $(f^{-1}(U) \cap V) \wedge G(f) = 0_{X \times Y}$.

Theorem 4.8. Let $f: (X, \tau) \rightarrow (Y, \theta)$ be an f.s.st.n.a.c. surjective function such that $\{f(x_p) : x_p \in X\}$ is fuzzy semi-compact. If X is a fuzzy nearly compact space then, Y is fuzzy semi compact.

Proof. Let $\{ S_\lambda : \lambda \in \Lambda \}$ be a fuzzy semi-open cover of Y . Since $\{f(x_p) : x_p \in X\}$ is fuzzy semi-compact, there exists a finite subset Λ_{x_p} of Λ such that $\{f(x_p) : x_p \in X\} \subseteq \bigcup_{\lambda \in \Lambda_{x_p}} S_\lambda$. Use $S_{x_p} = \bigcup_{\lambda \in \Lambda_{x_p}} S_\lambda$. Since f is an f.s.st.n.a.c. function, there exists $R_{x_p} \in FRO(X, x_p)$ such that $f(R_{x_p}) \subseteq S_{x_p}$. The family $\{ R_{x_p} : x_p \in X \}$ is a fuzzy regular open cover of X and since X is a fuzzy nearly compact space, there exist finite number of points $x_{k_1}, x_{k_2}, \dots, x_{k_n}$ in X such that $X = \bigcup_{i=1}^n R_{x_{k_i}}$. Hence we have, $Y = f(X) = f(\bigcup_{i=1}^n R_{x_{k_i}}) = \bigcup_{i=1}^n f(R_{x_{k_i}}) \subseteq \bigcup_{i=1}^n S_{x_{k_i}} = \bigcup_{i=1}^n \bigcup_{\lambda \in \Lambda_{x_{k_i}}} S_{\lambda_i}$. This shows that Y is fuzzy semi-compact.

Definition 4.3. A fuzzy topological space X is defined to be a fuzzy semi-Normal space [12] if for any disjoint fuzzy closed subsets K and F of X there exist two disjoint fuzzy semi-open sets U and V such that $K \subseteq U$, $F \subseteq V$.

Theorem 4.9. Let f and g be f.s.st.n.a.c functions from a fuzzy topological space (X, τ) to a fuzzy semi-Normal space (Y, θ) . Then the set $K = \{x_p \in X : f(x_p) = g(x_p)\}$ is fuzzy δ -closed in X .

Proof. Let $x_p \in X - K$. Then $f(x_p) \neq g(x_p)$. Since Y is a fuzzy semi-Normal space, there exist disjoint fuzzy semi-open sets U and V containing $f(x_p)$ and $g(x_p)$ respectively. Since f and g are f.s.st.n.a.c. functions, $f^{-1}(U)$ and $g^{-1}(V)$ are fuzzy δ -open sets containing x_p . Use $H = f^{-1}(U) \cap g^{-1}(V)$. Then H is a fuzzy δ -open set containing x_p and $H \cap K = 0_X$. Hence K is fuzzy δ -closed in X .

Theorem 4.10. Let $f: (X, \tau) \rightarrow (Y, \theta)$ be an f.s.st.n.a.c. function from a fuzzy topological space X to a fuzzy semi-Normal space Y and $f(x_p) \neq f(y_r)$ for each distinct pair $x_p, y_r \in X$. Then X is a fuzzy δ -Hausdorff space.

Proof. Let x_p and y_r be any two distinct fuzzy points in X . Then $f(x_p) \neq f(y_r)$. Since Y is a fuzzy semi-Normal space, there exist disjoint fuzzy semi-open sets S and T containing $f(x_p)$ and $f(y_r)$, respectively. Since f is f.u.s.st.n.a.c, $f^{-1}(S)$ and $f^{-1}(T)$ are disjoint fuzzy δ -open sets containing x_p and y_r respectively. This shows that X is a fuzzy δ -Hausdorff space.

Conclusions

We redefined fuzzy semi-strong na continuous functions, fuzzy prestrong na continuous functions and fuzzy na continuous functions in fuzzy topology and gave its properties. Also, we showed their relationships with some other types of continuities by a diagram. Additionally, we presented properties of fuzzy semi-strong na continuity about restriction function, graph function, composite function on some fuzzy spaces and product spaces.

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Bitcoins within Georgia's Money Laundering Scheme

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Abstract

Bitcoins' technology brings a new level of innovation to business and communication across the world. However, the advantages of a virtual currency payment system faces the threat from criminal activities occurring over a pseudonymous network where there is virtually no current regulation to cover illegal transactions. The current situation in Georgia is as follows: the second Bitcoin's processing datacenter has opened in Georgia. While the virtual money are new even in developed countries, more unusual it is for Georgia, where local economists are more skeptical toward cryptocurrency. Therefore, they believe that electronic money is not controlled by any central bank that gives a lot of opportunities for illegal transactions. According to the Georgian experts, bitcoin is a very risky currency that can be used for money laundering, as it is completely uncontrolled. However, the Georgian central bank system claims that bitcoins are not dangerous, and the lack of awareness gives rise to talk about money laundering. The biggest challenge seems to be regulation of Bitcoin without hindering the potential for growth. While there is usually certainly a chance that Bitcoin could fail or be pushed out of existence by a more innovative technology, policymakers must be careful not to hinder a technology that could change the way global economy functions.

Keywords: cryptocurrency, bitcoin, money laundering, block chain, miners

Introduction

In 2009, Satoshi Nakamoto presented Bitcoin in an essay: Bitcoin, A Peer-to-Peer Electronic Cash System and since then risen to the popular virtual currency in the world¹. Bitcoin is a so-called virtual currency that has been devised for anonymous payments made independently of governmental or non-governmental institutions. Bitcoin payments are based on a new interesting technical solution and function differently to traditional payments that can bring advantages in the form of lower costs, rapidity or anonymity over traditional payment methods. However, usage can also be more risky because Bitcoin is not directly covered by the laws that govern other payment mediation. Bitcoin is used on a decentralized peer-to-peer payment network that is powered by its users with no authority². Bitcoin has attracted the attention of businesses as well as individuals around the globe³. Regulators, including the Internal Revenue Service and the Commodity Futures Trading Commission, have started to pay attention to its anonymous nature as recent years have demonstrated that Bitcoin has played a part in money laundering⁴. Lawmakers must strike a balance between hindering criminal activity and maintaining Bitcoin's increased advancement⁵. The main purpose of the paper will be to find out the current situation of Bitcoins' influencing the Georgia's economic system and identify potential risks regarding money laundering for developing appropriate measures to prevent the cases associated with the mentioned problem.

Brief History of Bitcoin and Recent Developments in Georgia

In 2008, Satoshi Nakamoto invented the Bitcoin. According to Newsweek (2014), Nakamoto was unhappy with the commissions he had to pay when buying. Therefore, he invented the virtual exchange coin. However, according to El País

1 Satoshi Nakamoto, A Peer-To-Peer Electronic Cash System, Bitcoin Project (2009)

2 Frequently Asked Questions, Bitcoin Project (2016)

3 Bitcoin Price Index Chart, Coindesk (Nov. 30, 2016), webpage: <http://www.coindesk.com/price/>

4 Stan Higgins, Us Central Bank Chair: Blockchain Could Have 'Significant' Impact, Coindesk (Sept. 28, 2016), <http://www.coindesk.com/us-fed-yellenblockchain-impact/>

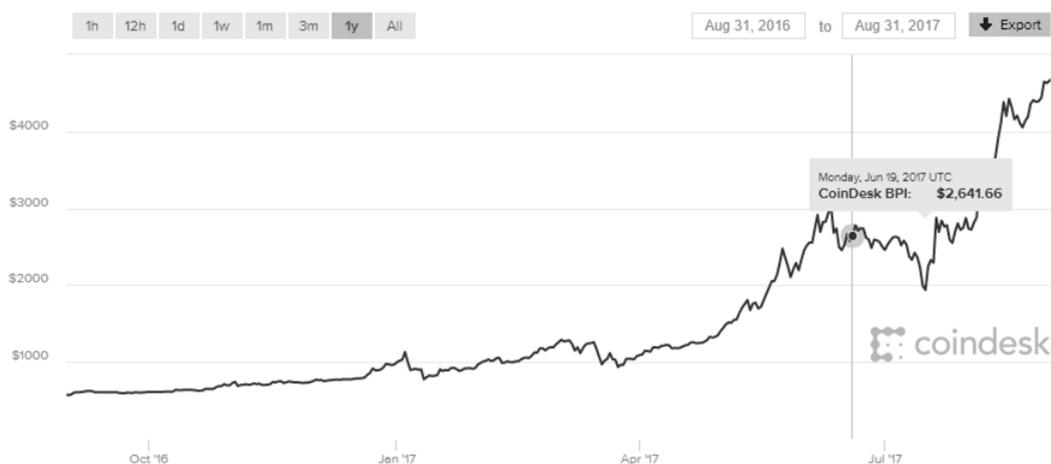
5 Jerry Brito & Andrea Castillo, Bitcoin: A Primer For Policymakers 7 (2d Ed. 2016)

(2016), it is revealed that the creator of the Bitcoin is an Australian entrepreneur - Craig Steven Wright, and has admitted to act with the pseudonym of Satoshi Nakamoto.

Cinco Días (2013) stated that Bitcoin is a decentralized electronic coin. Each bitcoin has a unique serial number, similar to the bills and coins in use by the Banks. According to Cárdenas, Avellaneda and Bermúdez (2015), to be able to operate with bitcoins one should download a virtual wallet on a computer or a mobile device. This is digital encrypted file composed of a series of exclusive codes. Once the wallet is downloaded, a bitcoin address will be given. This is a large alphanumeric sequence in two related parts within the network system. One part contains the private code for the wallet for each individual subscriber, and there is an account to access to and dispose of any funds they might have in their virtual wallet – it is similar to a credit card PIN number. The other part consists of a public address that makes an individual identifiable, i.e. similar to the IBAN of bank accounts. According to Rose, 2015, the emission of bitcoins is limited, so once the amount is reached it would not be possible to have more. The process itself validates the new transactions, and once they are verified they are recorded in the blockchain.

Bitcoin can be exchanged for a currencies like dollars, lari, or euro. The currency has value because people believe it does. One Bitcoin was only a few dollars until early 2013, and has fluctuated wildly since then but today is worth US\$4 674.66.

Graph 1. Bitcoin Price Variation in USD



Source: <https://www.coindesk.com/price/>

As of today, Bitcoin risen to the status of the most popular virtual currency. The biggest advantage of Bitcoin is the avoidance of the doublespending problem¹. The Bitcoin network is a decentralized network, in which individual has no complete ownership or control. Bitcoin transactions do not require middlemen services, such as PayPal, eliminating the otherwise time-consuming and costly processes. One can send money globally without having to incur additional fee of payment to the third party. These qualities make Bitcoin an attractive payment system for money laundering. Bitcoin's decentralized network means that users are pseudonymous, while transaction is not tied to anyone's identity. Users found ways to gain access into Bitcoin exchanges to steal millions of dollars' worth bitcoins from businesses for online illegal markets. The infamous Silk Road, which was shut down in 2014, was the ultimate black market that traded Bitcoins in exchange for illegal drugs, fake passports, driver's licenses, and illegal services². The severity of criminal activities alerted

1 Erik Bonadonna, Bitcoin And The Double-Spending Problem, Cornell U.: Networks li (Mar. 29, 2013), <https://blogs.cornell.edu/info4220/2013/03/29/bitcoin-and-the-double-spending-problem/>

2 Donna Leinwand Leger, How FBI Brought Down Cyber-Underworld Site Silk Road, Usa Today (May 15, 2014), <http://www.usatoday.com/story/news/nation/2013/10/21/fbi-cracks-silk-road/2984921/>

regulators to focus their efforts on formulating an effective solution¹. The solution would ideally eliminate Bitcoin's disadvantages and its susceptibility to money laundering while preserving its advantageous payment system.

Over the past year, Georgia has become a player in the international world of bitcoin. While the bitcoin industry is still developing, investors hope Georgia's role, as a mining center will help create a name for the country as a destination for high tech companies. New Bitcoins are created by an electricity intensive on-line computing process called "mining". Bitcoin limits the availability of its currency by requiring new currency generators to run complex algorithms. Processing the algorithms or "mining" costs money, principally in electricity to run and cool the computers, which need extremely fast and powerful processors. If the ultimate value of the bitcoins produced is greater than the electricity running costs, then bitcoin mining is profitable. Georgia is, therefore, attractive more to this sector as it has relatively cheap electricity and an open regulatory environment.

Georgia hopes to be added to the innovative technologies world map and tries to bring modern information technologies into the country. Georgia committed in a signing ceremony in the capital to use the bitcoin network to validate property-related government transactions. In 2016, the government and bitcoin hardware and software firm Bitfury Group launched a project to register land titles via a private blockchain and make transactions verifiable using bitcoin's blockchain, which is public. It is the first time a national government has used the bitcoin blockchain to secure and validate official actions. Having built the software and tested it with land title registrations, Bitfury and the Georgian National Agency of Public Registry have signed a new memorandum of understanding to expand the service to purchases and sales of land titles, registration of new land titles, demolition of property, mortgages and rentals, as well as notary services. While many financial institutions and governments have expressed interest in blockchain technology, the vast majority of them have been pursuing private blockchain, some for reasons of privacy and some because of bitcoin's early reputation as being the currency of choice for online drug dealers. However, Bitfury is working with the bitcoin blockchain both because it is public, for purposes of transparency, and because it is the blockchain that would be most difficult to fraudulently alter. Attractive investment climate and ease of conducting business as well as low energy cost and competitive labour market played a big part in decision-making.

Bitcoins within Money Laundering Scheme

Money laundering is "the process of creating the appearance that large amounts of money obtained from serious crimes, such as drug trafficking or terrorist activity, originated from a legitimate source"². Financial transaction is "a transaction which in any way or degree affects interstate or foreign commerce . . . involving the movement of funds by wire or other means or . . . involving one or more monetary instruments". Money laundering is a concept that refers to the integration of money or goods into the legal economic system coming from illegal means, although appearing legal through different methods (Tondini, 2006).

Money laundering has different phases before getting integrated and finally deposited as part of the legal financial system. Almost everyone indicates three main stages – placement, stratification/transformation, and integration or investment of funds (Tondini, 2006). Thus, the procedure through which money laundering is done is the following:

Placement stage is the first step within the money laundry process. Here the illegal funds are being introduced into the economic system. Cash funds are deposited in different easy bank accounts with several names; money is also converted to metals or precious stones. Other business that might laundry money are casinos, restaurants, hotels, and night business.

Stratification or transformation stage makes difficult to detect the laundering. Money is transferred from one bank account into another, from one business into another, or direct to tax havens – both in cash and electronic means (Brot, 2002). According to the Financial Action Task Force on Money Laundering (FATF), the most important means in the transferring of money is by electronic means.

Integration or investment stage is the most difficult stage to detect. Illicit activities are already part of the economy and appear legal, thus they become normal (Tondini, 2006).

1 See Generally U.S. Commodity Futures Trading Comm'n, Order Instituting Proceedings Pursuant To Sections 6(C) And 6(D) Of The Commodity Exchange Act, Making Findings And Imposing Remedial Sanctions, No. 15-29, Sept. 17, 2015, <http://www.cftc.gov/adc/groups/> Adam Hayes, Fla. Lawmaker Pushing To Classify Bitcoin As Money, Investopedia (Sept. 13, 2016)

2 Money Laundering, Investopedia, <http://www.investopedia.com/terms/m/moneylaundering.asp?gl=no-infinite>

These secret activities make it difficult to be detected on time. According to OroyFinanzas (2016) there are following reasons explaining the anonymity of Bitcoin: Bitcoin addresses are not identifiable with the personal information or with the transactions taking place, no one knows who has transferred them, etc. Nowadays bitcoin is the virtual currency most used on the internet for money laundering (Technoxplora, 2016). Below are presented the most common methods for money laundering by using the bitcoin:

Mixers - These are secret organizations that make some difficulties for the government to interfere anti-money laundering actions. They are used to mix money of various individuals, so it is difficult to know what belongs to whom, or where is it coming from. This process starts with sending one's money to the anonymous service for further returning but mixed with bitcoins from other individuals (Criptonoticias, 2016). This way, the transactions history is hidden. Therefore, it becomes easier to laundry money without being detected;

Deep web - Deep Web is a space of the internet, including information not obtainable from other search engines like Google, Yahoo, etc. Not all its data is illegal, there can also be censored information from governments and corporations. Some illegal contains that can be obtained are: confidential government files, drugs, arms, etc. For anonymity's aims, there are some encrypted networks for securing surfing on the net. TOR, for instance, had 2.5 million users by 2014 around the world, according to an article published by EL Pais, A, (2014). TOR allows and helps users to maintain an anonymous link. This makes difficult and almost impossible to detect the origin of the searches done. Therefore, most of the transactions done on the Deep Web are done through bitcoins (CIO, 2013).

Silk Road - Silk Road is the largest ever-electronic black market on the net. It started in February 2011. It was created with the objective to trade illegal products worldwide. This net was inside the Deep Web and the Access was through TOR (Barratt, Ferris & Winstock, 2014). Users trading within the Silk Road used bitcoins as their own coin, thus there is anonymity in the transactions. Silk Road functioned as an anonymous middleman for both the buyers and the sellers, without knowing each other. This was the main purpose to use bitcoins as payment money. Silk Road was closed down, on 11 October 2013, after the detention of its founders.

While Bitcoin may have some characteristics in common with what we commonly refer to money, the uniqueness of virtual currency did not fit into the anti-money laundering statutes. Bitcoin cannot always be exchanged for items of value, as some merchants do not accept Bitcoin as payment. In some's view, it is very clear, even to someone with limited knowledge in economics, that bitcoin has a long way to go to become the equivalent of money. The main thing that distinguishes Bitcoin from other digital currencies is decentralization. Cryptocurrency is not tied to any address, country or company. This decentralization makes the state control almost impossible. Libertarians believe that citizens are not able to trade currencies due to the tight control from the state. According to some Georgian experts, bitcoin is a very risky currency that can be used for money laundering, as it is completely uncontrolled. However, others claims that bitcoins are not dangerous, and the lack of awareness gives rise to talk about money laundering. According to this group, it is impossible to determine how many Bitcoins were used in Georgia since cryptocurrency has no boundaries.

Regulations regarding Bitcoins within Money Laundering Scheme and Georgia's Experience

Financial Action Task on Money Laundering was created in Paris in 1989 by Group of Seven with an aim to avoid money laundering by Banks and Financial institutions (Quirk, 1997). FATF is an independent intergovernmental institution promoting and developing policies for protecting the financial institutions of money laundering, the promotion of terrorism and the financing of arms of mass destruction (GAFISUD, 2012). Bitcoin is relatively new and users as well as regulators are constantly uncovering new ways the technology can be used. Therefore, the government struggles to find a way to fit Bitcoin into the statutory definitions of currency and other financial instruments. In recent years, several federal regulatory bodies, e.g. the Financial Crimes Enforcement Network of the U.S. Department of the Treasury, the IRS, and the CFTC have released statements regarding the regulation of virtual currencies, including Bitcoin in response to the rise in criminal activities. On March 18, 2013, FinCEN issued a guidance clarifying the differences between currency and virtual currency, including Bitcoin¹. It clarified the differences between entities and persons involved in virtual currency transactions in an effort to clarify which Bitcoin participants can be defined as a money transmitter. The guidance defines virtual currency as a medium of exchange that operates like a currency in some environments, but does not have all the attributes of real

¹ See Generally Fin. Crimes Enf't Network, U.S. Dep't Of The Treas., Fin-2013-G001, Application Of Fincen's Regulations To Persons Administering, Exchanging, Or Using Virtual Currencies (2013)

currency. In September 2015, the CFTC issued an order finding that Bitcoin should be defined as commodity¹. Currently, trading Bitcoin is less accessible because there are dozens of Bitcoin exchanges, a trader has to set up an account on each individual exchange, and many are hesitant to trade Bitcoin because of its past involvement in illegal activities. However, in case of transparency of the virtual currency, there is a possibility of contracts that would make it easier for both professional and individual investors to trade bitcoin that in turn will help Bitcoin gain more credibility as a viable virtual currency and open the door for other avenues of positive influence. Bitcoins are treated as property for tax purposes rather than actual currency. Any gain made from selling Bitcoins is taxable income². This notice has less impact than expected, as users use Bitcoin to make money while evading taxes³. Bitcoin transactions do not go through a third-party, which means there is no real way to report the transactions and thus makes it easier for someone to evade taxes⁴. This recent discovery will most likely urge the governmental bodies to further define Bitcoin to close the gap of illegal activities. European Union (EU) legislators and governments have not yet applied any clear law regarding the business done with bitcoins and other crypto-exchange. There is no clarity in the existing law, there are doubts about creating a new normative. This is something to be solved. Currently, the European Union (EU) has only applied the following norm: In Bitcoin chaser (2016) is mentioned that the European Court of Justice (ECJ) declared, in 2015, both sales and purchases with bitcoins would be exempt of VAT within the European Union countries. Thus, bitcoins get the same status as do the foreign exchange traditionally encounter in the article 135⁵.

The amendments to the legal framework enacted between 2008 and February 2012 have improved Georgia's technical compliance with the FATF recommendations, in particular with respect to the criminalization of ML and FT and the preventive measures for financial institutions. Significant progress has been made since 2007 with regard to the effective use of the ML criminal provisions and international cooperation. A combination of technical deficiencies, poor implementation, and limited resources undermine the effectiveness of the financial intelligence unit (FIU) and AML/CFT supervision. However, there are still major loopholes in terms of transparency of legal entities, domestic cooperation, and preventive measures for designated nonfinancial businesses and professions. Issues regarding customers that are, or are owned by, offshore companies for which the identity of their beneficial owners is unknown, a rapid and ongoing increase of nonresident deposits, the development of private banking activities, the rapid growth of the casino business and rising number of non-face-to-face transaction as well as domestic statistics demonstrating the existence of major proceeds-generating crimes are included in the concerning topic list. Based on statistics provided by the authorities, the ML provisions do not seem to be applied effectively to combat the most prevalent proceeds generating crimes, or to combat transnational organized crime. The modest number of legal persons investigated or prosecuted for ML raises concern since the authorities indicated the widespread use of companies in ML schemes. Some sectors are not under a legal obligation to report suspicious transactions, e.g. real estate agents, lawyers, trust and company service providers, and electronic money institutions; hence, bodies are not capable of requesting additional information from them. The quality of analysis of suspicious transaction reports is poor, mostly due to lack of analytical tools and weak quality of reporting. Only a small percentage of inbound and outbound movements of currency and bearer negotiable instruments are actually declared. Additionally, credit card services are not properly covered, as well as electronic money and investment funds. Some forms of money value transfer operators are not subject to regulation and supervision. They include electronic money institutions, casino accounts operated to move value within Georgia, and self-service terminals accepting cash and providing transfer facilities. In addition, implementation is generally poor regarding the identification and verification of beneficial owners, documentation of the purpose and nature of the account business, ongoing customer due diligence, and the application of risk-sensitive measures to customers. The National Bank of Georgia exercises regulatory and supervisory oversight over the financial institutions (around 1,700 institutions) but with only a staff of five for onsite AML/CFT inspection. Electronic

1 Luke Kawa, Bitcoin Is Officially A Commodity, According To U.S. Regulator, Bloomberg (Sept. 17, 2015), <http://www.bloomberg.com/news/articles/2015-09-17/bitcoin-is-officially-a-commodity-according-to-u-s-regulator>

2 Rebecca Campbell, Irs At A Standstill With Bitcoin; Users And Tax Professionals Remain In The Dark, Cryptocoins News (Oct. 8, 2016), <https://www.cryptocoinsnews.com/irs-standstill-bitcoin-users-taxprofessionals-remain-dark/>

3 Nathaniel Popper, Bitcoin Users Who Evade Taxes Are Sought By The I.R.S., N.Y. Times: Dealbook (Nov. 18, 2016), <http://www.nytimes.com/2016/11/19/business/dealbook/irs-is-seeking-tax-evaders-who-use-bitcoin>

4 Kelly Phillips Erb, Irs Wants Court Authority to Identify Bitcoin Users & Transactions at Coinbase, Forbes (Nov. 21, 2016), <http://www.forbes.com/sites/kellyphillipserb/2016/11/21/irs-wants-court-authority-to-identify-bitcoin-users-transactions-at-coinbase/2#767c4f834183> [<https://perma.cc/2zla-gzkl>]

5 Block 1, letters from d) to f) pertained to Directive, 2006/112/Counsel, 28 November, 2006

money institutions are not yet subject to AML/CFT supervision. Given its limited resources, the supervisory cycle has been quite long for some institutions, such as currency exchange bureaus and money remittance operators.

The Future of Bitcoin

Bitcoin attempted to grow since its inception in 2009 to become a mainstream crypto-currency that goes beyond the sphere of what paper currency offers to the world. The biggest issue facing Bitcoin is anonymity and their speed and global reach attract criminal actors engaged in illicit financing¹. It is necessary for regulators to focus on the proper classification of the virtual currency within the money laundering scheme in order to combat illicit activities associated with Bitcoin. Clarity will definitely benefit the world, as Bitcoin has the potential to improve human welfare if the criminal consequences are minimized by appropriate regulation. Proponents of this solution are more concerned about the anonymity of the decentralized network enabling criminals to easily launder money with Bitcoin. The development of digital currencies in general, or more broadly any new technology for making payments, is also subject to considerable uncertainty. One reason is the rapid evolution of technology. For instance, agents maintaining the Bitcoin network are trying to improve its transaction processing capacity, which is a necessary condition for Bitcoin to handle any nontrivial fraction of the realistic volume of transactions routinely processed by networks such as Visa and MasterCard. In addition, how the legal and regulatory system will react to the changes is equally hard to predict. Regarding specific aspects of the Bitcoin network, there will be further consolidations in the mining community, ending in a few coalitions that dominate the network. There may also be consolidations among digital wallets: those able to offer desirable services at a competitive price and demonstrate superior security should win market share. There may even be mergers across exchanges, if some can execute trades faster, at a lower cost, or with greater security.

As soon as cryptocurrency has appeared, the online gambling industry faces fundamental changes. It is cryptocurrencies, bitcoins in particular, that will play a significant role in this process. Bitcoin gambling will be a common phenomenon - almost all online casinos will start accepting bitcoin bets and allow withdrawing won money in digital currency. Additionally, gambling transactions will be conducted in bitcoins. Moreover, online casinos will give bonuses for bitcoins as they are interested in implementing cryptocurrencies bringing more income because of lower transactional expenditures. Nowadays, the bitcoin exchange rate is unstable, but everything will change as soon as cryptocurrency becomes more popular and high-demand. To motivate players to shift to bitcoins, casinos will offer protection from cryptocurrency volatility: the price of bitcoins on user accounts will remain unchanged and developed countries will officially permit bitcoin operations. They will be followed by other developed countries soon. In Georgia, bitcoins are already available through Liberty Bank EMoney as there are over 4,500 bitcoin-driven startups around the world and 9 million bitcoin users. Additionally, more than 100K merchants accept bitcoin today, an increase from 5,000 a year ago. Hundreds of retailers accept bitcoin as payment for goods and services, including such large merchants and websites as overstock.com, Dell, Wikipedia, Virgin Galactic, Expedia, Newegg, Bloomberg, OkCupid, cheapair.com and Reddit. It is popular because the transaction fees charged to retailers are much less than that with Visa or MasterCard. It is believed that bitcoin adoption will continue its upward trajectory.

Another source of comparative advantage that may emerge is regulation. Exchanges domiciled in countries with lighter digital currency regulation should attract more agents who are suspicious of the establishment, or are keener to chase the technology frontier, or less risk averse. In contrast, exchanges that are more regulated, and therefore more secure, should attract more agents, to the extent that digital currency becomes a class of contingent claims absorbed into the mainstream financial system. If the current price of bitcoin is sustained over the next year or two, more competing alternative digital currencies, so called altcoins may emerge, especially since the barriers to entry in virtual currency are low. The growth of altcoins depends inversely on Bitcoin's first-mover advantage, such as the network effect of the breadth of acceptance for conducting transactions, the strength of which is uncertain. To differentiate themselves from bitcoin, these altcoins will offer different features along various dimensions, such as in transaction validation schemes, fees, supply growth, etc. By comparison, more regulation is almost inevitable. For example, bitcoin wallets must already comply with anti-money-laundering rules, and the Internal Revenue Service has just issued a ruling regarding how bitcoin earnings should be taxed. Agencies such as the Financial Industry Regulatory Authority and even the Securities Exchange Commission may issue rulings about the safety and soundness of exchanges.

Some group of experts think that the Bitcoin network as originally designed, and especially its associated digital currency, will probably not survive in the long run. Some serious design flaws of the current Bitcoin system have been identified, and

1 Fin. Crimes Enft Network, U.S. Dep't Of The Treas., Sar Stats Technical Bulletin (July 2014)

some of them may eventually prove fatal. First, realistic growth projections of the scale of the blockchain indicate that it will likely become infeasible for individual users to store the data on their personal computers, and this may happen as soon as within a year or two. Second, the resource cost of mining is becoming increasingly unaffordable, not to mention the inefficiency associated with this aspect of the system design. Again, it is possible that within a few years it will become infeasible to rely on this distributed model, however consolidated, to verify transactions. Nevertheless, there is growing recognition that the lasting legacy of Bitcoin most likely lies in the technological advances made possible by its protocol for computation and communication that facilitates payments and transfers. The revolution in payments technology pioneered by Bitcoin helps to accelerate the development of better technologies for making payments and transfers cheaper, faster, and more secure.

For most people Bitcoin will not matter very much any time soon, the same way the internet did not matter very much for Georgia in the 1990's. However, the internet matters now as Georgia would get a head start in the region if parliament were to pass some carefully considered regulation about it connected with tax and other issues. Bitcoin will make transferring money across borders much cheaper, in fact free. That could be useful for those who work abroad and the relatives they help back home. Credit cards and buying things on-line can be a challenge for people in Georgia. However, more and more catalogues and websites are accepting Bitcoin and the transfer costs are zero. So those who figure out bitcoin and what it means for their life and their business will benefit because this movement will only grow stronger. Moreover, there will be people who fear it but in several years, it will be integrated into their lives just the way it will be integrated into everybody else's lives, just like the internet. Taking into account the recent development of cryptocurrency mining in Georgia, one could argue that Georgia might find a niche in providing technological services in the long run, which in fact might lead to an increase of exported service. At the same time, the Georgian market should maintain a competitive advantage on the global market in order to attract foreign investors.

Conclusion

There are some benefits that should be mentioned, e.g. bitcoins are rapidly evolving and the contours of the future landscape are difficult to predict, bitcoin can offer many potential benefits, including rapidly increasing speed and efficiency in making payments and transfers, and deepening financial inclusion. At the same time, bitcoins pose many risks and threats to financial integrity, consumer protection, tax evasion, exchange control enforcement, and effective financial regulation. While risks to the conduct of monetary policy seem unlikely at this stage given bitcoin's very small scale, it is possible that risks to financial stability may eventually emerge as new technologies come into more widespread use. The development of effective regulatory responses to the development of bitcoin is still at an early stage. Regulators in some areas, i.e. AML/CFT have made considerable progress in developing effective responses. However, a great deal of work remains to be done to put in place effective frameworks to regulate bitcoins in a manner that guards against the risks while not stifling financial and technological innovation. Bitcoin represents a disruptive financial technology that many AML and money transmitter statutes are ill prepared to deal with. Virtual currencies in general have broken the trend of physical, government-backed coin and paper currencies, and it is unlikely that any new law will capture all iterations of emerging technologies for any significant period. However, this does not mean that Bitcoin and similar virtual currencies should be deemed illegal or should be onerously regulated to compensate for the lack of initial oversight. In an increasingly digital world, it makes perfect economic and societal sense to allow digital currencies, governmentbacked or otherwise. Regulation of such currencies should occur at the point where law enforcement can most effectively punish civil and criminal violations with the least overhead. Because Bitcoin is a decentralized, peer-to-peer virtual currency, it makes little sense to regulate entities other than Bitcoin currency exchanges. Increased pressure on users will only serve to increase the cost of enforcement in the long run. Instead of increasing regulation and trying to predict the next generation of disruptive technologies, it would ultimately be better to understand the technologies and police the points of public contact with existing legal schemes.

For Georgia, bitcoins' revolutionary technology certainly brings a new level of innovation to business, payment systems, and communication across the world. However, just as many technological developments from the past, the advantages of a virtual currency payment system also faces the threat from criminal activities occurring over a pseudonymous network where is no current regulation to cover illegal transactions. Legislative changes are certainly forthcoming. The biggest challenge will be to regulate Bitcoin without hindering the potential for growth. While there is almost always certainly a chance that Bitcoin, could fail or be pushed out of existence by a newer, more innovative technology, policymakers must be careful not to hinder a technology that could change the way global economy functions. Instead, the better option is to bring more transparency to Bitcoin so that regulators and potential users better understand and appreciate this technology.

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- [7] Donna Leinwand Leger, How FBI Brought Down Cyber-Underworld Site Silk Road, Usa Today (May 15, 2014)
- [8] See Generally U.S. Commodity Futures Trading Comm’n, Order Instituting Proceedings Pursuant To Sections 6(C) And 6(D) Of The Commodity Exchange Act, Making Findings And Imposing Remedial Sanctions, No. 15-29, Sept. 17, 2015, http://www.cftc.gov/idc/groups/Adam_Hayes_Fla_Lawmaker_Pushing_To_Classify_Bitcoin_As_Money_Investopedia (Sept. 13, 2016)
- [9] Money Laundering, Investopedia, <http://www.investopedia.com/terms/m/moneylaundering.asp?gl=no-infinite>
- [10] See Generally Fin. Crimes Enf’t Network, U.S. Dep’t Of The Treas., Fin-2013-G001, Application Of Fincen’s Regulations To Persons Administering, Exchanging, Or Using Virtual Currencies (2013)
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- [15] Block 1, letters from d) to f) pertained to Directive, 2006/112/Counsel, 28 November, 2006
- [16] Fin. Crimes Enf’t Network, U.S. Dep’t Of The Treas., Sar Stats Technical Bulletin (July 2014)
- [17] See Generally Faiella, 39 F. Supp. 3d 544; Ulbricht, 31 F. Supp. 3d 540; Espinoza, No. F14-2923

The Impact of Social Capital on FDI in Georgia

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Abstract

FDI brings capital, innovation exchanges and new employments and administration aptitude. In numerous nations, FDI inflow is lower than anticipated. In spite of the inclination for more extensive large scale level examinations of the particular social developments inside which financial exercises happen, a considerable measure of national-level investigations of the determinants of outside contributed firms have given careful consideration to the parts played by social capital and its unexpected incentive in influencing remote direct venture inflows. Drawing on the rationale of social capital and institutional hypothesis, this article looks to offer a correlative clarification of FDI by inspecting experimentally the national-level effects of social capital (trust and affiliated action) on FDI and the directing part of administrative quality in its connections. FDI is the essential part for an open and fruitful global monetary framework and a noteworthy instrument for improvement. In this condition, the paper looks at the advantages of FDI as a key segment for fruitful and feasible financial development and as a piece of a strategy to social change. The point is to feature the most vital channels through which FDI makes a huge and uncommon effect on the monetary advancement of the host nations.

Keywords: FDI, Social capital, Social trust, Host country, Location factor

Introduction

It has just been realized that the expanding advantages of FDI for the host nation can be huge, including human capital arrangement bolster, upgrade of focused business condition, commitment to global exchange joining and change of big business improvement. Also, more remote than monetary advantages FDI can help the change of condition and social condition in the host nation by migrating "cleaner" innovation and controlling to all the more socially capable corporate arrangements.¹ Multinational ventures have turned out to be one of the key drivers of the world economy and their significance keeps on developing far and wide. Today, creating nations represent very nearly 33% of the worldwide supply of internal FDI, contrasted with marginally more than one fifth in 1990. This paper researches the significance of social capital in conjunction with the regular area factors that are known to impact the area choices of multinational firms inside Georgia. "Trust and Norms" part of social capital affects locational choices than does the "Interpersonal organization" segment. We will survey the nations what are described by an abnormal state of "Trust and Norms" draw in more information based FDI firms than those with bring down levels of trust and standards. What's more, positive agglomeration externalities are all the more capable in locales with a larger amount of trust and standards. Another critical aftereffect of our investigation is the revelation that the areas with high joblessness levels and union exercises are less appealing to outside speculators. In view of the outcomes, we reason that measures that reinforce the trust and standards segment of social capital ought to be cultivated alongside conventional cost-sparing strategies, which are utilized to draw in FDI in Georgia.

Social Capital – Key to Success

Social capital may be defined as those resources inherent in social relations which facilitate collective action. Social capital resources include trust, norms, and networks of association representing any group which gathers consistently for a common purpose. A norm of a culture high in social capital is reciprocity, which encourages bargaining, compromise, and pluralistic politics. Another norm is belief in the equality of citizens, which encourages the formation of cross-cutting groups.

¹ Selma K. (2013) The Effects of FDIs for Host Country's Economy,

¹ "Social capital" may first have appeared in a book published in 1916 in the United States that discussed how neighbors could work together to oversee schools. Author Lyda Hanifan referred to social capital as "those tangible assets, that count for most in the daily lives of people: namely goodwill, fellowship, sympathy, and social intercourse among the individuals and families who make up a social unit". That gives some sense of what's meant by social capital, although today it would be hard to come up with a single definition that satisfied everyone. For the sake of simplicity, however, we can think of social capital as the links, shared values and understandings in society that enable individuals and groups to trust each other and so work together.

There is much debate over the various forms that social capital takes, but one straightforward approach divides it into three main categories:

Bonds: Links to people based on a sense of common identity ("people like us") – such as family, close friends and people who share our culture or ethnicity.

Bridges: Links that stretch beyond a shared sense of identity, for example to distant friends, colleagues and associates.

Linkages: Links to people or groups further up or lower down the social ladder. The potential benefits of social capital can be seen by looking at social bonds. Friends and families can help us in lots of ways – emotionally, socially and economically.

Social capital is defined by the OECD as "networks together with shared norms, values and understandings that facilitate co-operation within or among groups". In this definition, we can think of networks as real-world links between groups or individuals. Think of networks of friends, family networks, networks of former colleagues, and so on. Our shared norms, values and understandings are less concrete than our social networks. Sociologists sometimes speak of norms as society's unspoken and largely unquestioned rules. Norms and understandings may not become apparent until they're broken. Values may be more open to question; indeed, societies often debate whether their values are changing. And yet values – such as respect for people's safety and security – are an essential linchpin in every social group².

Importance of FDI

FDI is an integral part of an open and effective international economic system and a major catalyst to development. The benefits of FDI do not accrue automatically and evenly across countries, sectors and local communities. National policies and the international investment architecture matter for attracting FDI to a larger number of developing countries and for reaping the full benefits of FDI for development. The challenges primarily address host countries, which need to establish a transparent, broad and effective enabling policy environment for investment and to build the human and institutional capacities to implement them. Developed countries can facilitate developing countries' access to international markets and technology, and ensure policy coherence for development more generally; use overseas development assistance to leverage public/private investment projects; encourage non-OECD countries to integrate further into rules-based international frameworks for investment.³

Creating nations, rising economies and nations experiencing significant change have come progressively to consider FDI to be a wellspring of financial improvement and modernization, wage development and work. Nations have changed their FDI administrations and sought after different arrangements to draw in speculation. They have tended to the issue of how best to seek after local approaches to expand the advantages of remote nearness in the household economy. The general advantages of FDI for creating nation economies are much recorded. Given the fitting host-nation approaches and a fundamental level of improvement, a prevalence of studies demonstrates that FDI triggers innovation overflows, helps human capital arrangement, adds to global exchange reconciliation, makes a more focused business condition and upgrades venture advancement. These add to higher monetary development, which is the most powerful apparatus for reducing destitution in creating nations. In addition, past the entirely monetary advantages, FDI may help enhance ecological and social conditions in the host nation by, for instance, exchanging "cleaner" innovations and prompting all the more socially dependable corporate strategies.

¹ G. David Garson, (2006) *Social Capital Theory*, Harvard University Press

² OECD Insights: What is social capital? <https://www.oecd.org/insights/>

³ OECD, (2002), FDI for Development, <https://www.oecd.org/investment/investmentfordevelopment/1959815.pdf>

Most experimental examinations infer that FDI adds to both factor efficiency and salary development in have nations, past what residential venture regularly would trigger. It is more troublesome, in any case, to survey the greatness of this effect, not minimum since huge FDI inflows to creating nations regularly agree with abnormally high development rates activated by irrelevant components. A few analysts have discovered proof of swarming out, while others reason that FDI may serve to expand local speculation.

Social Capital and FDI - The Truth Behind

In this section, we will discuss that host countries' social capital in the form of trust and associative activities positively affect FDI inflow. We base these relationships on the premise that a society's social capital endowment plays a determining role in shaping the investment environment. Social capital is considered multidimensional. It is conceived as associative participation¹, norms of civic behavior,² perceived corruption,³ trust⁴. Relating to our research interest in FDI inflow as an economic activity, we focus specifically on trust and associative activity and regulatory quality since the social embeddedness of economic activities is the defining characteristic⁵ that can shape the perception and behavior of the economic agents and the regulative dimension as the key determinant of high quality-institution⁶ is particular relevant to the primary concerns of foreign investors regarding rule implementation and legal protection of proprietary assets. Extending reasoning from the social capital perspective, we argue that given other favorable conditions, national markets would present themselves as ideal markets for FDI that is embedded in a congenial social fabric that is built on trust and associational activities.

Trust is a key component of social construction⁷ and is a "manageable act of faith in people, relationships and social institutions"⁸. It has long been considered an essential component for most forms of social exchange⁹. Viewed from the research on the impacts of social capital on economic development and the multiple lines of research documented in the international business literatures, we draw out two particular benefits of trust in its positive impacts on FDI: cooperative business environment and reduction of transaction costs. First, FDI activities are embedded in host countries' economic and social contexts, unavoidably interacting with local business, government, and individuals. Because FDI involves extensive social exchanges through managing business relationships with local partners and employees, suppliers and buyers, it follows that having an honest and trustworthy relationship is critical for successful investment. In selecting national markets for foreign investments, multinational enterprises as agents of FDI would prefer national markets exhibiting cooperative milieu that potentially enhances the easiness to build and foster beneficial business relationships. Prior studies show that a society with a high "trust culture" where individuals tend to hold positive attitudes towards each other¹⁰, is easier to enable cooperative behavior¹¹ that leads to economic gains¹². Conversely, it is also found that when a society is pervaded by distrust, cooperative arrangements are unlikely to emerge. Second, the high level of trust in a national market offers a favorable business environment that helps curb transaction costs by reducing monitoring costs.¹³

¹ Putnam, R. (1993) *Making Democracy Work: Civic Traditions in Modern Italy*. Princeton: Princeton University Press

² Paxton, P. (1999) 'Is Social Capital Declining in the United States? A Multiple Indicator Assessment', *American Journal of Sociology* 105: 88-127.

³ Svendsen, G. T. (2004) *Political Economy of the European Union: Institutions, Policy and Economic Growth*, Cheltenham, UK: Edward Elgar

⁴ Knack, S. and Keefer, P. (1997). Does Social Capital Have an Economic Payoff? A Cross-Country Investigation, *The Quarterly Journal of Economics* (November): 1251-1288.

⁵ Granovetter, M. (1985) 'Economic Action and Social Structure: the Problem of Embeddedness', *American Journal of Sociology* 91(3): 481-510.

⁶ Kaufmann, D, Kraay, A, and Zoido-Lobaton, P. (1999). *Governance Matters*, World Bank Policy Research Working Paper 2196, Washington DC

⁷ Child, J. and Mollering, G. (2003). Contextual evidence and active trust development in the Chinese business development, *Organization Science*, 14, 69-80.

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¹⁰ Das, T. K., & Teng, B. S. (2000). Instabilities of strategic alliances: An internal tensions perspective. *Organization Science*, 11: 77-101.

¹¹ Gambetta, D.J. (1988). Can we trust trust?. In *Trust*. D.G. Gambetta (ed.), Basel: Blackwell, New-York, 213-237.

¹² Miller G. J. (1992). *Managerial Dilemmas: The Political Economy of Hierarchies*. New York: Cambridge Univ. Press.

¹³ Fukuyama, F. (1995b). *Social Capital and the Global Economy: A Redrawn Map of the World*, *Foreign Affairs*,

Early research showed that trust facilitates successful negotiations,¹ promotes adaptive organizational forms, reduces harmful conflict and transaction costs², and encourage compliance with business rules and norm that results in costs associated with formal control in the organization.³ Additionally, high levels of trust in a society makes possible the reduction of transaction costs in markets where there is high information ambiguity due to the institutional void.⁴

Both Putnam in 1933 and Coleman in 1990 refer to associative activity as another manifestation of social capital. It is a social network activity that provides individuals with contact opportunities in organizations of various backgrounds and professions. Prior studies have shown that the presence of dense network of association in a country can help increase entrepreneurial and other economic activities. Early studies indicated that the entrepreneur's professional relationship with influential people helped significantly in locating capital for project funding.⁵ Putnam in 1993 attributed the economic success and government efficiency of northern Italy partly to its richer associational life. Evidence documented that owners of small businesses used their contacts in organizations such as Chamber of Commerce and Small Business Federations and more informal organization to provide a source of useful ideas and business relationships⁶. Consistent with the resource dependency theory,⁷ studies of interlocking directorates showed that board member that belong to a variety of external organizations and associations help to link firms within a society to their external environment thereby providing access to novel information and other critical resources. Along these same lines, Carroll and Teo in 1996 found that the widely dispersed managerial social networks were associated with higher accessibility to resources.

The positive impact of associative activity offers benefits to foreign investors in many ways. First, a national market possessing dense association among individuals offers a valuable alternative source of market information. Foreign investors tend to suffer "liability of foreignness" that they bear the risks in foreign market without proper and timely access to local market information,⁸ thus, accessing market information is critical for them. A market characterized with extensive associative activity is attractive since it offers alternative informal access to local market information in addition to other formal channel of information. The second benefit is that associative activities represent valuable social resources. A society with a high level of associative activity presents itself with richer relational capital. The high level of associative activity can benefit foreign investors by offering easy access to this distinct social resource that may potentially facilitate the identifying talents, advertising products and services through mouths of words.

The impact of regulatory quality on the relationship between trust and FDI Regulatory institutions are clusters of rules and resources that are sustained across time and space within and among social systems.⁹ It is one of the three keys 'pillars' of social institutions.¹⁰ A well-functioned high-quality regulatory environment exists when rules and laws are formulated and are effectively enforced to ensure both the stability of economic transactions and order of a society. High-quality regulatory systems affect the social capital effects on FDI by providing the basis for the development of social capital. Though economic exchanges are embedded in reciprocal social relations, these exchanges cannot rely exclusively on the social resources, since weak regulative environment gives rise to the potential of opportunistic behavior that constitutes uncertainty for social and economic exchanges.

In a weak regulatory environment, distrust is likely to occur and institutional environment with low regulatory quality cannot effectively contain opportunistic behavior that undermines the value of social capital. However, the high regulatory quality

¹ Ross, W. H., & Weiland, C. (1996). Effects of interpersonal trust and time pressure on managerial mediation strategy in a simulated organizational dispute. *Journal of Applied Psychology*, 81(3), 228-248.

² Meyerson D, Weick K, Kramer RM. (1996). Swift trust and temporary groups, in Kramer, M. and Tyler, T. R. (eds.), *Trust in Organizations*. Thousand Oaks, CA: Sage. 166-195.

³ Adler, P. Kwon, S. (2002). Social Capital: Prospects for a New Concept. *The Academy of Management Review*, 27, No. 1pp. 17-40.

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⁵ Tyebejee, T, Bruno, A (1984) A Model of Venture Capitalist Investment Activity, *Management Science*, 39, 9, 1051

⁶ Chell, E., Baines, S (2000). Networking, entrepreneurship and microbusiness behavior, *Entrepreneurship & Regional Development*, 12, No. 3, 195 – 215

⁷ Salancik, G, Pfeffer, J (1978), A Social Information Processing Approach to Job Attitudes and Task Design, *Administrative Science Quarterly*, 23, 224.

⁸ Zaheer, S. (1995). Overcome the Liability of Foreignness., *Academy of Management Journal* 38(2): 341-363.

⁹ Giddens, A. (1984). *The Constitution of Society: Outline of the Theory of Structuration*. Berkeley: University of California Berkeley.

¹⁰ Scott, W. and Meyer, J. (1991) 'The Organization of Societal Sectors: Propositions and Early Evidence', in W. Powell and P. DiMaggio (eds.) *The New Institutionalism in Organizational Analysis*, Chicago: University of Chicago Press, pp. 108-142.

¹¹ Williamson, O.E. (1993). Calculativeness, trust and economic organization, *Journal of Law and Economics*, 36, 453-486.

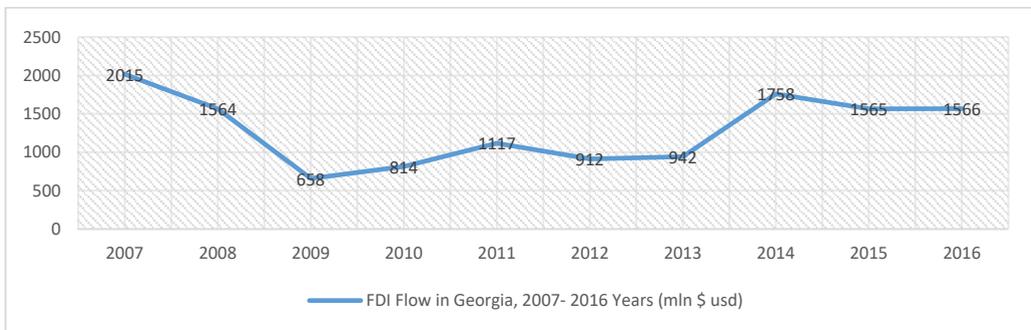
ensures the stability and formation of social capital that is conducive to the economic exchanges, because it constitutes the institutional condition that deters the possible breach of trust resulting from opportunistic behavior, whereby the benefits of social capital to the economic endeavors such as FDI can be enhanced. Hence, the regulatory system as a key component of social institutions can act as broad supports for the critical mass of trust,¹ and amplify the general benefits of social capital such as the protection of individuals' rights and property.² The recent work by Zaheer and Zaheer (2006) and Arino, Torre, and Ring (2001) also propose the conditioning role of institution in the effects of social capital in terms of building trust and relational quality of partners in international alliances. In the same vein, Bhardwaj et al. (2007) showed the contingent value of trust on uncertainty avoidance in FDI determinants.

FDI and Social Capital: Evidence from Georgian Reality

Georgia is situated amongst Asia and Europe and involves a land territory of 69,700 sq. km. It neighbors Turkey toward the southwest, Azerbaijan toward the east, Russia toward the north and Armenia toward the south. Georgia empowers outside exchange and venture, and laws enable nonnatives to buy organizations and property, repatriate income and benefits, and get pay if property is nationalized. Remote undertakings and people are allowed to claim up to 100% outside responsibility for capital of Georgian organizations. There are a few restrictions on the exercises that might be directed, in any case, and remote interest in the resistance and security parts is not allowed. Georgia offers motivators for organizations situated in free industrial zones (FIZs), and for substances built up as an International Financial Company, Free Warehouse Enterprise or International Enterprise. The administration keeps up a free gliding and uninhibitedly convertible money, the Georgian Lari (GEL).

Georgia is an individual from NATO's Partnership for Peace Program and is effectively attempting to join NATO and the European Union. Georgia is additionally an individual from the United Nations, the OSCE, and GUUAM (Union of Georgia, Ukraine, Uzbekistan, Azerbaijan, and Moldova) and an onlooker in the Council of Europe. Georgia was once in the past an individual from the CIS (Commonwealth of Independent States). Due to the August 2008 clash with Russia, Georgia formally advised the CIS on 18 August 2008 of its aim to pull back from the association, and that withdrawal happened on 18 August 2009. Be that as it may, Georgia's Ministry of Foreign Affairs has said it will maintain all exchange and arrangement understandings made amongst Georgia and kindred CIS nations. Georgia has an unhindered commerce administration with individuals from CIS including Armenia, Azerbaijan, Kazakhstan, Turkmenistan, Uzbekistan and Ukraine. This outcomes in obligation unhindered commerce of merchandise and ventures. 40% of Georgia's fares go to CIS nations, and these nations represent 39% of Georgia's remote exchange turnover. On 18 December 2002, the GUUAM (Georgia Ukraine-Uzbekistan-Azerbaijan-Moldova) unhindered commerce assentment was approved by the Georgian Parliament, the objective of which is to make ideal exchange conditions and to reinforce monetary connections among the part nations. The consent to shape a facilitated commerce zone was come to at the GUUAM Presidents' Summit in July 2003 in Yalta. Uzbekistan has since left the facilitated commerce zone.³

Graph 1. FDI Flow in Georgia in USD



Source: National Statistics Office of Georgia, http://geostat.ge/index.php?action=page&p_id=2231&lang=eng

¹ Sitkin SB. (1995). On the positive effects of legalization on trust, *Research in Negotiation and Organization*, 5, 185-217
² Fukuyama, F. (1995b). *Social Capital and the Global Economy: A Redrawn Map of the World*, Foreign Affairs,
³ *Doing Business and Investing in Georgia*, 2013

As should be obvious at diagram 1, FDI stream pay is not steady in Georgia. This reality can be clarified by the social capital hypothesis. As noted over, the photo of social capital in Georgia is blended: Georgia displays high degrees of holding social capital, of trust and of coordinated effort inside firmly weave gatherings. Georgians are liberal in their solidarity between each other, and most Georgians have given and got assistance from family, companions or neighbors, regularly putting the necessities of others before their own. The nation's well-known cordiality features another part of being open and inviting to outsiders: the information demonstrates that Georgians have uplifting dispositions to different nationalities, keeping up great perspectives towards Russians, Abkhaz and Ossetians – even specifically after the August 2008 clash. Whenever required, gatherings can shape – among neighbors or agriculturists, for instance – to settle an especially squeezing issue. Beside this, nonetheless, Georgia still has low levels of spanning social capital – especially of the sort that encourages more efficient co-operation between relative outsiders. Most unmistakably, Georgia has low levels of enrollment in formalized affiliations. As indicated by information from the World Value Surveys, Georgia positions amazingly low in contrast with a wide associate gathering of changing nations. Under five percent of the populace participates in affiliations or other formalized city movement and there are couple of enrollments based relationship in the nation up until this point.

The most visually striking manifestation of the lack of collaboration in Georgia is in housing. Many travelers remark how Tbilisi's neatly-appointed apartments contrast sharply with the dark, often semi-derelict communal areas found beyond their steel doors and the crumbling concrete of the building's foundations. This is not just a matter of poverty, since the same buildings may have stately SUVs parked in their courtyard.¹ While occupants may team up to settle vexing issues, they regularly neglect to address substantive auxiliary issues in the very structures they share, to the disservice of all. There are, as such, couple of regions of financial, political and social life that are not influenced by low levels of formalized joint effort. While the low level of crossing over social capital denies the nationals of Georgia of noteworthy financial, social and social advantages, it likewise represents a critical test to fair improvement – for governments, notwithstanding when completely self-intrigued, can appreciate an advantageous association with the lively respectful society and flourishing monetary circles that broad joint effort makes conceivable. Proficient relationship, for instance, can retain broad administrative obligations, as they do in numerous Western nations, leaving basic leadership and its conflicts with bunches that are learned and influenced. All the more extensively, composed gatherings can turn into a transmission instrument for conveying nationals' worries, and would thus be able to empower the legislature to be more responsive. In these ways, government can decline some of its own issues to others for them to tackle. The low level of connecting social capital likewise makes an issue for benefactors and their projects. Different reasons, numerous improvement intercessions either require or even expect a noteworthy level of joint effort. The determination of a few issues –, for example, the change of instructive projects – requires broad information and associate surveys. In different cases, picks up in profitability call for foundational coordinated effort in sharing venture and support costs. In these cases, what may look like evident automatic plans may waver, since joint effort is harder to accomplish and considerably harder to keep up than initially foreseen. Advancement experts over and again portrayed in interviews how the aftereffects of specific projects had been frustrating on the grounds that individuals had neglected to draw in and work together. This circumstance has terrible impact of FDI and the low levels of connecting social capital are subsequently an issue that should be completely comprehended and figured into any arranging.

The nature of the "match" between outside administration rehearses and the host nation workforce might be a vital thought for advancement arrangement. For instance, serious preparing rehearses are probably going to be transferable crosswise over national limits, yet the particular sorts of social capital venture that enhance the profitability of the Georgian workforce may not be similarly compelling in other host nation settings.

Conclusion

Grounded in social capital and institutional hypothesis, this examination embarks to widen the logical system of FDI by inspecting the impacts of social capital measured by trust and acquainted movement, and the unexpected impacts of administrative quality. By and large, the consequences of the factual tests bolster the proposed speculations that, everything else equivalent, social capital measured by trust and affiliated movement are critical determinants of FDI inflow and that their belongings are additionally fortified by high administrative quality. Taken together, our discoveries propose that the nearness of rich social capital in a nation manage the cost of its both focused and relative points of interest to pull in outside ventures. It additionally supplements the current examination by Bhardwaj et al. (2007) by affirming positive

¹ An Assessment of Social Capital in Georgia, 2011, Caucasus Research Resource Centers

connections amongst FDI and trust and expands their work by offering an administrative quality based possibility clarification of social capital. Our discoveries propose that social capital epitomized in abnormal state of trust and cooperative movement in a general public encourages social trade by decreasing the requirement for tedious and exorbitant observing, and in this way makes it feasible for financial trades more productive in a more ideal business condition that pulls in remote speculators. Administrative organizations of a country are a basic part of institutional situations. Notwithstanding the immediate impacts, our discoveries demonstrate that a fantastic administrative condition in a country offering a straightforward and decide based business condition that protections and improves the advantages of social capital in drawing outside venture inflow. This finding gives new experimental confirmation to the dispute that nonappearance of free legal frameworks and private lawful administrations (North, 1990) normally postures dangers to remote financial specialists because of the nearness of open seizure risks (Delios and Henisz, 2000). By setting up the connection between social capital and foundation condition, and FDI, this paper adds to the current FDI writing by offering a corresponding viewpoint to the clarification of FDI. Social capital as 'the magic that binds society' is the 'missing connection' in clarifying the improvement (Grootaert, 1998; Bebbington et al. 2002) all in all and its part on the planet wonder of FDI has been essentially left unattended in IB inquire about in particular. Filling in this hole, our examination improves our insight about the part of social capital plays in influencing FDI inflows past the supremacy of monetary reason. Our examination additionally expands our comprehension of the FDI impacts of social capital by propelling an unforeseen point of view, predictable with the unexpected viewpoint of social capital proposed by Burt (1997). This possibility point of view major to assisting the hypothesis advancement (Venkatraman, 1989) demonstrates that incorporating national administrative quality into the investigation of a two-variable relationship lessened the potential for deceiving derivations and allowed a "more exact and particular comprehension" (Rosenberg, 1968, p. 100) of the first two-variable relationship. Along these lines, our outcomes shed new light on the parts of administrative condition as an arbitrator that condition the connection between social capital and FDI and add corresponding clarifications to the current FDI writing that is fundamentally secured in the rationales of financial aspects.

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The impact of cultural intelligence in an international company – 2st level survey

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Abstract

Different cultures – different language – different names – different behaviors. In literature, different cultures are mostly described between continents and borders. International companies reach their limits in implementing new top down strategy to all subsidiaries across the planet. Different work methods in different areas and even in different departments can frustrate the responsible international manager. Cultural intelligence can help to minimize the storming time and loss of efficiency of new international teams. Good trained managers (on Cultural Intelligence) do at least speak a view words of the language of the new colleagues and pronounce the names of the team members in the right way. In the first part of the paper it was examined how biased people can be if they hear foreign names. Names even can decide on if someone gets a job or not. The 2nd part of the survey carried on the examination of the cultural differences within a company. The 1st part was done with respondents from different companies. It is interesting to know, especially for the managers, how the employees feel and think. How they work and how they prefer to communicate. The 2nd part describes the 1st survey, consists of a sequence of four steps which will be performed within the group. In total 28 companies are parts of the group on three continents (Europe, Asia and America).

Keywords: Cross cultural management, cultural intelligence, globalization, international business, international management

JEL Classification: F02, F23, F42, P45

Introduction

First Part: In every culture people give names to their children. More or less of them have meanings in their culture. Names are very individual salutations between human beings. A time it is difficult to pronounce the name in the right way. But the right spelling shows the respect to your communication partner. And how biased are we, when we hear a name without having a face to it? Do we imagine a face to a specific name? Do individual with foreign names have difficulties to get a specific job? The survey was performed between the 1st of May and 10th of May 2017. In total 11 questions in relation to names were asked.

Second Part: This part was the continuation of the survey "Step 1". The second step describes the cultural differences within a company. The survey was performed within the two companies (one in Germany and one in Austria) which are under the same holding. The aim is to find out how big the cultural differences between these two companies are. Both companies have similarities like same business type, sharing the same name, speak the same language, bordering each other and are part of a bigger holding. Is that enough to share the same company culture? If not, how big are the differences? The survey was performed in Austria in July 2017. In total 26 questions were asked. Six questions are added compared to the Step 1. In total 18 filled questionnaires were collected and 44 were sent to potential respondents. The response rate was 40.1%. Statistical evaluations were done in both parts with SPSS.

Meaning of Names

All over the world and through all culture human have names (Le Rouzic, 2000). A name gives us a unique personality and separates us from the rest of the herd. In the region where human grow up names always sounds familiar because we hear them every day. In other regions and countries different names appear in the linguistic pronunciations. For foreigners sound the new names somehow strange because it is something new. Something new or new cultural behavior (misunderstanding, behavior pattern ...) can lead into fear or rejection of the new culture (Flader, 2008). A cultural shock can cause sickness and the wish of something familiar and if it's just to hear the native language. A cultural shock works

as follows. Phase 1: Euphoria – a lot of new impressions and new language makes the human happy. Phase 2: Alienation – the starting high spirit evaporate. Too many changes at once. Phase 3: Escalation of Alienation – want to reject the cultural. Why the locals do it this way and not our ways? Phase 4: Cultural Learning and partial adaption of the new live style (Flader, 2008). As soon as the human accept the new situation the faster the new lifestyle will eliminate the cultural shock. As every behavior has its origin also names have an origin and also a meaning. Cicero, for example will be chosen because we can't pronounce Socrates, is from the Latin "cicer", which means chickpea. Chickpea is a kind of vegetable. Curtis, another English name, means "short leggings". Let's be honest, no one wants to see a guy in capris (Hayes, 2013). If a name means something terrible or something good – names have a meaning.

What will happen if in your usual environment new people from abroad move in? Different names are on the door bell which locals can't even pronounce. The first part of the survey tries to find out how people act when they hear foreign names.

Corporate Culture

Each and every human has its own culture. Every individual is thus simultaneously a member of several cultures: for example, a physicist at Harvard University, of German origin and German mother tongue, having acquired US citizenship, would have at least five identities to reconcile in everyday life (Art, 2009). In a company many people work closely together and share offices with other colleagues. In that kind of environment it's important to respect mutually and to reduce the own wishes. Cultural differences can cause easily troubles within a group of employees. Especially when two companies merge corporate culture is substantial for a good performance. If it's not taken care of, workers create either active or passive resistance against the new situation. Special attention should be on a rise of resignations, on higher sick leaves and productivity (Wirtz, 2003). Basically we understand the term "Culture" like thinking in patterns, value standard and forms of interaction between humans in their natural and social environment (in comparison to Krystek, 1992).

Corporate Culture is defined "as the entirety in a company existing either aware or unaware cultivated, symbolic and linguistic values, thinking pattern and code of conduct (in comparison to Ulrich, 1993). When new colleagues are hired change the corporate culture with their own characteristics – mostly unconscious.

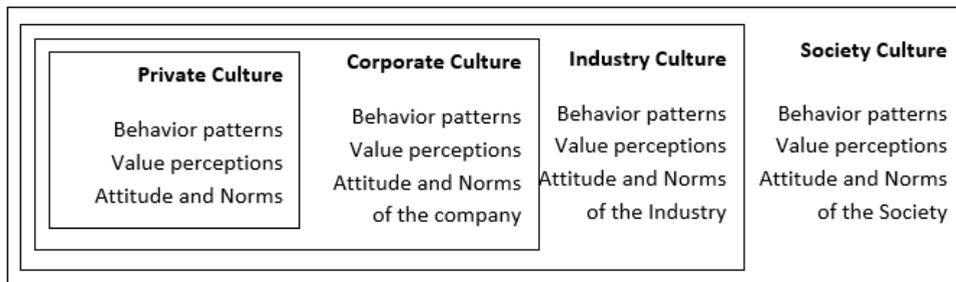


Figure 1: Corporate Culture and their surrounding Cultures (Bleicher, 1991)

It is seen in the figure 1 that the private culture is the nearest area. It reflects how humans are raised. Children learn very fast from other people who are close to them. Lived tradition and values will be hand over to the next generation at home. These learned behavior patterns will be used in school and at work. When parents trained their child to be polite to others the youth will rarely misbehave in school or at work.

Every company has its own corporate culture. If the lived culture is good or not depends on perspective of the observer. Japanese corporate culture for example dates back to the post-world war time. The culture in Japan is in a changing phase (Rothlauf, 1999). The cultural differences will be mostly used when westernized Managers fail in business in Japan (Niesen, 2014). Statements like: "the Japanese corporate culture is just different like ours." will be used to explain the unavoidable. The basic need of the Japanese people is to contribute to the harmony of the society and they workforce only function when at least a minimum of harmony is available. That's why manager should avoid criticizing colleagues directly (Rothlauf, 1999) – which is in our corporate culture common practice. The ability is high that the corporate culture will be the scapegoat when companies go through hard times, which can end up in insolvency. Symptoms of corporate relevant topics are for example (Homma, 2014):

A high fluctuation of highly qualified and/or normal workers.

The leadership style of some managers will lead to frustration and tensions of the employees.

The time of response on customer enquiries are too long and cause critics.

The organization is busy with themselves instead with the customer.

High sick days – compared in the sector.

In some departments distrust and lack of cooperation are discovered.

Every individual add a small part to the corporate culture with the private culture. For leaders especially important is to be aware of the role they show to the work force. If the leader / manager are inaccurate the employees will be mostly too.

The culture of some industries is even seen from outstanding people. For example the hotel and tourism industry is known that it's a tough job with lots of hours, working on weekend, high stress during season and the communication does not have a nice way. In this industry only workers who can bear or be part of that culture will survive for a longer time. In other words each industry sector has its own culture and only people who like the work environment work there.

The more people come together the more diversity is seen. Tyler amplifies: "Culture is that complex whole which includes knowledge, belief, art, morals, law, customs and any other capabilities and habits acquired by man as a member of society" in the year 1871. A lot of external influences shape our view and opinion. When you ask people to introduce themselves to others, their answers will look like this: 'I'm Jim. I work in accounting. I take care of all the payroll paperwork. Mostly I work with the lawnmower and small engine division, but I'm beginning to work more with the flowerpot division (Peterson, 2004). They mostly identify themselves with work or with a soccer club or a nation / region. You will find rarely people who talk about their private life, where they come from and so on. Especially at the start of a conversation with strangers. The best way to break through insularity and explore more about a culture of a society is to buy only a one way ticket to Burundi in the middle of Africa. Just to be kind to give them a liter of fresh drinking water for their arrival there. So if they ever wanted to make it home, they would be absolutely obliged to interact with someone incredibly different from themselves. They would be forced to learn a bit of a foreign language, to use body language, to modify their communication style, to listen attentively, to keep an open mind and in general to undergo a bit of cultural evolution ... or never get home (Peterson, 2004).

Change the Cultural Aspects

As we know, the cultural of every individual took years to improve. To change private culture, embossed through the years, is very difficult. Only open minded people who accept differences will see the world from other perspectives.

This fact should be known by managers, who announce a culture change for their company. They have to accept that a planned cultural change takes years rather than months, and that culture is in any case changing all the time irrespective of any plans to change it (Stanford, 2010). A corporate organization is a kind of living organism. Workers leave the company and new worker with their private culture imprinting will be hired. All of them contribute and change to the corporate culture with time. It is even necessary for managers who want to change work habits / culture to cancel work contracts and hire new people who will fit into the new company organization.

The more universal the culture is the more difficult or almost impossible is to change the culture. Migrants are seen as one big factor to change the culture of a society. It's not the religion alone also their previous lifestyle collides with the existing culture. It will take decades to finally know in which area the culture changed in which extend (Vertovec, 2015).

Overview of the Survey

The survey has 5 steps. The first step was took place between March and May 2017 and explored the cultural intelligence of different respondents who don't work in the same company. This survey was done to get the first impression about cultural intelligence from young professionals. The second step was divided into two parts. The 1st part explored the situation about foreign names and the 2nd part was performed in one business unit of an energy supply company (in this case - Austria). The focus was on cultural differences within a business unite (between departments). The steps 1 & 2 and the steps 4 & 5 will be performed as online surveys. Step 3 will be performed as quality interview. A qualitative interview is the best way to get the real opinion of the managers in the headquarter and to read in between the lines.

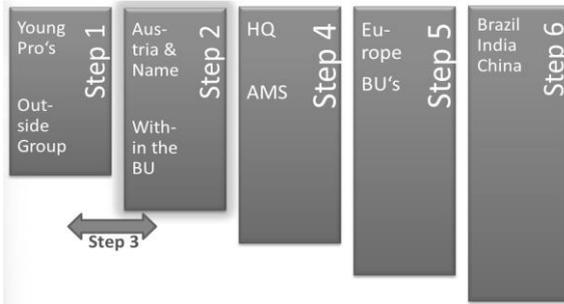


Figure 2: Steps of the survey

Source: Own diagram

Overview of the Online Survey – Names

The goal of this survey was to find out if people biased when they hear a foreign name without knowing the person and also without a photo. Do people categorize names regarding their own cultural impressing? The online survey was performed between the 1st of May and 10th of May 2017. All together 169 started the survey and in total 126 finished the survey with 11 questions. The survey has a completion rate of 74.56%. The origin of the names (in total 6) were Austria (2x), Uganda (2x), Arabic (1x) and Tanzania (1x).

| Names used | Female | Male |
|------------|----------------------------|---------------------|
| Namibia | Jennifer Shekupe Nkosazana | Charles Tale Mosegi |
| Austria | Katharina maier | Markus Kofler |
| Uganda | | Kagizo Tebogo |
| Arabic | | Ibrahim Alhamad |

Figure 3: Names used Source: Own diagram

Result of the Survey - Names

The 1st question was about the gender. All common names were proper classified. Even the names from Namibia were chosen right dou to the common first names – Jennifer and Charles. The only name which confused the respondents was the Ugandan name Kagizo Tebogo. In this case the baptismal name was removed. Only 70.75% chose the correct gender. The given name is necessary to identify the gender of a person. In this case the first name was not known well by the respondents (see figure 4). The 2nd question is about the mother tongue of the names. The following languages were available: German, Chinese, Arabic, Africans and French. To choose the right language is difficult due to migration background. The language for the Austrian names was selected up to 99.32% (both) correctly. 93.06% selected the Arabic name correctly. In figure 5 it is seen that the Ugandan name was selected up to 72.79% for African language. Compared to the other two African names where the female got 59.72% and the male 32.19% correct selection is the result of the Ugandan name due to the fact that when the names comprised a Christian name it might be possible that they live abroad or in one of the former colonies of the European powers.

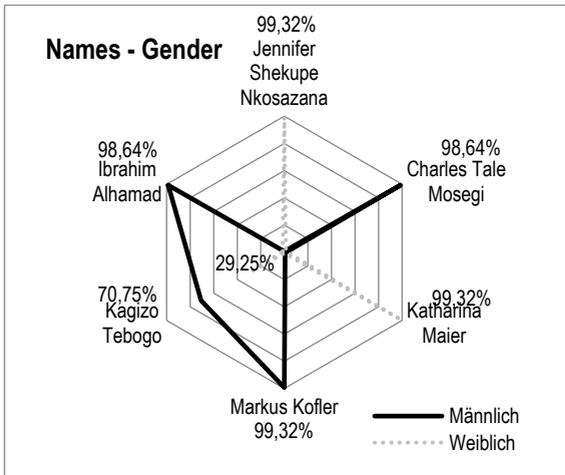


Figure 4: Names – Gender Source: Own diagram

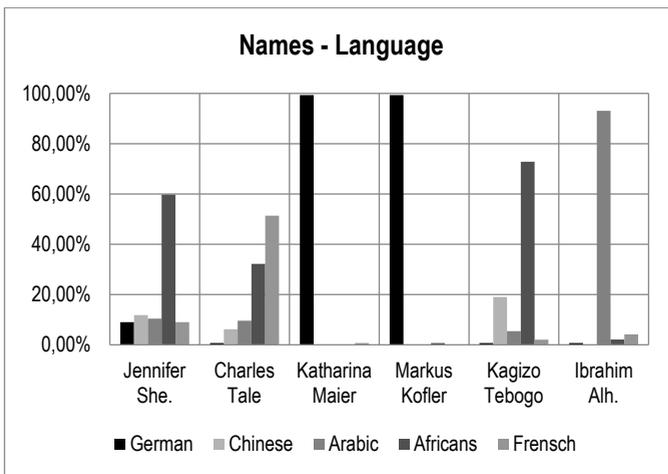


Figure 5: Names – Language Source: Own diagram

Charles Tale confused the respondents the most. The highest selected language was French with 51.37% compared with 9.03% for Jennifer Shekupe. The Chinese language only was selected high only with the name Kagizo Tebogo with 19.05%.

The result of the ethnic origin of the names is shown in figure 6. It is clear for the respondents that the Austrian names are up to 99.22% (both) European origin. Also the Arabic name was selected up to 93.02% as Arabic origin. The Ugandan name (Kagizo Tebogo) was selected correctly by up to 68.99% (African origin). Only the two names with Christian names were difficult to categorize. Even Oceania was selected up to 10.16%. The African origin was selected at both names the highest. For the female 46.88% and for the male 37.30% selected correctly.

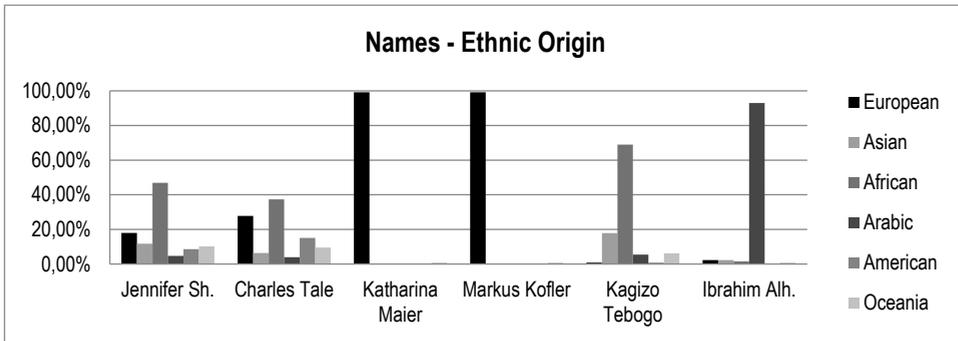


Figure 6: Names – Ethnic Origin Source: Own diagram

The next question discusses the environmental protection. It is known that in developed Arabic countries energy plays a subordinate role. When countries have enough energy to even export it, the citizen will not take care and think about environmental protection. Accordingly is the result. The highest environment protection score got the Austrian names opposed the fewest score got the Arabic name. Females got higher scores rather than males.

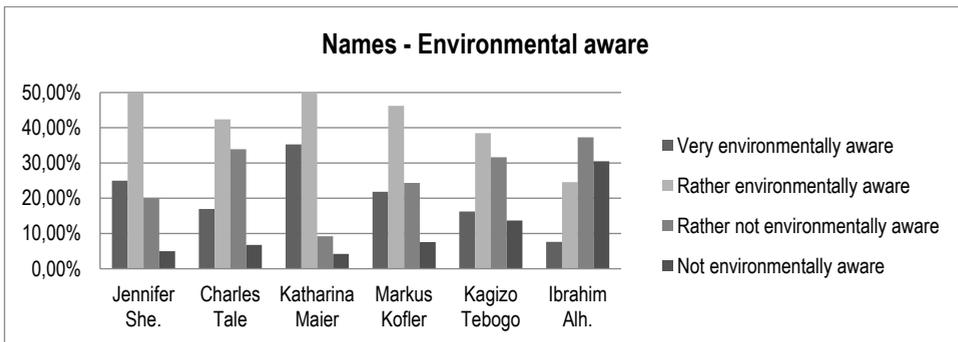


Figure 7: Names – Environmental aware Source: Own diagram

In societies hobbies play a big role. Every culture has its own favorite sports / hobbies / activities. British like Cricket, Rugby and Soccer. Americans like American Football and the Germans favorite sports are soccer (Eivam, 2017). But when people hear foreign names, they associate it with local or with exotic hobbies. To the selection six activities and no activities was available. Activities were swimming, climbing, hiking, betting, cultural activities and charitable work.

Multiple answers were possible.

| | Jennifer She. | Charles Tale | Katharina Maier | Markus Kofler | Kagizo Tebogo | Ibrahim Alh. |
|-----------------------|---------------|--------------|-----------------|---------------|---------------|--------------|
| Swimming | 72 | 60 | 83 | 70 | 53 | 48 |
| Climbing | 53 | 50 | 69 | 82 | 49 | 47 |
| Hiking | 56 | 61 | 81 | 79 | 51 | 47 |
| Charitable activities | 72 | 58 | 71 | 58 | 59 | 53 |
| Betting | 29 | 43 | 41 | 53 | 39 | 53 |
| Cultural activities | 77 | 69 | 74 | 62 | 65 | 66 |
| No activities | 16 | 18 | 14 | 15 | 24 | 23 |
| Total | 375 | 359 | 433 | 419 | 340 | 337 |

Figure 8: Names – Hobbies Source: Own diagram

Unknown names are more associated with cultural activities. The highest scores got the Austrian female (433) and male

(419). The second highest scores got the names from Namibia (incl. Christian names) and the fewest scores got the foreign names without Christian name and the Arabic name. The respondents are probably sure about the local activities. The females (African and Austrian) have the highest scores in cultural activities. The highest score in betting got the Arabic name as the second highest score behind cultural activities. It is seen in figure 8 that the Arabic name is less associated with sports activities and is almost equal with the Ugandan name. As soon as Christian names are involved the selection "no activities" is chosen very less. Others have at least 10 points more.

In the survey of foreign names it is clearly seen that the respondents were biased. When a name is familiar hobbies and language are probably the same. As long as Christian names are still involved the respondents have it still easy to choose gender and language. Especially the Namibian names with Christian names gave the biggest difficulties when it comes to choose the ethnics.

In general it can be said that only names (without additional information) can confuse the respondents. When a society communicates sooner or later barriers will fall and aversions will be minimized.

Overview of the Online Survey – Step 2 Austria

The survey of Step 2 was performed between the 26th of July and 26th of August 2017. In total 44 mails were sent to employees in one business unite. 75% (33) respondents opened the online platform to read / see the introduction. 28 respondents started and 20 finished the survey. The survey has a completion rate of 71.43%. The average time was about 5 min.

The business unite which was chosen is located in Austria and part of an international group with 27 other business units located on three continents. All business units together have more than 15,000 employees.

Result of the Survey – Step 2 General

The first questions were about general information like gender, age, work experience and highest education. The second part was going more into details in migration background, are you understood within or outside the department. The third part of the survey covers the five questions how to find define cultural intelligence. The first three parts are also performed in the first step of the dissertation (with young professionals – outside the business units). The result of all part investigations will finally cumulated to a big dataset to get significance out of the data. In the first step 42 filled and in second step (Austria) 20 filled questionnaires were collected. In both surveys no significance, due to few respondents, in each survey were detected. The more questionnaires were collected the chance of significance increase.

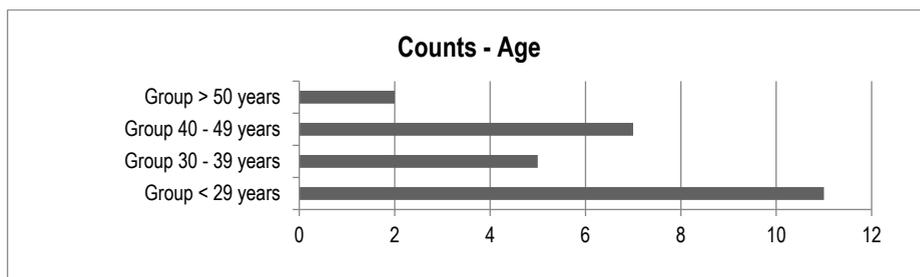


Figure 9: Counts – Age Source: Own diagram

In the survey of the second step 56% were females and 44% were male. The educational level is as follows: 32% (8) have a finished apprentice ship, 32% (8) have a high school certificate, 28% (7) have done additional schools after secondary school and 8% (2) have a university of applied science educational level.

It is seen that the biggest group of employee is in the group up to 29 years. Only 2 employees are older than 50 years. The group of the 40 – 49 aged employees is the second biggest.

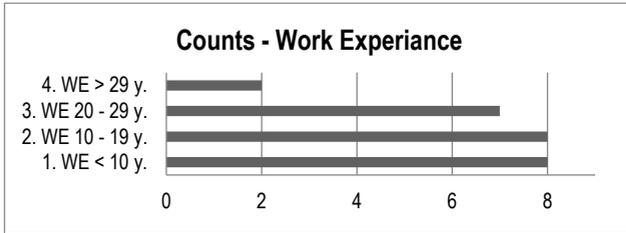


Figure 10: Counts – Work Experience, Source: Own diagram

In addition to the age 2 employees have more than 29 years of work experience. Group 1 (8 counts) has less than ten years of work experience. The majorities of the respondents are in group 2 and 3 and have between 10 and 29 years of work experience.

Out of 25 respondents only 2 (8%) employees have a direct or in first generation (parents) migration background.

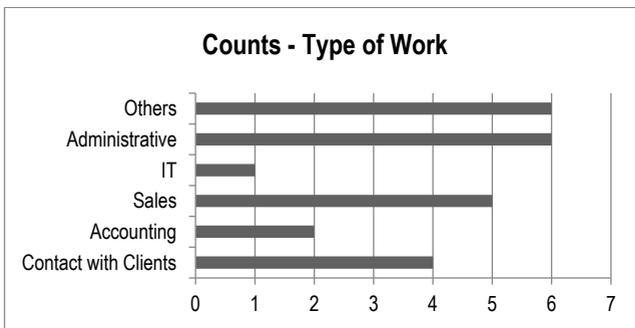


Figure 11: Counts – Type of Work, Source: Own diagram

It is seen that the biggest part of the organization works in the back office to facilitate the operational continuity of the company therefore the majority of the respondents don't have contact with clients. Only four in the head office and five of the sales respondents communicate directly with clients.

To work with customers need employees who are more extroverted rather than employees who work in the accounting department. IT specialists are more introverted and focused on things – like computers.

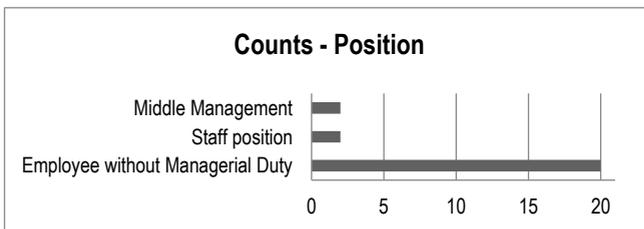


Figure 12: Counts – Position Source: Own diagram

Most of the employees (83.33%) are in position where they don't have to manage other colleagues or even a budget. Only four respondents are counted with responsibilities for other employees and budgets. Managers and positions below the CEO (e. g. staff position) in general should have a higher cultural knowledge rather than “normal employees” to lead their staff into the right direction.

The next questions cover the cultural differences within a department and between other departments. When people work together, maybe in the same office, than at least they should understand (not only by language) and bypass

possible cultural differences. Cultural differences within a department can lead into a reduction of productivity and an increase of mistakes. Normally more employee work on one business process and mistakes can occur. A good coordinated team will find the mistake and eliminate them. If people don't work together mistakes can lead into financial loss and company's reputation. The result of the survey was as follows:

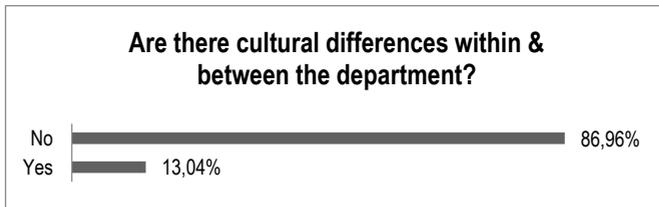


Figure 13: Ratio – Cultural differences between and within departments Source: Own diagram

Both questions were answered the same. 86.96% feel that there are no cultural differences within the department and even between other departments. In total 20 respondents selected no differences. Only 3 respondents selected "yes" there are differences within and between the departments. In general it is a good sign when employees feel / think that there are no differences.

The control questions show a slightly different picture of the previous questions. It shows a stronger team spirit within the department but between other departments the team spirit drifted apart.

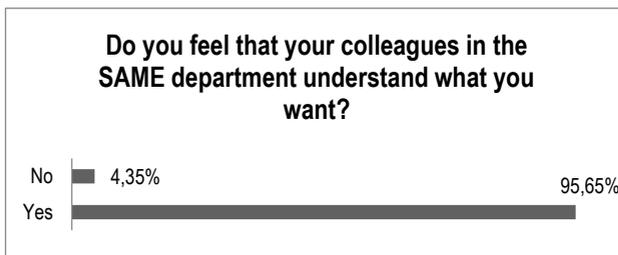


Figure 14: Ratio – Cultural differences within the department Source: Own diagram

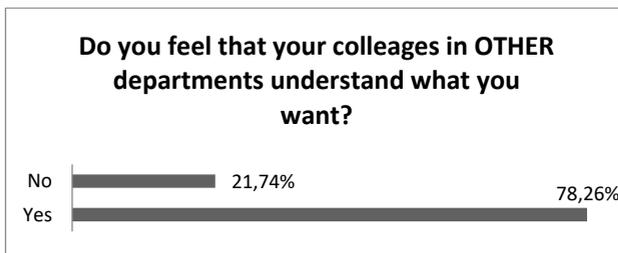


Figure 15: Ratio – Cultural differences between departments Source: Own diagram

The result from figure 13 (do my colleagues understand me – SAME department) is more clear and confirms the previous question about the cultural differences within the department. There was only 1 respondent who selected "NO". A good team spirit exists in the departments. Disparate answers were selected with the question about the communication between OTHER departments. The result from figure 14 doesn't show the result from the previous question, where only 4 respondents answered that there are cultural differences. More respondents (21.74%) are the opinion that their cases / needs / urgencies are not understood in other departments.

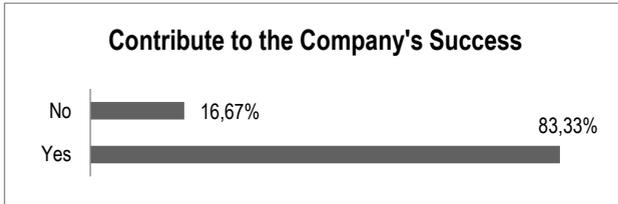


Figure 16: Ratio – Contribute to the Companies Success Source: Own diagram

Most of the employees have the feeling that they contribute to the company's success. Out of 24 respondents 20 indicated yes that they contribute to the success. Only 4 respondents feel that they are doing some work without any value to the company. This result can be an indicator that the respondents are attached with the company. It is the responsibility of the managing director to assure every employee the importance of his person and work to further increase the productivity.

Result of the Survey – Step 2 Cultural Intelligence

The following results describe how the employees want to work. It is expected that every department has its own median which will not correspond with other departments. For example the accounting department will not take a high risk at the work due to higher financial impact compared with the marketing department which needs to take higher risk in advertising to be recognized in the field. If it is so the following tables will explain. Brief description of the Main_Work: 1 = Contact with Clients (e. g. Call Center), 2 = Accounting dept., 3 = Sales dept., 6 = IT = dept., 7 = Administrative dept., 8 = Others (3x Marketing, 1x Logistics, 1x Disposition). Brief description of the groups: 1 = 0 – 24; 2 = 25 – 49, 3 = 50 – 74, 4 = 75 – 100.

In general the majority (63.16%) prefer to work in a team. The tendency in the result is that more than 42.11% want to work only in a team. The other extreme is that 26.32% want to work only along. Even one respondent from the sales department want to work alone before mingle with other people. The group 1 is more outspoken than the administrative department. All employees in group 1 want to work more in a team.

The group 8 is very interesting due to ambivalent perception. All marketing employees want to work more alone rather than in a team. Both logistics and disposition prefer to work in a team (>75.00%). The marketing department should be normally more extrinsic motivated to work together with other departments. Especially with the sales representatives a good communication is indispensable. Also an ambivalent picture shows the result from group 7. The tendency is going to work more alone and not in a team. It might be forgotten that processes can only be managed together in an interdisciplinary team. Standalone processes which only be worked off in one department are very rare. The accounting department also wants to work more alone rather than in a team. It is the nature of the workers in an accounting department to be more "alone" with their numbers and not have contact with clients.

Main Work *. Work preferences

Main_Work * Alone_Team_Group Crosstabulation

| Count | | Alone_Team_Group | | | | Total |
|-----------|---|------------------|---|---|---|-------|
| | | 1 | 2 | 3 | 4 | |
| Main_Work | 1 | 0 | 0 | 1 | 3 | 4 |
| | 2 | 1 | 0 | 1 | 0 | 2 |
| | 3 | 1 | 0 | 0 | 2 | 3 |
| | 6 | 0 | 1 | 0 | 0 | 1 |
| | 7 | 2 | 0 | 1 | 1 | 4 |
| | 8 | 1 | 1 | 1 | 2 | 5 |
| Total | | 5 | 2 | 4 | 8 | 19 |

Figure 17: Main_Work, Alone_Team_Group Source: Own diagram

Brief description for the group Security_Risk_Group: 1= 100% Security, 4 = 100% risk. The result of this question is evenly distributed. 50% will not take any risk in the job and 50% will take risks. It is seen in figure 17 that the sales representative don't want to take risks in their job rather than the group administrative where slightly more employee take risks. Also the

group others take more risks than the group contact with clients. In general no trend is seen in the result.

Main_Work * Security - Risk

| Main_Work * Security_Risk_Group Crosstabulation | | | | | | |
|-------------------------------------------------|---|---------------------|---|---|---|-------|
| Count | | Security_Risk_Group | | | | Total |
| | | 1 | 2 | 3 | 4 | |
| Main_Work | 1 | 1 | 0 | 1 | 0 | 2 |
| | 2 | 0 | 0 | 0 | 1 | 1 |
| | 3 | 1 | 2 | 0 | 0 | 3 |
| | 6 | 0 | 1 | 0 | 0 | 1 |
| | 7 | 2 | 0 | 1 | 2 | 5 |
| | 8 | 1 | 0 | 3 | 0 | 4 |
| Total | | 5 | 3 | 5 | 3 | 16 |

Figure 18: Main_Work * Security_Risk Source: Own diagram

Main_Work * Flat - Hierarchy

The next question describes how the employees prefer to work. 1 = Flat organization, 4 = very Hierarchy organization. Startups have due to few employees or one-man companies have in general flat hierarchy in the organization. The question for every founder is when to start with the development of the organization. It might be possible that employee will leave the company as soon as the organization will be developed and management levels will be established.

Brief description for the group Flat_Hierarchy: 1= 100% Flat, 4 = 100% Hierarchy. It is seen that the group 1 (contact with clients) have evenly distributed selected. In every category one person selected. The group 2 (Accounting Department) selected one time the lowest and one time the highest sections. In this situation the head of department has to try to find a way to fulfill both wishes of the employees. The group 3 (Sales Representatives) prefer more structured organization. For them it must be clear where to go by problems – to have a clear picture of the system they work in. Group 7 (Others) like it more flat. There are employees from the marketing department who needs their room to be creative. Hierarchy organization will just limit them to be innovative.

| Main_Work * Flat_Hierarchy_Group Crosstabulation | | | | | | |
|--------------------------------------------------|---|----------------------|---|---|---|-------|
| Count | | Flat_Hierarchy_Group | | | | Total |
| | | 1 | 2 | 3 | 4 | |
| Main_Work | 1 | 1 | 1 | 1 | 1 | 4 |
| | 2 | 1 | 0 | 0 | 1 | 2 |
| | 3 | 0 | 0 | 1 | 1 | 2 |
| | 6 | 0 | 0 | 1 | 0 | 1 |
| | 7 | 1 | 0 | 2 | 2 | 5 |
| | 8 | 2 | 1 | 1 | 1 | 5 |
| Total | | 5 | 2 | 6 | 6 | 19 |

Figure 18: Main_Work * Flat_Hierarchy Source: Own diagram

How to solve a Problem

In some situations employees can't go further with their work / process. These issues occur when problems rise in their area of responsibility. But the question is: "who to ask?" In "normal" departments is the first way is to ask their colleagues and the head of department. If this is not possible for any reason the next is to ask outside their closer work colleagues. This question was asked among the employees.

It is seen in figure 19 that 50% want to find a solution within the same department. 9 counts or 45% will ask directly the manager of the department. Only one count (5) will ask the IT Department to solve their problem. This respondent may faced some technical problems in the past. No respondent selected the possibility to keep the problem by him / her self. This can be interpreted that the problem will be solved with an acceptable way (time, respect ...). It is also seen that no solution will be looked for outside the department. Maybe the problems are specific problems which can't be solved from outside.

| Solution | Counts |
|-------------------------------------------|--------|
| Ask my Manager | 9 |
| Ask the IT-Department | 1 |
| Keep the problem by myself | 0 |
| I speak in the break about the problem | 0 |
| Suche eine Lösung innerhalb der Abteilung | 10 |
| Suche eine Lösung außerhalb der Abteilung | 0 |
| Total | 20 |

Figure 20: How to solve a Problem Source: Own diagram

*Main_Work * Direct – Indirect Communication*

Communication is one of the core cultural competences which individuals own. In this world 6,500 – 7,000 languages exist (Pereltsvaig, 2012). Most of them have in addition also their subdialects. Communication is the basic to exchange / interact with people. But how to communicate in the right way across different cultures can be difficult. Mistakes in communication are common and can irritate the listener. The next question explored the communication within a company. Do employees prefer the direct or the indirect communication? Direct means that the employees talk face to face with the supervisor or write a mail direct to the manager not using others (colleagues) to address issues.

It is seen in figure 20 that more than 85% of the employees prefer the direct communication. Even 50% prefer the highest quarter of direct communication. Only 25% prefer a slightly indirect communication. The other 50% prefer a mixture between direct and indirect communication. Maybe it is important for these employees to choose the right communication channel for each and individual issue differently, depending on the actual needs. Only the group 8 (others) choose more indirect communication. They mainly work in-house and don't have direct contact with customers. Even the marketing department prefers to communicate more indirectly. The sales representatives prefer direct communication which is perhaps needed when they talk face to face with the customer. In group 1 (contact with clients) some employee prefer to communicate.

*Main_Work * Indirect_Direct_Group Crosstabulation*

| Count | Indirect_Direct_Group | | | Total |
|-----------|-----------------------|---|---|-------|
| | 2 | 3 | 4 | |
| Main_Work | 1 | 0 | 3 | 4 |
| | 2 | 0 | 0 | 2 |
| | 3 | 0 | 0 | 3 |
| | 6 | 0 | 1 | 1 |
| | 7 | 0 | 1 | 5 |
| | 8 | 3 | 2 | 5 |
| Total | 3 | 3 | 7 | 10 |

Figure 21: Main_Work * Indirect_Direct_Communication Source: Own diagram

slightly more indirectly rather than directly. It is interesting to see that the group 2 (accounting department) prefer to communicate direct. It is said that accountants are more introverted and focused only on the task.

*Main_Work * Task_Relation*

Task oriented employee only see the work which should be done within a certain time. It plays only a subordinate role if they are liked in what they do or not. The task is in focus. Relation oriented employee think before they hand over work to their colleagues. To have a good relationship between the employees is important and is the basic condition to be happy at work.

It is seen in figure 21 that the selected quarters are equally distributed. 50% prefer more tasks and vice versa. But the highest scores are mentioned in the center (in total 75%). The IT-department (group 6) prefer purely to work on tasks. The group 1 prefers to work more relation oriented bus not 100%. Only one employee selected the highest quarter (almost 100% relation oriented). The group 3 (sales department) like to work more task oriented and not relationship oriented. In general it can be said that the result is quite ambivalent. No clear picture / tendency are seen in this company.

Main_Work * Task_Relation_Group Crosstabulation

| Count | | Task_Relation_Group | | | | Total |
|-----------|---|---------------------|---|---|---|-------|
| | | 1 | 2 | 3 | 4 | |
| Main_Work | 1 | 0 | 1 | 2 | 0 | 3 |
| | 2 | 1 | 0 | 1 | 0 | 2 |
| | 3 | 0 | 2 | 0 | 0 | 2 |
| | 6 | 1 | 0 | 0 | 0 | 1 |
| | 7 | 1 | 0 | 2 | 0 | 3 |
| | 8 | 0 | 2 | 2 | 1 | 5 |
| Total | | 3 | 5 | 7 | 1 | 16 |

Figure 22: Main_Work * Task_Relation Source: Own diagram

Conclusion of the Online Survey – Step 2 Austria

The first Part – foreign names

Names play a huge role in the way to success in many ways. Does someone want to rent a house, apply for a job, ask for some help. Names trigger if a person will get something or not. Officially it is not allowed to write in an ad that a company only looks for locals. But in the background applicants with foreign names fall out of the race only because of this reason.

Either way, the right pronunciation of the name is crucial. Not respecting cultural differences can lead to clashes. Just treat all people as individuals, the thinking goes, and soon, peace will guide the planet and love will steer the stars (Markus, 2014). Inhabitants of a region fear in general change for example when foreigners migrate to their area. It's a kind of cultural change which everyone has enough of them. We all have many different cultures crisscrossing through our lives, from major cultures like nations, genders, and social classes; to subcultures like professions, hobbies, and even sport-team fandom (Markus, 2014). Given names are part of the closest cultural characteristics. It is hard for inhabitants to put names into the right category as long as no other information / picture is available to them. We all think in boxes, how we raced up, and put people / names / issues into a particular category. To avoid this trend is to break somehow the cycle. Being aware of the culture cycle is the first step to controlling it. Once you know that the environment is full of primes that shape your behavior, you can begin to consciously override these cues, or even replace them with more desirable one (Markus, 2014).

It is the responsibility of a managing director, for example, to hire the best applicant for a specific job, independently from the given name of the person. Names should not trigger any decision from the side of the receiver. To know that we are biased in many ways can help to gather more impressions from a person so that the opinion regarding a specific person can change.

The second Part – survey within a company

The survey shows the actual result of the company's culture. The survey within the company did not show any significance due to fewer respondents. Only descriptive statistic was used to analyze the results. In the following surveys more filled questionnaires will be collected. Other subsidiaries will be contacted and responsible managers at headquarter interviewed.

The five questions regarding the cultural preferences showed an ambivalent picture. Only the communication shows a higher trend to direct communication rather than indirect communication in general. The employees in general prefer to work more on task level and not so much on relationship basis. The result of "How to solve a Problem" shows clearly that the employee prefer to solve problems within the department and don't involve additional departments or colleagues from the other side of the company. Also the direct manager plays a big role to solve problems. The results of the question "Security vs. Risk" shows that the respondents prefer not to take risk in their job. In companies where innovation drives the business risk is omnipresent. Of course, it is the duty of the managers to mitigate the risk as much as possible. In this examined company the employee prefer to be on the saver site.

The result of the question "Flat vs. Hierarchy" structure goes towards more hierarchy structure within the company. People want to be guided. Flat organizations often do not have clear ways of reporting and responsibilities. This character also changes due to the type of the company. Startups have more flat organizations. As soon as the company grows (with staff) levels must be implemented. People who like flat structures may leave the company because of this.

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The Atrides Saga and Power Play: The Dilemma Between Freedom and Death on the Theatrical Scene

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Abstract

Thyestes' myth is difficult to read: cruel, abominable, but also multidimensional. And this is why it is adaptable to multiple interpretations, highlighting the different aspects of tyranny within different political, socio-cultural and philosophical contexts during the centuries. Thyestes, the protagonist of the tragedy, serves, with his unique characteristics, as an example to the spectator in order to understand and improve his own situation, even his very existence. First, we will take a look upon the theatrical production by Petros Katsaitis, author of a tragedy based upon this myth in 1721. At that time, Greece does not yet exist as a national state, being under the rule of the Ottoman Empire. Thus, Katsaitis highlights the complex historical reality in which he lives in person. The German author Christian Felix Weiße writes his *Atreus und Thyest* in 1766 in the philosophical context of Enlightenment, with a focus on the anthropological education of his audience. Ugo Foscolo, being between Italy and Greece, between Neoclassicism and Romanticism, in his *Tieste* (1797) recalls the memories of modernity's Ancient Greek roots and re-elaborates the myth by reinvesting it with civil and political sense. Thus, the purpose of this paper is to present three versions of an ancient Greek myth composed during the eighteenth-century in three different regions of Europe in order to highlight the potential impact of this tragedy on the viewer's reception and in relation to the historical-cultural and philosophical trends of the time.

Keywords: Thiestes, Tragedy, Weiße, Katsaitis, Foscolo.

Introduction

Among the Greek myths that take place in the Heroic Age is the story of the House of Atreus. The Atreus and Thyestes myth, although it is one of the most violent and cruel of the Greek antiquity, inspired the European theatre and influenced the artistic production of many writers: Latin, French, German, Italian and others. The roots of the myth must be searched at the beginning of the ancient tradition and the artists' first efforts at the demanding campus of Literature. We find the first citation regarding the two brothers in Homer's *Iliad* (B' v.v. 100-108)¹. In this particular text, the myth is not full and clearly described, in other words not perfectly elaborated yet. Homer, in his epic poem, dedicates these verses to the governors before Agamemnon, and among them, to Atreus and Thyestes. The initial construction of the story does not provoke fear but is mainly focused at the political game: Pelops, the hero that gave his name to Peloponnesus, a beautiful region extending at the southern part of Greece, was married to the princess Hippodamia and had six sons from her. But the king had also another son, named Chrysipus, with a nymph. Queen Hippodamia killed him, supported by her twins Atreus and Thyestes. According to the most diffused version if the myth, Chryssipus, before his death, revealed to his father who the murderers were. The father asked from the Gods to punish them and exiled his sons from the kingdom. After his death, they returned, and Atreus took the throne as legal heritage because he was the older. Hermes gave to him, as a symbol of authority, a Golden Fleece and this donation was the revenge of the Gods for Chryssipus' murder: Thyestes, jealous of his own brother, cooperated with his wife Aërope, stole the Golden Fleece, and asked from the people the authority. The gods, furious about Thyestes behavior, demanded from the Sun to change the usual orbit of the day. When Atreus realized the meaning of the omen, he killed his wife and exiled his brother. As we can see so far, everything has to do with power, but after this particular point, the situation became much more realistic and dramatic. The plot of the myth is rather unexpected, since the tragic poets of Athens, formed it in a different way, insisted upon the mutual hate between the two

¹ Ιωάννης Θ. Κακριδής, *Ελληνική Μυθολογία*, Εκδοτική Αθηνών, τομ. 3, Αθήνα 1986, σ.σ. 191-193.

brothers. A few years later, Thyestes returns with his sons, imploring forgiveness and reconciliation with his brother. But king Atreus' extreme behavior aggravates the situation, up to the tragic solution: he kills Thyestes' children and offers their own flesh and blood, as a supper to their father. Other sources –regarding theatre- about the reconstruction of the initial myth, are: Aeschylus' *Agamemnon* (v.v. 1217-1244), *Ajax* of Sophocles (v.v. 1291-1297), *Electra* and *Orestes* of Euripides¹ (v.v. 718-736). From the Latin theatre, there are six well-known authors who occupied themselves with the myth, such as Ennius, Accius, Varius Rufus, and –of course- the great Seneca: his *Thyestes* is the only one preserved in its entirety, of all above mentioned². It is rather difficult to find out which was the original text that served as a model for Seneca. Although we all know the most famous tragedies that include elements of the Atrides initial version, unfortunately, there is no attic tragedy, saved as a whole, which is inspired exclusively by the characters of Atreus and Thyestes. We know, for example, that Sophocles composed three or four tragedies regarding this particular myth, but we don't know anything about their plot or the way he decided to elaborate his material. The most of the researchers agree that the tragic poet, probably focused upon the original story of the Golden Fleece in his lost tragedy entitled *Atreus*, the sacrifice of his brother's sons in a tragedy with the title *Thyestes*. Furthermore it has to be reported that there existed six other tragedies, composed between 5th and 4th century inspired from Atreus and Thyestes myth³. Also Euripides has composed a tragedy with Thyestes as the central figure. Unfortunately nothing more than a little number of verses is saved from this work. Euripides, the most tragic poet of the antiquity, creates his hero –and many others- a beggar. Probably the main issue is focused upon the terrible supper, and according to the sources it was presented in 425 a.C. because in Aristofanes' *Aharnes* there is a citation to Euripides *Thyestes*⁴. So it is obvious why we are not able to find out the author or the work that influenced Seneca. In any case, we cannot speak for a simple translation of a Greek model or a revision. Except the traces of the ancient myth-or the "unknown" tragedy- we are able to recognize in Seneca's tragedy, some scenes from Virgil's *Eneide* and the *Transformations* of Ovidius. The presence of the Latin literature coexists with the Greek tradition in Seneca's *Thyestes*. This tragedy of 1112 verses insists upon the relationship between the king and his twin brother, the death of the innocent children and the famous supper. The main subject of the work is the passion for the unconceivable, an enormous desire for power, authority, blood and domination over other people's destiny. Dreams never accomplished. This is the base of all modern dramatic productions in Italy and Greece regarding Thyestes. For example, after Seneca comes Lodovico Dolce with his particular drama *Thyestes*⁵, a typical product of the 16th century (was written in 1543), the period of Humanism. In this text, the presence of Seneca is more than obvious. *Thyestes* was his second tragedy and Dolce-editor, translator, curator and critic-represents the spirit of Renaissance, promoting the "Ars mimetica", and creates a revision of the Latin tragedy. Dolce became the model for Peter Katsaitis, who composed his own *Thyestes* in 1721, expressive of the Greek Barock period⁶. The divergence among these three works, are characteristic of the different ages they belong: In the Latin tragedy, there is no hope if justice and although the hero implores the Gods for revenge, the punishment of the guilty never arrives. On the contrary, the Italian work develops the main story from another point of view: As the message is based on Christianity, the hero believes that a God full of compassion will save him from the pain and the Purification from the kings' crime will sooner or later take place. In this version of the plot, the problem between the two brothers starts for another reason, totally different from tradition: The commitment of adultery by Thyestes and the queen Aërope. Because of this old sin Atreus cannot find the peace, is not sure about the paternity of his own children, hates his brother to the death, and takes his horrible revenge. Katsaitis follows the same version of the myth up to a certain point: Sometimes, he just makes a translation of the Italian tragedy, but in many other cases, he prefers to follow his own inspiration. For example, he starts out with a long introduction- a Prologue- that makes a symbolic figure, the Justice. Also, at the end of the drama, in 762 verses that do not exist in the Latin and the Italian work, the Greek poet describes Atreus' death, twenty years later, by Aegisthus and Clytemnestra. Katsaitis reevaluates this particular element from Aeschylus tragedy, *Agamemnon*⁷. So Katsaitis dares to change the end of the plot, to another different destination from the Italian model and the original myth.

¹ Ibid.

² John G. Fitch, *Seneca. Oedipus. Agamemnon, Thyestes, Hercules on Oeta, Octavia*, Harvard University Press, Cambridge, Massachusetts, London, England 2004, p.p. 217-219.

³ Christopher Collard, Martin Cropp, *Euripides Fragments, Aegaeus- Meleager*, Harvard University Press, Cambridge, Massachusetts, London, England 2008, p.p. 428-431.

⁴ Ibid., p.p. 432-433.

⁵ Stefano Giazzon, Lodovico Dolce. *Tragediografo tra riscrittura dell' antico e traduzione*, Dottorato di ricerca, Università degli Studi, Padova 2008, Ludovico Dolce, Tieste, a cura di Stefano Giazzon, Edizioni Res, Torino, 2010 and Ronnie H. Terpening, *Ludovico Dolce Renaissance man of Letter*, University of Toronto Press, Toronto 1997, p.p. 8-24.

⁶ Εμμανουήλ Κριαράς, Κατσαίτης. *Ιφιγένεια- Θυσία- Κλαθμός Πελοποννήσου, Κριτική έκδοση*, Αθήνα 1950, σ.σ. 140-141.

⁷ Ronnie H. Terpening, *Ludovico Dolce Renaissance man of Letter*, *ibid.*, p.p. 262-266.

In the 18th century, the German literature was widely considered to be part of that grand project called Enlightenment. To be precise, literature –above all, drama– had gained this particular status (and function) through the poetics of Johann Christoph Gottsched (1700-1766)¹. According to Gottsched, theatre had the task of communicating to the public the maxims of philosophy which were intended to be useful for the improvement of society. For this purpose, he even aimed at the creation of institutions such as national theatres, thus enhancing the social roles of both playwrights and actors to those of pivotal contributors to the Enlightenment. Of course, not any kind of drama would do for this sublime purpose². From 1741-45, Gottsched published a collection of model plays, the most famous of which is his own 'Der sterbende Cato' first performed in 1731. But Gottsched was eventually criticized for the supposed dullness of his brand of theatre, above all by Gotthold Ephraim Lessing (1729-1781), who attacked – in his seventeenth of the 'Letters, Concerning the Newest Literature' (1759) – Gottsched's rationalist approach to literature, denying that moral improvement could be reached solely by means of reflection, and underlining the importance of emotions for this purpose. Theatre, according to Lessing, was only effective if it was able to move its audience, the main category in this context being 'Mitleid' (pity, or rather empathy)³. Ultimately, this resulted in the emergence of what came to be known as 'bürgerliches Trauerspiel' (domestic or bourgeois tragedy), for only now, the bourgeois spectators were able to watch bourgeois characters (socially like themselves), with a personality composed of both virtues and flaws (anthropologically like themselves), instead of high-born heroes from a distant historical or mythological past, such as Gottsched's own 'Cato', or, say, the assorted protagonists of tragedies by Racine and Corneille.⁴ Taking all of the above into consideration, what is the exact role and position of a play on the subject of Thyestes, in the second half of the 18th Century? After all, it is about a –mythological– subject that certainly does not lend itself easily to identification, given the appalling and in this sense 'indecent' detail of the story. Christian Felix Weiße's 'Atreus und Thyest' was first published in 1766 and premiered in 1767⁵. Most notably, Lessing -and Weiße for a while- even entered into something like a private contest, writing literary works about the same or similar subjects. Not surprisingly, the leading part seems to have fallen to Lessing, who was about to become an important innovator of German literature, while Weiße essentially remained where he had positioned himself, that is somewhere between the Gottschedian school of Leipzig and the opposing school of Zürich lead by Johann Jakob Bodmer, who underlined the importance of imagination in literature. There was, however, one field where Weiße played an innovative role⁶.

Lessing, in his turn against neoclassical Gottschedian drama, had praised Shakespearean theatre, with its disregard for restricting poetic rules, as an alternative and better model for the creation of new dramatic works in Germany, ultimately culminating in the 'Sturm-und-Drang' movement. Characteristically, Weiße was denounced for 'classicizing' the Shakespearean model. Thus, Weiße's dramatic work is one of transition: he dares to select a topic which is radical in the sense that it does not conform to bienséance (after all, the plot of 'Richard III.' is one which characterized by mayhem and

¹ Gottsched was a student of Christian Wolff (1679-1754), who had made a name for himself by adapting, explaining and popularizing the rationalist philosophy (mainly) of Gottfried Wilhelm Leibniz (1646-1716).

² In his main work, called 'Versuch einer Critischen Dichtkunst vor die Deutschen' (1729/1730), he laid out a set of rules which was largely based upon French neoclassical theatre, focusing on the three unities of place, time, and action, as well as on categories such as decency or good taste (*bienséance*) and probability (*vraisemblance*) in a plot which was supposed to uphold the so called 'Ständeklausel' – in tragedies, only characters of high origin should be on stage, in comedy, only characters of low origin – and cleansed baroque rhetoric or the antics of the Hanswurst, a buffoonish figure from earlier popular theatre. The whole purpose of a play was the illustration of a 'useful' maxim of Enlightenment or a critique of a wrong course of action, which had to be rationally reflected upon by the spectators (who, in doing so, were supposed to 'critically' distance themselves from the performance they were watching) and result in a correction of social behaviour.

³ Only if the spectator felt that it could be himself or herself suffering, at some point in reality, the fate of a fictional dramatic character, the desired change of his or her behaviour could be achieved. In other words, Lessing strove for the audience's uncompromising identification with the action and, above all, characters on stage.

⁴ For this, cf., for instance, Ernst and Erika von Borries, *Deutsche Literaturgeschichte*. Vol. 2. *Aufklärung und Empfindsamkeit, Sturm und Drang*, München 1991, especially 33-42 and 81-101.

⁵ Its author was born in 1726 and came to Leipzig, then possibly the most important centre of German culture and also domicile of Gottsched, in 1745 in order to attend university there.⁶ He made the acquaintance of some of the poets and intellectuals who had gathered there, such as Christian Fürchtegott Gellert, Gottlieb Wilhelm Rabener, Ewald von Kleist, Friedrike Caroline Neuber.

⁶ Coming from a family of educators, he also soon developed a penchant for pedagogy, working as a private teacher and, above all, being the first one in Germany to write children and youth literature. In addition, he wrote comedies, librettos for operas, but also a series of tragedies. With one of these, his 'Richard III' (1758), Weiße participated in the Shakespeare revival, which was crucial for German literature in the the 18th Century.

murder in a ruling dynasty, making it thematically a direct predecessor of the later 'Atreus und Thyest'), but the dramatic execution of the work was, in some regards, deemed insufficient by many of his critics at the time.¹

'Atreus und Thyest' itself, of course, can be considered the epitome of all family tragedies, exceeding the horrors described in 'Richard III.' by far.² In writing it, Weiße not only based himself upon Hyginus (his main source, where the story of the aftermath of the murderous banquet is told),³ but was aware of both the tragedies by Seneca and Crébillon.⁴ This tragedy is among the first ones to be written in iambic pentameters in Germany; it consists of five acts. Its five characters are Atreus, king of Mycenae, his brother Thyest, Pelopia, wife of Atreus, Aegisth, believed to be the son of Atreus, and a priest of Apollo. The first act begins with a monologue of Atreus, his inner self being haunted by the Erinyes (who, already in concordance with the anthropological turn which happened in the 18th century, appear as internal, psychological forces rather than external mythological figures), but not because of his previous evil deeds, but because his odious brother Thyest is still alive. In the following, a priest laments the deplorable state of Mycenae, which is haunted by plagues and starvation, pressing Atreus – who, after all, is to blame for this misery precisely because of his previous evil deeds – to participate in a sacrifice ceremony. Then Aegisth enters, just returning from the oracle of Delphi and revealing its sentence: only blood can purge the blood which has been spilled. The priest suggests that reconciliation and division of power between Atreus and Thyest might lead to salvation for Mycenae. Moreover, Aegisth admits that he has met in Delphi and brought with him to Mycenae Thyest himself. When Atreus reproaches Aegisth for this action, the latter admits that he has acted out of pity. Atreus, however, wants Thyest dead and Aegisth the sole heir to his throne, leaving Aegisth alone to reflect on this strange sentiment of pity induced by Thyest. The second act is predominantly dedicated to the queen and her predicaments. We see her in confrontations with Aegisth, Atreus, and Thyest, by whose presence she is utterly confused. Still, she wants Aegisth to inherit the throne, so she urges him later, in the fourth act, to kill Thyest, revealing to her son that he is indeed not the son of Atreus, a fact unknown to the latter. Queen Pelopia had been raped shortly before her marriage by an unknown assailant, from whom however she only had managed to take his sword. She threatens to tell Atreus, if Aegisth does not oblige to her command. The dramatic action culminates in the fifth act.: Aegisth tries to murder Thyest in his sleep, but does not succeed. Awake, Thyest, talks to him and recognizes the sword by means of which he was supposed to die – it is the very sword the queen had taken from her then unknown rapist, it was Thyest himself, making him the real father of Aegisth. But not enough: the queen, whose own origins were unknown to herself, actually be the daughter of Thyest, making him also the grandfather of Aegisth! The story of murder has evolved into one of incest. Queen Pelopia, haunted by her internal Erinyes, kills herself with the ominous sword; Aegisth pulls it out of her lifeless body, slaying, in turn Atreus. Thyest is in despair: The curse of the House of Pelops will continue!⁵

¹ As it was not possible to situate Weiße neither in the category of the Gottschedians (for a long time considered outdated and thus 'bad') nor into the 'new era', embodied in Lessing and then in the poets of the Sturm-und-Drang, he was almost forgotten by literary history in the 19th and early 20th centuries. (Cf. Jürgen Krätzer, Christian Felix Weiße in der deutschen Germanistik. Ein Forschungsbericht, in: Anneliese Klingenberg, Katharina Middell, Matthias Middell, Ludwig Stockinger (eds.), *Sächsische Aufklärung*, Leipzig: Leipziger Universitätsverlag 2001, 147-160.) Even the renowned literary scholar Jakob Minor who dedicated a monograph to this author – which still has to be considered a work of reference for Weiße – applies these categories and thus certainly does not do full justice to Weiße. For Lessing's critique, cf. Jakob Minor, *Christian Felix Weiße und seine Beziehungen zur deutschen Literatur des 18. Jahrhunderts*, Innsbruck: Wagner, 1880, 206-212, and Georg-Michael Schulz, *Tugend, Gewalt und Tod. Das Trauerspiel der Aufklärung und die Dramaturgie des Pathetischen und des Erhabenen*, Tübingen, Niemeyer: 1988, 263-265.

² It should be mentioned here that family conflicts were a main topic in German Drama between the 1750s and the 1770s. The gruesomeness of the Atreus and Thyestes plot is, on stage, maybe paralleled only by Gerstenberg's 'Ugolino' (1768), where, following an episode from Dante's 'Inferno', the starvation death of Count Ugolino and his sons in a prison tower are described, including an episode of cannibalism.

³ Cf. Günter Dammann, Christian Felix Weiße. *Atreus und Thyest* (1766). Die Aktualisierung Senecas im Trauerspiel der deutschen Aufklärung, in: Gerhard Lohse, Solveig Malatrait (eds.), *Die griechische Tragödie und ihre Aktualisierung in der Moderne. Zweites Bruno-Snell-Symposium der Universität Hamburg am Europa-Kolleg*, München, Saur: 2006, 67-100, here 72f.

⁴ Cf. Günter Dammann, Christian Felix Weiße. *Atreus und Thyest* (1766). Die Aktualisierung Senecas im Trauerspiel der deutschen Aufklärung, in: Gerhard Lohse, Solveig Malatrait (eds.), *Die griechische Tragödie und ihre Aktualisierung in der Moderne. Zweites Bruno-Snell-Symposium der Universität Hamburg am Europa-Kolleg*, München, Saur: 2006, 67-100, here 69f.

⁵ The text of the play can be found in: Christian Felix Weiße, *Atreus und Thyest. Ein Trauerspiel in fünf Aufzügen*. Aus dem Jahre 1766, in: Fritz Brüggemann (ed.), *Das Drama des Gegeneinander in den sechziger Jahren. Trauerspiele von Christian Felix Weiße*, Darmstadt 1964, 238-304. For another summary of the text, cf. also Jan-Oliver Decker, Weiße, Christian Felix (1726-1804), *Atreus und Thyest. Ein Trauerspiel in fünf Aufzügen*, in: Heide Hollmer, Albert Meier (eds.), *Dramenlexikon des achtzehnten Jahrhunderts*, München: Beck, 2001, 323-325; for a short anglophone account, cf. Robert R. Heitner, *German Tragedy in the Age of Enlightenment. A Study in the Development of Original Tragedies 1724 – 1768*, Berkeley: University of California Press, 1963, 271-278.

Christian Felix Weiße, in this tragedy distinguished by violent outbursts of furor, offers an array of different characters¹. In the times of Enlightenment, is not simply one-dimensional, but the author –deliberately– poses a problem concerning the era's fundamentally optimistic view of humanity. How is it, that man, who is supposed to be fundamentally good (albeit flawed), can manifest itself as pure evil? Basically, with *Atreus*, Weiße shows the frailty of the human condition, how nature and reason are constantly endangered by irrationality, which is at the bottom of the (unnatural) furor displayed. Thyest, on the other hand, may also be an evildoer from the paternal generation, but some of his crimes can at least be explained (this is done in some flashbacks in the play), and above all, he displays remorse. In this way, he can evoke pity, thus making him compatible with the main task of theatre according to Lessing. In contrast, young Aegisth, is an essentially naive and weak character, who almost lets himself get tricked into murdering Thyest. His actual slaying of Atreus, on the other hand, Aegisth perceives as a just punishment for that man. The most complex character, who is brought to the foreground of the myth only by Weiße, is the one of queen Pelopia, who is - in a distorted, incestuous manner blurring the boundaries between the generations – daughter, wife and mother in one person. Both of these – in this sense – younger figures are already determined by the sentimentalism which characterizes the later phase of the Enlightenment, beginning with Rousseau. And both of them are characters, who are essentially good from the outset, but are involved and induced due to circumstances to do evil deeds, both of them, as it were, losing their innocence².

Weiße uses this mythical plot from Greek antiquity, and its seemingly anachronistic and atavistic elements, endowed with characters who are all, to a varying degree, evil or at least scarred not in order to contradict Enlightenment, but rather to show its constant endangerment, to make, as it were, a constant appeal to his spectators to not let down their guards, to constantly make efforts in the 'enlightened' process of creating a better future for humanity. After all, we had pointed out before that Weiße always wrote literature with his audience in mind, always trying to reach some pedagogical effect in his readers. And, indeed, his plays reached a high degree of popularity during the decade between 1766 and 1776,³ only to be forgotten – unjustly – in later years.

Along with Dolce and Weiße, who composed a tragedy with the title *Tieste*, is Ugo Foscolo⁴. The drama was presented for first time in 1797, at Sant' Angelo Theatre in Venice. This tragedy is the first dramatic work of the author. It is indicative of his negative opinion of the tragedies of Crebillon and Voltaire, composed in 1707 and 1771⁵. Foscolo's text has a strong political character, because it promotes the poet's belief against tyranny. Atreus is the incarnation of the regime, but Foscolo doesn't follow the tradition of Seneca or Dolce's in his plot. First of all the hero is only 24 or 26 years old, much younger than the protagonist in Dolce's or Katsaitis' works. In Foscolo's tragedy there is also present the figure of Aërope, Atreus' wife, who has a baby child 4 years old with Tieste, and lives imprisoned in the palace of her husband. Tieste doesn't know anything about his son. Aërope decided to kill herself and the child, in order to save him from Atreus' tortures. Hippodamia, the mother in law, tries to save her and the kid, and promises to speak to the king. Tieste returns to save his love, meets his mother and asks her help also. Atreus gets his opportunity for revenge: he pretends that he forgives the couple, kills the baby, and offers his blood mixed with wine to the tragic father. At the end of the story, the queen dies from pain, and Tieste kills himself. Except the political message against tyranny, Foscolo connects Love with Death, and shows how the passion guides to the fatal end of life. In this drama is relevant the presence of a particular female figure, story of the Atrides House.

In conclusion, we will take a short look at the relation between the works and their audience within the different socio-cultural contexts which are relevant for our topic. During the times of Antiquity, theatrical production was strictly connected to the political situation. Through the tragedies or comedies, the tears and the laughter, the messages were traveling from

¹ As is often the case in dramatic works from the 1760s and 1770s, the generation of the fathers is one characterized by guilt. In this context, it is Atreus who embodies – in a way similar to Richard III. and other 'anti-heroes' of Weiße – absolute evil.

² This paragraph is based upon Günter Dammann, Christian Felix Weiße. *Atreus und Thyest* (1766). Die Aktualisierung Senecas im Trauerspiel der deutschen Aufklärung, in: Gerhard Lohse, Solveig Malatrait (eds.), *Die griechische Tragödie und ihre Aktualisierung in der Moderne. Zweites Bruno-Snell-Symposium der Universität Hamburg am Europa-Kolleg, München, Saur: 2006, 67-100, here 78-82.* For the role of the emotions in the play cf. Ulrich Port, *Pathosformeln. Die Tragödie und die Geschichte exaltierter Affekte (1755-1888)*, München: Fink, 2005, 122-134, as well as Georg-Michael Schulz, *Tugend, Gewalt und Tod. Das Trauerspiel der Aufklärung und die Dramaturgie des Pathetischen und des Erhabenen*, Tübingen, Niemeyer: 1988, 263-270.

³ Cf., for instance, Jakob Minor, Weiße, Christian Felix, in: *Allgemeine Deutsche Biographie Band 41*, Leipzig: Duncker & Humblot, 1896, 587-590, here 590.

⁴ Ugo Foscolo, *Poesie e Tragedie*, Vol. I, edizione diretta da Franco Gavazzeni, con la collaborazione di Maria Maddalena Lombardi e Franci Longon, Biblioteca della Pleiade, Einaudi- Gallimard, Torino 1994, p.p. 171-234.

⁵ Carla Doni, *Il Mito Greco nelle Tragedie di Ugo Foscolo*, Bulzoni Editore, Roma 1997, p.11

the stage to the audience and vice versa. With the end of the Golden Ages for the theater, the interest for the Greek and Latin tragedies gradually disappears for many centuries until the period of the Renaissance, when the Italian humanists reevaluated the Latin comedy according to Plautus and Terentius example. But the discovery of the great tragic poets of Greece was the most important motive for the cultural explosion in Italy of the 16th century. At the beginning, writers and audience approached the Greek theater as a high quality product of literature with the proper respect; however, they were limited only to read, study and discuss these texts at the palaces and courts when the high class was gathering together. A few years later, Italian authors started composing their own theatrical work steadily influenced by the classic style. Their first efforts were also subjects of study, but not for performance. The level of this particular production was not high because it was based either on translation or revision of the Greek tragedies and for that reason works of that kind were called "volgarizzamenti" (vernacularizations). Performances were taking place in the palaces only for the aristocracy because only they were educated enough and able to understand the language and the deeper meaning of the theatrical project case. Therefore, the motives of writing during those times in Italy were totally different from that of the Greek and Roman period. Also, the purpose of writing became different. Revisions and performances of ancient tragedy in Italy targeted not only to the simple imitation but to the representation of a whole world on the scene not very different from their current reality. Morphological, thematic, and scenic innovations of theater bridged the gap between facts of the scene and the real world. Writers were taking care to incorporate in their plots concerns about the social and political situation of that time and elements that satisfy the aesthetic expectations of the audience. One of the most important popular themes of Renaissance's tragedies is the sense of Kingdom and the ideal leader, a clearly political subject that derives from Machiavelli's theories. In these tragedies, Kings tended to ignore the rules of the right governance; they used to act with immorality and practiced Machiavelli's doctrines. An excellent example of the abovementioned behavior can be found in *Thiestes* of L. Dolce and also in the Greek version of P. Katsaitis that also refer to Machiavelli's political thoughts: for example the dialogue between Atreus and his Consultant (verses 321-341).

German Enlightenment theatre – and with it Weiße's version of the myth – emphasizes a didactic approach: the story of Thyest, even though taking place in antiquity, is of utter relevance for the contemporary – now predominantly bourgeois – audience in the 18th century. Similar to the domestic tragedies – also with a focus on family constellations – it focuses on the delicate balance of reason and sentiment, demonstrating the former's constant endangerment by an excess of pathos.

In Euripides' lost play "The Cretans" (Kretes)¹, a fragment based on the stories associated with Minos' family in Crete, one can read a tremendous sentence referring to the House of Atreus: "In the House of Atreus there is no trace left of Atreus anymore: The blood of Thyestes triumphed". In the myth of Atreus' family, it is Thyestes that holds the role of key character. Of course, Atreus is a central character; however, when the Mother of all Tragedies –the history of the Pelopides- will be rebuilt from fragments, episodes and texts, it will be the character of Thyestes and not of Atreus, who is the one to characterize these works in the centuries to come. Thyestes becomes the center of the storyline. More than 35 writers -- and certainly not only Katsaitis, Weiße, and Foscolo – inspired by both the myth and their respective socio-cultural realities, use Thyestes as a symbolic figure for confronting and denouncing the phenomenon of tyranny, be it on a political, a philosophical or an anthropological level.

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¹ Ευρυπίδη, «Κρήσσαι», απόσπ. 18, 2 in Γιώργος Σαμπατάκης, «Κρήσσαι», εκδ. Σμίλη, Αθήνα 2007, σελ. 27

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Public-Private Partnership in Building Sustainable Development of the Kuyavian-Pomeranian Voivodship

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Abstract

The main purpose of the article is to present both the implemented and conducted projects within the framework of public-private partnership. It discusses the influence of the activities undertaken by the local authorities on both the natural environment and the economic aspects of human life. Potential effects of project implementation within the public-private partnership in the Kuyavian-Pomeranian voivodship (province) on the development of the Voivodship are presented. Due to the difficult situation in the region, the citizens' expectations to conduct investments and limited possibilities of increasing income, implementing projects within public-private partnership seems to be a favourable solution.

Keywords: public-private partnership, sustainable development

Introduction

The main purpose of the article is to present both the implemented and conducted projects and project ideas within the framework of public-private partnership. The probable influence of the presented project ideas in the Kuyavian-Pomeranian Voivodship (province) on the sustainable development of the Voivodship is indicated. The main research methods are the descriptive method and case study including the analysis of the projects conducted within the Public-Private Partnership in Poland including the Kuyavian-Pomeranian Voivodship in particular.

The Concept of Sustainable Development

The concept of sustainable, self-sustaining development was used for the first time in a document of the World Nature Organization in 1980. Three years later, in 1983, the United Nations General Assembly established the World Commission on Environment and Development, called after its Chairwoman the Brundtland Commission. The Commission was supposed to analyse the main tendencies resulting from economic development and the shrinking of natural resources. "Our Common Future", the Report of the Commission approved in 1987, advocated the need for such economic development that would be consistent with the principles of the management of natural environment. Emphasis was shifted from the protection of natural resources to satisfying basic needs of societies, poverty eradication and promoting civilizational development, leaving to future generations the possibility of choosing their way of development (Stawicka-Wałkowska, 2001, p. 6).

Sustainable development means "a balance in ecosystems (ecological balance) and an equilibrium between economic, ecological and social aspects of economic development, that is, in other words, it guarantees political, economic, spatial and social governance, while the needs of future generations are also considered. Therefore, sustainable development should eradicate poverty and guarantee intra- and intergenerational social justice" (Górka, 2010, p. 11). "Sustainable development constitutes a long-term objective of socio-economic development of the European Union" (Górka 2010, p. 15). Taking care of the natural environment, which is manifested in among others respecting natural resources, is also an element of sustainable development (Łapińska, Huterska, Łapiński, 2017, p. 99). Territorial expansion, so typical for the functioning of contemporary cities, which leads to exploiting nature's resources on the area of expansion (Huterska, Hutski, 2014, p. 135), should also take into consideration the assumptions of sustainable development. It can concern for instance revitalisation of decaying buildings and green areas in cities.

The role of local communities in implementing the rules of sustainable development was indicated in the Action Programme - Agenda 21 adopted during the United Nations Conference on Environment and Development held in Rio de Janeiro from 3rd to 14th June 1992 (Górka, 2010, p. 21). The document includes among others social and economic issues such as poverty eradication, protection and promotion of human health, promoting permanent and sustainable development of human settlements, protection and management of natural resources in order to guarantee permanent and sustainable development, also complex planning and management of the Earth's natural resources, strengthening the role of nongovernmental organisations – partners in activities promoting permanent and sustainable development, strengthening the role of business and industry towards the achievement of permanent and sustainable development (Agenda 21).

The features of permanent and sustainable development include (Stawicka-Wałkowska, 2001, pp. 7-8):

sustainability, which means the necessity to maintain the correct proportion of the balance of human development needs with the need to protect the environment and its resources,

permanence, which concerns the changes of natural environment, which needs to be revalued, protected and shaped rationally,

self-sustainability of development (in terms of maintaining reserves and creating new incentives for further development), achieved through respecting natural resources.

The natural environment and spatial planning, including the type of building, infrastructure, socio-cultural structure connected with economic and political conditions, has a considerable impact on the quality of human life (Stawicka-Wałkowska, 2001, p. 8).

During Habitat II, the United Nations Conference on Human Settlements, which took place in Istanbul in June 1996, the necessity to connect human issues such as guaranteeing decent living, working and resting conditions and economic governance with ecological governance was indicated, which would enable living in safe and healthy environment, in harmony with nature, being held responsible for its self-regeneration and development, avoiding degradation of the natural environment (Stawicka-Wałkowska, 2001, p. 9).

The Resolution of the Sejm (the lower house of parliament) of the Republic of Poland of 2nd March 1991 obligated the government to submit Strategy for Sustainable Development of Poland by 30th June 1999. It was supposed to specify the directions of the country's development until 2015. According to the Resolution, sustainable development was understood as such a model of development in which satisfying current social needs and the needs of future generations would be considered equal. The strategy was to harmoniously combine efforts to preserve the nation's natural and cultural heritage with progress in civilisation and economy enjoyed by all social groups (Strategia zrównoważonego rozwoju, 1999, p. 2).

Local governments received basic tools for implementing sustainable development strategy, that was creating development strategy, spatial planning, issuing location decisions and permits for using natural resources and introducing changes in it (Strategy for Sustainable Development of Poland, 1999, p. 22). The Strategy was in force until 2007, when a resolution of the Council of Ministers of 23rd October 2007 made it inapplicable (Ministerstwo Rozwoju Regionalnego, 2007, p. 78).

Human construction activities involve significant degradation of the natural environment (Stawicka-Wałkowska, 2001, p. 23). It results from the necessity to consume the resources concerning among others using areas for construction purposes or direct consumption of resources.

Modernisation and rehabilitation of buildings has also become an element of sustainable management of built-up areas (Stawicka-Wałkowska, 2001, p. 56). Through using already existing, often devastated buildings, it enables the limitation of further human expansion on new areas and it prevents creating degraded areas in cities.

Public-Private Partnership

Civilizational progress "expands the scope of public activities and the responsibility of the State for the socio-economic development, which the functioning of technical and social infrastructure and public entities do not keep pace with" (Perkowski, 2004, p. 97; Górka, 2010, p. 24). Attention is drawn to the fact that the private sector has infrastructural and financial effectiveness adequate to the implementation of such tasks (Perkowski, 2004, p. 97).

Cooperation of a public body, for instance of a municipality, with a private partner aims at enabling efficient execution of tasks conferred to a public entity (Perkowski, 2004, p. 97). It seeks to execute a specific business task, whereby nowadays

public-private partnership is not limited to the traditional central government, a local government and the private sector. Nowadays partnership concerns also social, educational and health groups, many of which have been financed with both public and private funds (Geddes, 2016, p. 1).

The rules governing the cooperation between a public entity and a private partner within public-private partnership are specified by the Act of 19th December 2008 on public-private partnership, Journal of Laws of 2015, item 696 as amended. Within the frames of public-private partnership, a public entity and a private partner jointly execute a specific project sharing tasks and risks (Art. 1 Point 2).

According to the aforementioned Act, the public entity is (Art. 2 Point 1 of the Act of 19th December 2008 on public-private partnership, Journal of Laws of 2015, item 696 as amended):

- a unit of the public finance sector as specified in the provisions on the public finance,
- a legal person established in order to satisfy the needs common in nature, neither industrial, nor commercial ones,
- if the abovementioned entities, individually or jointly, directly or indirectly through another entity:
 - finance it in over 50% or
 - own more than a half of shares or stocks, or
 - supervise the managing body, or
 - are entitled to appoint more than a half of the composition of the supervisory or managing body,
 - and unions of those entities.
- The Act specifies the private partner as an entrepreneur or a foreign entrepreneur.
- The following projects can be implemented within the framework of public-private partnership:
 - construction or renovation of a building,
 - providing services,
 - performing a work, in particular providing an asset with equipment, which increases its value or usefulness, or
 - other service – combined with the maintenance or management of an asset that is used for the implementation of a public-private project or is connected with it (the Act on public-private partnership, Art. 1 Point 4).

The benefits resulting from the implementation of specific projects within the framework of public-private partnership include among others sharing risks, lowering the costs and value of services, increasing the quality of services, improving the condition of infrastructure, beneficial budgetary consequences, strengthening the stimulating function of the public finance, and improving administration standards. However, apart from the benefits of project implementation within public-private partnership, threats can appear, such as “weakening or loss of public control over a project, uncontrolled increase of prices, unreliability of a private partner, unavailability of competition, lowering the quality of services, disturbances of smoothness of services, disturbances and conflicts on the local labour market, long-term contractual burden, identification difficulties in responsibility for execution of public tasks, the risk of political misunderstandings, sensitivity of services concerned (e.g. water or electricity supply), allegations of corruption, limiting the development potential to the agreed framework only” (Perkowski, 2004, p. 98).

Projects Implemented within the Framework of Public-Private Partnership

Projects implemented by a public entity in cooperation with a private partner can enable satisfying the needs of a society, poverty eradication, and the improvement of the comfort of citizens' life, even when the investment possibilities of the local government unit are limited.

As far as the unemployment rate is concerned, the situation of the Kuyavian-Pomeranian Voivodship does not look that good. The unemployment rate in Poland at the end of 2017 amounted to 8.6%, but 12.5% in the Kuyavian-Pomeranian Voivodship, including 8.4% in Bydgoszcz County, 5% in Bydgoszcz, 14.7% in Toruń County, 6.3% in Toruń, 17.2% in Grudziądz County, 22.6% in Włocławek County, 21.69% in Lipno County, and 16.9% in Wąbrzeźno County (Wojewódzki Urząd Pracy).

In accordance with the budgets adopted in the two biggest cities of the Kuyavian-Pomeranian Voivodship, in 2017 in the city of Toruń the deficit of PLN 101,500,000 is predicted with planned income of PLN 1,083,200,000, in the city of Bydgoszcz the predicted deficit amounts to PLN 176,864,925 with planned income of PLN 1,875,162,071 for the year 2017 (Uchwała nr 490/16 RMT, Uchwała nr XXXVIII/740/16). Both Toruń and Bydgoszcz obtained a favourable opinion of the Regional

Chamber of Audit considering the possibilities of financing the planned deficits presented in the budget resolution of the City of Bydgoszcz and the City of Toruń for the year 2017 (Uchwała nr 11/D/2017, Uchwała nr 1/D/2017). However, in the opinion concerning Bydgoszcz, it was emphasised that long-term liabilities for financing deficit planned for the year 2017 would influence the city's situation in the years to come (Resolution No. 11/D/2017). Both in Toruń and in Bydgoszcz numerous considerable investments chargeable to the budgets of the cities have been completed. Among them investments connected with public roads in cities with County rights can be found, and they include the construction of a road bridge in Toruń with access roads, the construction of Trasa Średnicowa Północna (Cross-city North Route), the construction of Trasa Staromostowa (Old Bridge Route) from Plac Armii Krajowej (Armia Krajowa Square) to Plac Niepodległości (Independence Square), or the construction of a bridge in Bydgoszcz. The budget of the City of Toruń includes investment expenditure for the purpose of considerable investments such as revitalisation of the urban park in Toruń, revitalisation of Bulwar Filadelfijski (Philadelphia Boulevard) with the Vistula waterfront from the road bridge to the AZS marina, creating Innovation Centre, International Meeting Centre, Toruń Technology Incubator, or the development of the Jordanki area for the cultural and congress purposes. The investments support the development of the city and influence the comfort of the citizens' life. Due to the difficult situation in the region, the citizens' expectations to conduct investments and limited possibilities of increasing income, implementing projects within public-private partnership seems to be a favourable solution.

Until the end of 2016, 122 contracts within public-private partnership were concluded and 142 investment plans were submitted in Poland. Table 1 presents projects in individual voivodships.

Table 1. Projects within public-private partnership

| Voivodship | Number of concluded contracts as on 31 st December 2016 | Number of investment plans as on 28 th April 2017 |
|---------------------|--------------------------------------------------------------------|--------------------------------------------------------------|
| Lower Silesian | 11 | 11 |
| Kuyavian-Pomeranian | 3 | 3 |
| Lublin | 2 | 0 |
| Lubusz | 4 | 2 |
| Łódź | 1 | 0 |
| Lesser Poland | 5 | 12 |
| Masovian | 23 | 3 |
| Opole | 3 | 9 |
| Subcarpathian | 3 | 0 |
| Podlaskie | 1 | 0 |
| Pomeranian | 12 | 8 |
| Silesian | 19 | 14 |
| Świętokrzyskie | 3 | 15 |
| Warmian-Masurian | 8 | 8 |
| Greater Poland | 10 | 3 |
| West Pomeranian | 5 | 10 |
| In total | 122 | 142 |

Source: Own study based on Baza zawartych umów PPP oraz Baza zamierzeń inwestycyjnych PPP, Platforma Partnerstwa Publiczno-Prywatnego,

http://www.ppp.gov.pl/baza/Strony/baza_projektow_ppp.aspx/project_base/35#project-list [Accessed on 05.08.2017].

So far contracts for three projects have been concluded within public-private partnership in the Kuyavian-Pomeranian Voivodship. Three more investment plans have been submitted. The first of the concluded contracts considered selecting a Private Partner for the implementation of a project of building a municipal waste recovery plant in the Municipality of Żnin, the second one considered choosing an operator managing Toruń Technology Incubator. The third project consisted in selecting an operator managing the International Youth Meeting Centre in Toruń.

The negotiated contracts belong to the sector of transport infrastructure and health care. They concern construction, reconstruction and maintenance of voivodship roads in Włocławek area, construction of an expressway from Toruń to Bydgoszcz and design, construction and turn-key furnishing of a retirement home in the Municipality of Gostycyn.

Summary

Implementing projects within the framework of public-private partnership in the Kuyavian-Pomeranian Voivodship allows public entities, despite their limited financial possibilities, to perform their tasks such as improving the road infrastructure, environmentally friendly management of municipal solid waste, or supporting the creation and development of innovative ICT companies. It is also important for sustainable development of the City of Toruń to create conditions for the development of information society in the region in the revitalised building of Młyny Toruńskie (Toruń Windmills). The adaptation of the existing in the city centre zone buildings, easily accessible, will enable limitation of human expansion on new area; it will prevent marginalisation and slowing down of the central zone; it will also allow limited use of building materials needed for constructing new buildings as well as using already existing infrastructure in connection with among others infrastructure facilities.

In the ageing Polish society, it seems crucial to support such initiatives as creating within Public-Private Partnership a Senior Residence offering a cultural and educational function (art workshops, university of the third age), staff housing, guest rooms and a touristic and recreational building (a swimming pool, a spa, a hotel, a bowling alley, a restaurant) with necessary technical, touristic infrastructure and land use. Implementation of such projects will certainly improve the life conditions of not only elderly citizens of the region.

Due to the difficult situation in the region, the citizens' expectations to conduct investments and limited possibilities of increasing income, implementing projects within public-private partnership seems to be a favourable solution.

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The Value Orientations Of The Adolescents: Differences And Similarities

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Abstract

The values, i.e. the value orientations are significant elements of a person's constitution. They mainly depend on the context, i.e. the culture to which the individual belongs. Hence, the factors, such as the family surrounding (the degree of education of the parents and their style of upbringing children), the national and religious background, and other demographic characteristics have a significant role in their formation. Having these influences adequately, the goal of this research is to examine the value preferences of the youth from different cultural origins.

Keywords: Value orientations, hierarchy of values, life styles, educational family atmosphere, cultural context.

Introduction

The human values are one of the many concepts in modern psychology. The values of the individual are important and almost inseparable from the personal characteristics, such as the traits. According to Allport (1961), the orientations towards values are levels which reveal the human traits.

Without doubt the values depend on the context, experience, and the culture to which we belong to. Hence, the nurture and forming of the values is explained by taking into account the cultural factors: racial and ethnic belonging, family influence, the mass – media, the parenting style of education, films etc. Adequately to these influences, the expectations for the changes of the value priorities (preferences) along time are logical. According to this logic, in the post – socialist countries, the newly formed changes of the transition imply forming of different values and life orientations of the people as frames of behaviour in a democratic society. But, is this so simple having in mind that people do not react the same to the external influences due to their social and cultural differences? In this context, we need to mention that the needs or the innate temperaments are an important source of the basic value orientations (Rokeach, 1973).

Along with these personal traits, the factors such as education, age, gender and profession have an important influence on their value priorities (Inglehart, 1997; Schwartz & Bardi, 1997). Usually, the individuals have the same experiences (traumas, relations with the parents, immigrations), which largely determine the evaluation of the people regarding the importance of the values (Feather, 1995).

Hence, we can say that the type of the preferred values of people depicts the different personal and social influences on them. We assume that if the life experience is different in terms of the culture to which the young people belong to, they will consequently prefer different values.

Analogously to the previously stated, we chose to scrutinize this delicate question in young people which differ according to gender, education of their parents and cultural origin.

1. Method of research

Adequately to the fact that the research is not conceptualized in a sense of determination of the causal relation of the variables, a non – experimental approach was used as a method of the research.

1.1 Subjects and procedure of collecting of data

The sample of the research consists of students (a total of 117), aged 17 to 18, from high schools in two cities in the west part of Macedonia (Tetovo and Gostivar), as typical representatives of communities with mixed ethnic composition of the population.

1.2 Instrument

In the research, a scale for determination of the value orientation of Likert type was used. It consists of ten lifestyles, and each of them is operational as a kind of short description of a lifestyle, which is very similar to Morris's study of "the lifestyles" (Morris, 1956).

1.3 Processing the data of the research

The processing and analysis of the empiric data are done with the use of procedures of descriptive statistics (Arithmetic middle, standard deviation) and analysis of the variability compared to the results subjected to the Kruskal Wallis's test.

2. Results

2.1 A Degree of preference of the lifestyles of the respondents at the level of the overall sample.

The results given in Table 1. indicate different degrees of preferences of lifestyles by the respondents. They were supposed to make a choice on a scale from 1 to 6, from "I do not prefer it at all" to "I prefer it the most", regarding the 10 offered lifestyles.

By looking at the scores for the degree of preferences, we get an idea for the highest and lowest ranking lifestyles. It is evident that the following lifestyles are with the highest ranking: religious (M = 4.76); family orientation (M = 4.67), altruism (M = 4.53), utilitarianism (M = 4.43) and the cognitive style (M = 4.22). They are followed by promethean (M = 3.99), egoistic style (M = 3.98); hedonistic (M = 3.91); popular (M = 3.26) and at the bottom of the rank list is the power style (M = 2.94).

Table 1. Ranking of the lifestyles according to the degree of preference of the overall sample.

| Lifestyles | M | SD | R |
|--------------------|------|-------|----|
| family orientation | 4.67 | 1.130 | 2 |
| utilitarianism | 4.43 | 1.147 | 4 |
| popular | 3.26 | 1.609 | 9 |
| promethean | 3.99 | 1.079 | 6 |
| power | 2.94 | 1.487 | 10 |
| altruism | 4.53 | 1.111 | 3 |
| cognitive | 4.22 | 1.267 | 5 |
| egoistic | 3.98 | 1.390 | 7 |
| hedonistic | 3.91 | 1.286 | 8 |
| religious | 4.76 | 1.179 | 1 |

The obvious popularity of the religious and family style point out the influence of the changes of the transition. Currently, the young people give importance to the religious style (*Rank*, 1), which was not characteristic three decades ago – in the communistic period. The popularity of the family style depicts the traditional cultural living of the people. Otherwise, in conditions of general crisis and uncertainty, it is almost a normal phenomenon for the young people to find assurance in religion and the family core (*Rank*, 2). Even in times like these, their important orientation is the altruism (*Rank*, 3), which implies the cognition of their firmly determined pro-social orientation.

The fact that they give high ranking to the utilitarian (*Rank*, 4) and cognitive (*Rank*, 5) lifestyles demonstrates their rational orientation in life. Simply, they do not want to be in the role of observers of what is going on in their surrounding, but they want to be creators of the present and future. Similarly, *Inglehart and Baker* (2000) found that the orientations changed from traditional to laic – rational values in almost all industrialized societies. *Inglehart* (1997) emphasizes that if young people face existential uncertainty, they will value the materialistic values more. In this study, the clear determination for pro-social, utilitarian and cognitive lifestyle signals beginning of a new (pragmatic) mentality of the young people as a reflection of the global trends throughout the world.

2.2 The gender of the respondents and their preference of a lifestyle

We expected that the factor gender will distinguish the respondents in the preference of lifestyles. Namely, the styles as religious – traditional, family lifestyle and altruistic lifestyle would be most desirable for girls. However, the results of the *Kruskall – Walli*'s test refuted this assumption, by not showing significant differences between genders for any value orientation (Table 2.). We consider that this is a consequence of the exposure to identical social circumstances of the young people, at the expense of relativisation of the gender differences.

Table 2. Lifestyles of the respondents of male and female gender

| | Fam. | Uti. | Pop. | Pro. | Pow |
|-------------|------|------|------|------|-------|
| Chi-Square | .898 | .583 | .626 | .237 | 2.611 |
| df | 1 | 1 | 1 | 1 | 1 |
| Asymp. Sig. | .343 | .445 | .429 | .627 | .106 |
| | Alt. | Kog. | Ego. | Hed. | Rel. |
| Chi-Square | .478 | 1.02 | .676 | .203 | .918 |
| df | 1 | 1 | 1 | 1 | 1 |
| Asymp. Sig. | .490 | .312 | .411 | .652 | .388 |

2.3 The preference of lifestyles and the education of the parents

We believe that the educational climate in the family, the education of the father and mother, will reflect greatly on the preferred value orientations of their children. In our case, the education of the father did not turn out to be a relevant predicate of the value orientation of the young people. However, the analysis of the results according to the education of the mother provided statistically significant differences (ANOVA) regarding the utilitarian (in favour of the respondents whose mothers have completed elementary and high school education) and popular lifestyles, for which an important F relation at the level of significance of 0.01 and 0.05 has been established (Table 3.). The respondents whose mothers have university education give higher ranking to the popular lifestyle than their peers whose mothers have completed elementary education. This tendency supports the assumption that the mothers with university education have a high degree of ambitions for their children.

Table 3. ANOVA for the education of the mother and the value preferences

| Variables | Source variance | Sum of Squares | Df | Mean Square | F | Sig. |
|-----------|-----------------|----------------|-----|-------------|-------|------|
| Util. | Between Groups | 19.329 | 2 | 9.664 | 8.265 | .000 |
| | Within Groups | 133.304 | 114 | 1.169 | | |
| | Total | 152.632 | 116 | | | |
| Pop. | Between Groups | 17.018 | 2 | 8.509 | 3.424 | .036 |
| | Within Groups | 283.290 | 114 | 2.485 | | |
| | Total | 300.308 | 116 | | | |

2.4 Value orientations of the respondents of different ethnic origin

It is an assumption that the experience in different cultural groups, such as the ethnic ones, makes people have different orientations in life. Maybe these differences are not so stressed as much as we perceive them, however it is a fact that they often function in the form of stereotypes and prejudices for other groups. The ethnic belonging reflects history, tradition and the shared experience of an ethnicity. In this way they develop their own ways of thinking and perception of the reality, and with these attitudes, as well as values according to which they differ from the members of other ethnic groups. In the research, we started from the assumption that the ethnic diversity of the young people also produces diversity in the value orientations.

The analysis of the results with the use of the ANOVA – technique confirms the expectation according to which the young people from different ethnic groups are guided by different basic values. In this research, for almost all lifestyles, significant statistical differences among the young Albanians, Macedonians and Turkish people have been determined (Table 4.).

Table 4. ANOVA about the value preferences and the ethnic belonging of the respondents

| | Fam. | Uti. | Pop. | Pro. | Pow |
|------|--------|--------|-------|-------|--------|
| F | 10.613 | 5.372 | 6.543 | .798 | 7.102 |
| Sig. | .000 | .006 | .002 | .453 | .001 |
| | Alt. | Kog. | Ego. | Hed. | Rel. |
| F | 8.611 | 12.692 | 3.969 | 5.885 | 40.015 |
| Sig. | .000 | .000 | .022 | .004 | .000 |

With the goal to determine the validity of these indicators, since the ANOVA goes only in one direction and is more adequate for results of experimental circumstances, all the scores were subjected to non-parametric technique of analysis, i.e. the Kruskal – Wallis's test (Table 5.).

Table 5. The value preferences and the ethnic belonging of the respondents

| | Fam. | Uti. | Pop. | Pro. | Pow |
|-------------|--------|--------|--------|-------|--------|
| Chi-Square | 17.545 | 8.400 | 13.098 | 1.293 | 13.561 |
| df | 2 | 2 | 2 | 2 | 2 |
| Asymp. Sig. | .000 | .015 | .001 | .524 | .001 |
| | Alt. | Kog. | Ego. | Hed. | Rel. |
| Chi-Square | 21.938 | 21.779 | 7.648 | 8.241 | 57.151 |
| df | 2 | 2 | 2 | 2 | 2 |
| Asymp. Sig. | .000 | .000 | .022 | .016 | .000 |

The indicators were almost the same in the application of the Kruskal – Wallis's technique for analysis of the ones acquired through the ANOVA. Regarding the family style, the difference between the Albanians and the other two ethnic groups of respondents is significant. This difference is more obvious when the Albanian group of respondents is compared to the Macedonian one. Perhaps, giving greater importance to the family style is more emphasized in young people, who are more dependent, primarily economically, on the support of the parents. For the utilitarian style, this difference goes in favour of the young people from Macedonian ethnicity. Regarding the style of popularity, the Albanians and Macedonians differ from the Turkish respondents, in whom a significantly lower value has been noticed regarding this style.

Regarding the Promethean style, there are no significant differences among the respondents. Most probably, the tendency for immediate participation in the life situations (as a mark of the promethean orientation), gives more a reflection of the general situation in the society, in which everyone lives together, rather than it being related to the cultural agents. Regarding the style of power, the Macedonians give significantly higher rank, unlike the young Albanians and the Turkish people. As far as the altruistic style is concerned, the Albanians are more different than the Macedonians. We consider that this is due to the collective orientation directed by the tradition. The results regarding the cognitive style are almost identical, the difference being that the young Albanians and Macedonians are more prominent than the young Turkish people. As far as the hedonistic style is concerned, the young people of Macedonian ethnicity are most prominent. Hedonism is a mark of the adolescence when a main agent of the behaviour is the enjoyment in life, and this requires material means.

In the religious style, the young Albanians and Turkish people differ from the Macedonians, namely they have given a very high rank to this lifestyle. As a matter of fact, the Islam religion traditionally is shared by most of the Albanians and Turkish people, and because of this they show a similar degree of preference. Similarly, some analysed values indicated that the collectivism is a modern value of guidance in the Turkish culture as well (Hofstede, 1991; Schwartz, 1992). It is obvious that they are transferred from the parents to their children (Albert, I. & Trommsdorff, G., 2003). The data from another research (Frichand, 2007), in which a lower rank of the religious and family style by the young Macedonians is determined, are interesting.

In this research, we have no pretension to explain the differences in the value priorities in detail on the account of the ethnic belonging. We consider the introduction to the value determinations of the young Albanians, Turkish people and Macedonians as a tool for improvement of their collaboration, i.e. an opportunity for promotion of the intercultural dialogue and cohabitation, which is very important for a multiethnic society which pretends for a membership in the European Union.

3. Conclusions and recommendations

3.1 Conclusions

With the conveyed research on a random sample of high school students, we aimed to determine how relevant are the factors such as gender, education of the parents and the ethnic belonging, for their value preferences. The research indicated that: a) The gender of the respondents is not statistically important for their value priorities; b) The education of the parents also does not influence considerably the value orientations, which the respondents will determine, with the partial connection of the education of the mothers with two value orientations, and c) The ethnic belonging of the respondents renders significant differences in the degree of their preference of the offered lifestyles.

3.2 Recommendations

This paper was not conceptualized for detailed analysis of the issue regarding the value orientations of the young people of different ethnic origin, but to give an answer to the general question whether the differences among the different ethnicities exist, which was actually proven, i.e. they are real. However, the challenge is for the society to manage these differences, especially when dealing with the young people. There are different alternatives: The differences to be treated as a source and as a means to strengthen the separated worlds of the young people, or to work on the promotion of respect of the ethnic diversity and with this to build a multicultural reality in the society. We believe that in our country, the second alternative corresponds to the aspirations for membership in NATO and the European Union.

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The Journey to the Centre of Uncertainty: Narrative Styles in Nabokov's *Pnin*

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Abstract

Such a devoted lepidopterist was Vladimir Nabokov that he transferred his passion onto his narrative principles as well, changing the literary devices in his works the same way a butterfly flies from one flower to another. This is especially evident in *Pnin*, a novel comprised of a number of vignettes and viewpoints. According to Paunović¹, those styles include the omniscient narrator, the first person narrator and the third kind of a narrator – the one who is neither the protagonist nor the author. He also claims that the shifting perspective is deliberate and that it aims to show that the reality is not such a sure and undeniable category – *Pnin* has his own version of it, as well as the narrator, and it is up to the reader to choose the one he likes best, or even better, to create his own.

Keywords: Nabokov, *Pnin*, narration, narrative styles, lepidopterist

Introduction

Anyone who took it upon themselves to portray Nabokov's life and art in mere words would soon realise what a daunting, Herculean task that was. A person living in five countries for four approximately twenty-year-long periods², fluently speaking three languages while simultaneously being a citizen of two countries, does, indeed, elude every classification. Nabokov himself, did not, however, dwell on his nationality that much, believing that "the writer's art is his real passport" and he thought of himself as "An American writer who had once been a Russian one" (as in Cohen, 1983, p. 57). When it comes to Nabokov, however, at least one thing is absolutely certain – butterflies. In his collection of essays *Stalking Nabokov* (2011) Boyd claimed that Nabokov "made butterflies his lifelong personal mark" (p. 74) and that he invited readers to discover things for themselves. It was a source of "a love of both detail and design and (...) intricate, concealed patterns" (p. 87) so it is right to notice that butterflies heavily influenced not only his life but also his art. Nabokov changed the literary devices in his novels in the same way a butterfly flies from one flower to another. In this way he adheres to his own principle that "a major writer combines these three: storyteller, a teacher and an enchanter

(as in Boyd in Conolly, 2005, p. 31). According to the same author, Nabokov respects individual experiences as primary and his stories are unique in their focus on one character while he "uses detail with a naturalist's, a painter's and a poet's eye" (p. 33). Nabokov's passionate love for butterflies was not a surprise since he came from a well-to-do, scientific family; it is a fact which just goes to show that inspiration can be found even in the most unexpected of places.

Labelling *Pnin*-The Question of Genre

Nabokov's fourth English novel *Pnin* came out in *The New Yorker* between November 1953 and November 1955 and almost got rejected because it was "not really congealing into a novel" (Barabtarlo in Alexandrov, 1995, p. 600). Critics seemed to have different opinions about its genre so Rampton (2012) saw it as a comic novel, a humorous account of campus politics and cultural clashes of post-war America, a walking commentary on the twentieth century history and its events. Cohen (1983), on the other hand, viewed it as "the experience of exile from the land of birth and alienation from the country of adoption" (p. 57). Similarly, Toker (1989) concluded it was "the debt that Nabokov pays to Russian emigration" (p. 21). Lastly, Garret-Goodyear (1986) said that in *Pnin*, Nabokov explored the problem of "the overly arrogant artist, too infatuated with the magic of his art to be fully responsive to life" (p. 196) and it proved that "all fiction is elegant

¹ All quotations from Prof. Paunović's book and other references to it have been self-translated from Serbian into English with the author's permission. Prof. Paunović is a Full Professor of English Literature at the Faculty of Philology, University of Belgrade and the Faculty of Philosophy, University of Novi Sad. Prof. Paunović defended his PhD Thesis on Nabokov in 1995.

² Critics usually divide Nabokov's life into four different periods based on the countries he lived in: the Russian years, the European years (Germany and France), the American years and European years (Switzerland).

deception" (p. 195). Maxim D Shrayner¹ also suggested that the novel dealt with one sensitive topic – the Holocaust. "Nabokov was one of the very first American writers to write extensively about the Shoah² in a work of fiction. (...) it is astounding how far ahead of his literary contemporaries Nabokov was in his thinking about the Shoah and how it might be remembered and memorialised". The harrowing experience of the Shoah is embodied in Mira Belockin's death – the death of an innocent, angel-like creature who used to be Pnin's love interest before his wife Liza's appearance obliterated all other women from his life. It is thus wrong to assume that Pnin is a mere comic novel, in the same way it is wrong to judge *Lolita* as a pornographic/paedophilic novel since it also represents an in-depth study of the American culture and all its characteristics, such as obsessive-compulsive shopping habits, hoarding, the roles of malls in the modern society, its discordance with the European values and the analysis of the nation's culinary habits. Though *Pnin* is not autobiographical, it offers some striking similarities between the protagonist and his creator that might make us follow that train of thought, so Cohen (1983) mentions their age, familial background, mutual exodus and degrees from European universities. A few others can also be noticed, such as the fact that both Nabokov and Pnin came to their respective foreign countries by ship – Nabokov to England at the time he began his studies of ichthyology at the University of Cambridge and Pnin to America, to teach at Weindell. Even some of Pnin's health concerns were similar to Nabokov's, given the fact that the latter got the idea for his best-known novel, *Lolita* as he suffered from intercostal neuralgia, during which he would be completely bed-ridden while Pnin learnt the principles of car-wheeling from a manual while he was experiencing back pain.³ The episode of his embarking on a ship is one he pays special attention to when retelling it to his students, given the fact that he had to spend two whole weeks at Elis island, one of the most famous immigrant inspection stations due to his love for discussion and the extremities of his curiosity – because he took the customs clerk's questions too much to heart, as when, asked whether he was a supporter of anarchism, Pnin requested a more precise definition of the term. When he spoke about the past, Pnin would soon become so engulfed with his memories that "pear-shaped tears trickled down his tanned cheeks" (Nabokov, 1989, p. 12). Barabtarlo (in Clancey, 1984) suggested that the spontaneity and richness of his character were compared with the sterility of the German Department and the College in general. When it comes to its topics Boyd (1991) saw things on a much more general level, however, claiming that Pnin summed up all human mishaps and misfortunes. The most important features of this novel, according to Barabtarlo (in Alexandrov, 1995) include a vast number of characters, continuous flashbacks, the management of time and the fact that this is his only novel in which no one dies on stage. In terms of its structure, Toker (1989) rightly noticed that it resembled Nabokov's short story from 1935 called *Recruiting*.

Pnin is not a sole example of Nabokov rewriting, expanding or translating his previous works. *Laughter in the dark*, for example, deals with the same topic as *Lolita*, though in a somewhat milder way. The heroine of that novel, Margot Peters is also a minor but the portrayals of the two differ significantly. Margot is much more assertive and she slyly uses her middle-aged partner Albinus' handicap, blindness acquired after a car accident, to provide herself and her lover, Alex Rex with a life of luxury by forging his signature. The depths of *Lolita*'s suffering because of her relationship with Humbert Humbert are clearly visible when he visits her, a now pregnant Mrs. Schiller two years later. It is those circumstances that could make the reader feel compassion towards her. Margot, on the other hand, deserves no such treatment, given the fact that she mocked Albinus and left him almost destitute, without being punished for her evil deeds, since it is Albinus, not Margot who dies in the end.

The Narrator

The figure of the narrator indeed is "the most elusive in the novel" (Barabtarlo in Alexandrov, 1995, p. 604) and though Pnin has not, in comparison with other Nabokov's novels, been looked into so much by the critics, when it does get mentioned, however, this matter certainly is the central one and it represents one of the biggest riddles in the history of literary criticism. Paunović (1997) agreed with Hyde that this novel followed the pattern from Russian folklore, the form called *skaz*. As Paunović explained further, this form was chiefly explored by the Russian formalist school during the 1920s and the term itself is similar to the word *skaska* which denotes a folk tale whose essence lies in its ability to change and the fact that the relationship between the narrator and his audience is not fixed. The same author claims that this constant redefining makes

¹ The websites used in this paper are given in the Reference List

² Shoah is a Jewish word for the Holocaust.

³ As Boyd suggested in his *American Years* (1991), during one of his personal numerous hospital stays Nabokov thought out in detail an additional chapter he could insert between chapters 4 and 5 of *Pnin*: "Pnin recovering in the hospital from a sprained back teaches himself to drive a car in bed by studying a 1935 manual of automobilism found in the hospital library and manipulating the levers of his cot. . ." (191) It seems he abandoned the idea, but in the novel, Pnin indeed partly learnt to drive from a car manual.

the reader/the listener a necessary and active participant in the creation and the deciphering of the story. The trouble with *skaz*, however, says Paunović is that, when *skaz* is turned into a written form, it gives the impression of distinct spontaneity and, consequently, occasional erraticism and imbalance between the important and the less important parts of the story.

The opening scene of the novel shows our 52-year-old protagonist, the owner of a somewhat disproportioned body and mismatched clothes, who thought it was inappropriate to appear in front of the ladies without a tie, as equally embarrassing as to show them his long underwear commonly worn in those days, sitting in an almost empty coach, unaware of the fact that he is travelling on the wrong train. This mistake was a consequence of the fact that his timetable, which he "took especial pride in puzzling out" (Nabokov, 1989:10) was five years old. We learn that he is travelling to Cremona to give a lecture to the Women's Club. In his book, *Nabokov: The American Years* (1991), Boyd noted that Nabokov also spoke at women's clubs in order to augment his income, and that in March 1997 in Boston he spoke about a wrong topic, because he failed to jot down the title of the chosen one due to an illness. The wrong train was "the metaphor of Pnin's position in the world he found himself in" (Paunović, 1997, pp. 165-166) and according to the same author, the novel started in a way completely atypical for Nabokov, the conventional third-person narration, from the viewpoint of an omniscient narrator who "sees and knows everything" (p. 164). Things, however, are not so simple, as the same author elaborates, given the fact that a "third man" will soon appear, one who is neither the author nor the protagonist, though connected to both of them. What links him to the author is the fact that he "abolishes" the category of omniscience. His relationship with the protagonist, according to Paunović is based on the fact that, as *skaska* demands it, this "third man" also takes part in the events of the novel.

Another essential information we are told almost immediately is that one of Pnin's key features is his extremely bad command of the English language and that, though he "stubbornly sat down to the task of learning the language of Fenimore Cooper, Edgar Poe, Edison and 31 presidents (...) by 1950 his English was still full of flaws." (Nabokov, 1989, p.13). Even his lectures, according to the novel, had to be translated from Russian, revised by the Chief of the Department, Hagen's secretary and only then used by him, after he deleted all the difficult passages. Unlike Pnin, Nabokov did not have trouble with the English language and spoke it almost impeccably, though he did mourn the fact he had to switch from one language to another, as he himself noted in his afterword to *Lolita*. While Pnin was getting off the bus in a place named Whitchurch "a tingle of reality overpowered him completely" (Nabokov, 1989, p. 16) and it was revealed that Pnin had been suffering from a mysterious disease since the age of eleven, of certain chills that went up his spine and affected his vision, making it blurry. Paunović (1997) claimed that these episodes confirmed Nabokov's theory of time-the fact that the past, the present and the future are all equally present in every moment of our existence, and that the ability to make all three of them available depends on the individual and the concrete moment. He further explains that these epiphanies are used by Nabokov for travelling through space and time, resembling similar principles that Joyce applies in his works. Time in general, as Rampton (2012) points out, constitutes a fluid medium in realistic novels, as opposed to a calendrical straitjacket, a fact supported by Tolstoy's *Anna Karenina* as the most famous example, given the fact that at one moment in the plotline four years have passed in Anna's life, and only three in Kitty and Lyovin's life. It is thanks to the flexibility of these conventions that Pnin has become "timeless and placeless" (Cohen, 1983, p. 66). The plot then moves on to the episode of Pnin's marriage to a then 20 year-old student of medicine, Liza Bogolepov whom he met in Paris. She was recovering from a suicide attempt, having been saved by her English neighbours who had seen that she had spilt the deep red ink she used for writing poetry while trying to take some pills and end her life. All of her friends advised her to marry Pnin immediately. Pnin, for his part, was aware of his shortcomings: "I am not handsome. I am not interesting. I am not talented. I am not rich"-but he has one major virtue - he loves her selflessly-"I offer you everything I have, to the last blood corpuscle, to the last tear, everything" (Nabokov, 1989, p. 119). Though he may never be happy himself, he will do everything within his powers to make her happy. Liza left him for Dr. Eric Wind, came back when she learnt that she was seven months pregnant, making those days "the happiest in Pnin's life" and filling them with "weighty, painful felicity" (Nabokov, 1989, p. 34). In the end she embarked on a ship to the United States with Pnin, the same one which Wind was travelling by, and used her ex-husband to enter the country so she could marry her chosen one there. They were all (Pnin, Wind and Liza) naturalised on the same day and Pnin continued to occasionally meet her by chance in New York for the next five years. This act of hers is probably the reason why Rampton (2012) saw her as a "distinctly repugnant character" (p. 138). Other authors, such as Paunović (1997) believed that Liza was an example of Nabokov's fatal woman and explained that this fatality was always related to the imaginary, the way the character saw her, which has little resemblance to the actual model. Furthermore, the same author also stated that in this part of the novel it stopped resembling a light, almost comic novel, in the same way Pnin was no longer a well-meaning eccentric, but a character who turned his own child-like innocence and kindness into an almost tragic victimisation. The last of Liza's visits, when she asked him to pay

for Victor's education¹ had such a deep impact on him that he suddenly became fully aware of the emptiness of his own life and asked his landlady, Joan Clements for "the viscous and sawdust" (Nabokov, 1989, p. 42). His misery reached its peak when Joan showed him the pictures of mermaids, which instantly made him think of Liza, whom he deemed a *limpid mermaid* "perfectly charming in her black jumper and tailor-made skirt" (Nabokov, 1989, p. 32). The proof of Pnin's love and selflessness is that he laboriously prepares for Victor's arrival. He buys him presents (though not really suitable), makes the bed and even changes the light bulb in his desk lamp. The two of them spend some father-and-son time, eating veal cutlet, which Pnin sees as his own "concession to America, my new country wonderful America which sometimes surprises me but always provokes respect" (Nabokov, 1989, p. 71). Victor was an extremely talented and weird child, who could "differentiate between the colours of the shadows" (Nabokov, 1989, p. 61). Liza was worried because he was not problematic in the least, he did not even pick his nose or bite his nails. The depth of Pnin's love for Liza is also proven by the fact that, upon seeing Victor yawn, Pnin immediately recalls Liza's behaviour after going to parties with him. Paunović (1997) suggested that in his relationship with Victor, Pnin fruitlessly tried to move away from what his essence is and become an archetype of a father as he imagined it- as an authoritarian, competent citizen of the world, who is equally knowledgeable about literature and wolf-hunting.

As Barabtarlo (in Clancey, 1984) suggested, In *Pnin*, the author deliberately and self-consciously entered the narrative, first of all by making personal appearances, and second of all, via the narrative, in order to remind the reader that the world created by a work of art is an imagined world, the imperfect refraction of a reality too fluid and elastic for the created world to seize and hold. The narrator, however, occupies a much more important position, although he starts to intrude into the foreground of the novel only fairly late, before that he has constantly reminded us of his presence by the insertion of key points throughout the tale in the first person pronoun, or by blandly dropping some revealing remark about himself. Barabtarlo also believes that there are two ways of confronting experience-to be as open and vulnerable as Pnin-to be most human and also most hurt or to be as coldly analytical as the narrator. The same author further explains that this is what Nabokov wants to show-the difference between the kind of qualities that make up a decent human being and the very different qualities necessary to become a creative artist. In the next, fifth chapter, Pnin goes to a gathering of philosophers, feminists, social workers, etc. There is no mockery at this point in the novel, as Paunović (1997) points out, only compassion for people who are trying to keep themselves connected to their homeland, and it is in this chapter that the relationship between the protagonist and the narrator completely changes. Surrounded by his compatriots, as the same author further explains, Pnin is no longer a comic individual. He becomes an eloquent, well-behaved, confident male. He becomes a dignified character in the reader's eyes, not only without any help from the narrator, but also despite his attempts to make a different impression. There is no irony or maliciousness and with a different Pnin comes a different narrator as well. The narration is much more literature-like, with a bigger concern for style, structure and layout, though this is not a lasting change. In this part of the novel we get a picture of Pnin as a driver. His blue sedan of "uncertain age and in mediocre condition" (Nabokov, 1989, p. 71) was bought from a pupil who was getting married, for 100 dollars. In his usual, masterful manner, Nabokov implies that Pnin cannot put his theoretical knowledge of driving into practice-he cannot seem to relate the car he was driving in his mind with the one he was driving on the road. Another important topic in this chapter is the clash of cultures, embodied in the descendants of that generation of émigrés, who are "perfectly uninterested in their parent's stories" (Nabokov, 1989, p. 180). Indeed, they prefer canned goods to the marvellous Russian food, they turn the radio on and wander off to their rooms. They only come to these gatherings when they know there will be some boys or girls they have a romantic interest in, as is the case with Victor and Olga Poroshin. In the next chapter the narrator tries to go back to the mildly ironic, malicious tone which (...) starts to seem a bit unsuitable while the retelling of anecdotes looks like a waste of time. (Paunović, 1997). Having seen that throughout the novel Pnin puts his heart and soul in all of his numerous roles even though he is constantly a laughing stock, or precisely in spite of that fact, we cannot but empathise with him and put all those mean comments aside. The narrator which appears in the last parts of the novel "suggests a good measure of snobbishness of bearing, callousness of heart, vanity of mind and a general lack of charity" and (...) "they cannot coexist on the same plane" (pp. 605;606). Near the end of the novel Pnin gives a housewarming party "battered and stunned by thirty-five years of hopelessness" (Nabokov, 1989, p. 95) and he finally earns the right to enjoy silence after various cacophonies. It is at this moment that Hagen, the chair of the Department, reveals the current state of affairs at the University to Pnin, saying that Russian courses have ceased to attract Russians because "political interests in America discourage interests in things Russian" (Nabokov, 1989, p. 111). He advised him to try working under the famous colleague of his but Pnin flatly rejected, though the said professor (the man who was, in fact, responsible for Liza's suicide attempt, as it would be revealed later on) asked Pnin "in the most cordial terms I could muster to assist me in any way and to any

¹ In *American Years* (1991) Boyd noted that Victor's school is based on his son Dmitri's St. Mark's

extent he desired (Nabokov, 1989, p. 121). After Hagen left Pnin was washing the dishes when the nutcracker fell "like a man from a roof" (Nabokov, 1989, p. 113) onto a bowl Victor gave him. It did not break the bowl, however, just a goblet. Cohen (1983) suggested that the narrator threatens his (Pnin's) discreetness and new-found home-feeling. He is guilty of a crass insensitivity of Pnin's suffering and insidious infringement of his autonomy. However, Paunović (1997) claims that among the shatters of his, for various reasons completely broken life, there is also something unbreakable which makes him live on despite everything. He further explains that the relationship between Pnin and the narrator is easily explained by psychological reasons and is the consequence of his strong feeling of inferiority towards Pnin.

The famous adage says that there are two sides to every story. In the case of Pnin, however, there is a multiplicity of sides and as Paunović (1997) points out, the exact number of existing truths depends on the number of the narrators. Both the protagonist and the one who tells the story have their own version of events, claimed the same author further on, while the reader is presented with a chance to create his own "truth" if he is so keen on it. The novel ends with Victor being in Rome with his mother, who is married to an Italian art dealer. Pnin, on the other hand "escapes from the inhibiting frame of his biography (...) and the cocooned pupa is transformed into a rare butterfly" (Cohen, 1983, p. 70). "The author, the reader and the subject of the novel can", as Garret-Goodyear (1986) suggested, "all escape the construct, but the narrator has to remain trapped" (192).

Conclusion

Nabokov's fourth English novel not only combines a wide range of genres, including a humorous novel, a campus novel and a quasi-autobiographical novel, but also deals with a variety of universal topics such as the experience of exile, the magic of artistic creation and the arrogance of the artists, as well as some more sensitive ones, i. e. the Holocaust which was an extremely bold move, given the fact that the novel was first printed during the period immediate to the end of the World War II. It's biggest riddle up to this day, however, remains the narrator, though Nabokov uses a number of viewpoints in this novel, starting with the omniscient narrator, continuing with the first-person one and ending with a third kind-one that enables the first two to remain closely connected. By interweaving these threads, Nabokov creates an ingenious, often underrated work of art, based on the Russian tradition of folk tales so close to his heart, and simultaneously provides the reader with an open-end novel, a material which asks for full engagement and offers a vast number of possibilities at the same time, signifying its readiness to be moulded according to the idiosyncrasies of each and every member of the wider reader's audience.

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TS Corpus Project: An online Turkish Dictionary and TS DIY Corpus

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Abstract

TS Corpus is a free and independent project that aims building Turkish corpora, NLP tools and linguistic datasets. Since 2011, 10 corpora, various NLP tools, a large dataset and an online dictionary has been released. This paper focuses on the “online dictionary” and “TS do-it-yourself corpus” released by the project. The dictionary data is based on TDK (Turkish Language Society) Contemporary Dictionary. However, the dictionary published serves many enhanced functions at user interface level. But, the main importance of the study is about the results presented to the users upon their queries; the presentation of collocations and tri-grams of the key word searched for. The collocations are harvested from a large Turkish corpus, +760 million tokens and the tri-grams were generated from Turkish Wikipedia pages. The do-it-yourself corpus (TS DIY Corpus), allows users to build their own corpora, modify or delete the uploaded texts and run queries. Users may run queries in different modes, such as “as is”, “starting/ending with” or including; besides advanced query option allows users to run queries with part-of-speech tags and lemmas. The results are given in KWIC (keyword in context) format. Various text classification options such as pubdate, author, domain, genre etc. could be selected during corpus creation. As the number of available Turkish corpora is limited, TS DIY Corpus is applicable to be a useful, well-known and largely used software for the scholars and researchers who wants to use a Turkish corpus or study over Turkish texts of their own.

Keywords: TS Corpus, Turkish Corpus, Corpus Linguistics, Collocation, Part-of-Speech Tagging, Turkish Dictionary

Introduction

TS Corpus Project¹

TS Corpus is a free and independent project that aims building Turkish corpora, NLP tools and linguistic data sets (Sezer, Sezer, 2013). The project started in 2010 and released the first corpus in 2011. Since then, 10 other corpora, NLP tools and a dataset had released by the project.

This paper will focus on two new software recently released by the project. First, an online dictionary that features collocations, tri-grams and hyphenation of the query input. And a do-it-yourself corpus software that allows users to build their own corpora, edit or add content freely, with various search options, and running simple queries and advanced queries with part-of-speech tags and lemmas.

Online Turkish Dictionary²

Turkish Language Society (TDK), Contemporary Turkish Dictionary was first published in 1945. In 2006, the dictionary was carried to digital platform and released via TDK official website. Today, the online interface for this dictionary is available at the main page of the official TDK website.

The dictionary fetches word class, definition of the word, samples retrieved from Turkish literature and the representation of the query word in Turkish Sign Language. If exists, idioms and proverbs, and compound words are presented to the user.

Our dictionary software uses TDK Contemporary Turkish Dictionary data but serves new features.

¹ <https://tscorpus.com/>

² Available at <https://dictionary.tscorpus.com/>

The Design

The user interface served by TDK is not mobile friendly. As the numbers of users reaching Internet via mobile devices increased, mobile friendly websites, in other words, websites with responsive design became more popular. These websites can transform their design, which is based on a grid system, according to the clients screen size and resolution. Therefore, they can fit to any screen size of a mobile device and serve better usability. So, one of the major points we focused on is to serve the dictionary with a responsive design in order to support mobile devices.

We used Bootstrap framework by Twitter. The official Bootstrap page defines this framework as "HTML, CSS, and JS framework for developing responsive, mobile first projects on the web." We also used Ajax. Ajax is an asynchronous communication architecture that fetches data from a database or a server without the refreshment of the page. The combination of these two allowed us to build a mobile friendly web interface with practical usage.

As another design feature different from the dictionary served by TDK, thanks to Ajax, as the user began typing in the search box, possible hits are shown immediately. This design, as well as supporting usage of the arrow keys on a desktop PC or a laptop, allows users to scroll by using touch screens in a touch-device to navigate through or select one of those possible hits.

The possible hits also involve similar words even the word has a character with a caret or one of the characters peculiar to Turkish alphabet like "ş" or "ğ". This feature is very useful for the users whose operating system does not support Turkish or with the keyboards lack of these letters.

Tri-Grams

An n-gram is the consecutive sequence of n number of items in a text. In this definition n represents the number of items that forms the set; a bi-gram is consist of two items and a tri-gram is consists of three items.

In 2015, TS Corpus released Turkish Wikipedia Corpus. Later in same year, the data set of this corpus (*including raw texts in XML format, a tokenized version of this data, a part-of-speech tagged version and bi-grams and tri-gram harvested from this dataset*) was released by Linguistic Data Consortium¹ (LDC). The tri-gram set generated from this corpus has 12.5 million units. As a word is searched, with the results, the most frequent ten tri-grams are presented to the user if exists in the tri-gram database.

For computational linguistics, statistics and language teaching n-grams introduce valuable data. In a dictionary, a tri-gram is useful for representing the authentic usage of the query word.

Syllabication

Syllabication is the process of splitting a word into syllables. One of the recent corpus we released was TS Syllable Corpus². The corpus was build as a part of another study to define the syllable inventory of Turkish. We designed a script, named TS syllable tagger³. The syllable tagger takes advantage of TRMorph (Çöltekin, 2010), an open sourced morphological analyzer developed by Çöltekin, for hyphenation. After the word hyphenated, the script attaches a tag to each syllable. The used tags are V (*a*), CV (*ve*), VC (*al*), VCC (*ilk*), CVC (*tür*) and CVCC (*ters*) where V refers to vowel and C refers to consonant. These 6 types of syllables are known as valid syllables for Turkish harmony.

For every result shown in dictionary, the syllables that form the word is presented with the syllable tag-set mentioned above.

Collocations

The most important and "state of the art feature" of the online dictionary we present is the presentation of the collocations for the query key.

Evert (Evert, S. 2007:4) defines a collocation as "a combination of two words that exhibit a tendency to occur near each other in natural language", upon the well-know idea by Firth (Firth, J. R. 1957:179) "you shall know a word by the company

¹ <https://catalog ldc.upenn.edu/LDC2015T15>

² <https://ts corpus.com/corpora/syllable-corpus/>

³ <https://nlp.ts corpus.com/syllable/>

it keeps". The collocations are valuable references for understanding a word, extracting multi-word expressions and provide useful hints for language teaching.

So, we build a corpus that is consisted of +764 million tokens¹. The corpus is powered by CQPWeb and CWB ². We prepared a Python script that automatically runs a query in the corpus for each word in the dictionary database one-by-one and saves results in a MySQL table.

If the query word appears in the corpus then the script runs collocation function of the CQPWeb. Among many others, we choose log-likelihood statistical method for calculating collocations as it stands on collocations by significance following Dunning (Dunning, 1993). This method is efficient as it is specially designed to surpass the association of the words by chance.

We also take advantage of CQPWeb to classify the collocations as the right and left side ones. This means, the collocations for the query word are harvested in two groups, the preceding and the following according to the node.

Spell-book

A module added to the online interface is the spell-book. "Zemberek" is an open-sourced Turkish NLP library, written in Java, by Akin&Akin (2007), featuring a morphological parser and a spell checker; not only for Turkish but also for other Turkic languages. We wrapped Zemberek spell-checker service within our module with AJAX and run Bash scripts at background level. Spell-book relies on a lexicon and processes the user input at the time of typing. The suggestions are listed below the text input area. Furthermore, using Zemberek helped us to fetch suggestions for the words that might not be in a hard-copied spelling book. As the user goes on typing, no matter how long the word is or what fixes are added to the word, our module produce suggestions or shows if the input is correct or false.

TS DIY Corpus³

Building a corpus is a hard and time consuming task that also requires advanced computer literacy. Corpora are served as ready-made to the users. For building such a corpus, the data should collected, prepared and processed before compiling as a corpus. Therefore, corpora presented to the users in this form are composed of pre-defined and constant data sets.

However, users may need to use different datasets or want to build a specialized corpus by using data they own data. To accomplish this task and full-fit flexible desires of the scholars and researchers, we designed a "do-it-yourself corpus" software.

This is the second, freshly designed and improved version of the software. The very first release of TS DIY Corpus was in 2014. It used to rely on PHP-MySQL frame that we later noticed not enough to run the tasks we desired efficiently and accurately.

There are many software, that can be used online or locally is available for text processing and corpus building; TXM, AntConc, CQPWeb, Sketch Engine etc. However, we aimed to design a software that involves and combine all of the following features:

Online available: Users should have access their corpora anywhere they are connected to the Internet.

Easy to use: No requirement for advanced computer literacy about text processing, tokenization, database management, regular expressions, part-of-speech tagging etc.

Flexible Corpus Design: Users are allowed to tag meta information about the texts upon their design features.

Automatic Processing: The texts submitted to the software are tokenized and tagged automatically. Users do not need to have or know how to use a tokenizer or a part-of-speech tagger.

Below, we will explain the features of the TS DIY Corpus software and sample it's usage.

Under the hood

¹ <https://tscorpus.com/corpora/764-million-corpus/>

² <http://cwb.sourceforge.net/>

³ Available at <http://diy.tscorpus.com>

TS DIY Corpus software is consisted of many different tools. The main framework is based on Python Django. The corpus interface that users interact with is also designed by Django, of course by taking advantage of HTML, CSS, JS and AJAX.

Django includes many libraries that help us to reduce required work force and save time during coding. The user registration and authentication, interface design, database connection, preparing query statements are the very first points pop in mind. Compared to a PHP-MySQL based software, frequently used for similar projects, these tasks are run with ease by Django.

Besides, the existence of TS DIY Corpus software relies on the scripts we previously prepared and released. Titles 3.2 and 3.3 will detail these scripts.

Tokenization

Basically, an electronic text is a sequence of letters, punctuation marks, numerals, white-spaces, end-of-line markers and other characters that could be generated via keyboard. In order to process these texts with a computer, these sequences should be segmented (Mitkov, 2005:201).

Forst and Kaplan (2006) underlines the importance of the precise tokenization of texts over the overall accuracy of the following processes, such as part-of-speech tagging, syntactic parsing etc.

“Word” and therefore “token” are vague terms in NLP studies. Evert (2008) defines “word” as an “*entirely generic term which may refer to any kind of lexical item, depending on the underlying theory or intended application.*” Similarly, Grefenstette (Grefenstette et al. 1994) underlines, “*there are many ways to decide what will be considered as unit for a computational approach to text.*” So, we may say that, “there is not one and absolute correct way” for tokenization, but clearly, tokenization is a vital process that should be handled carefully and run by following the distinctive features of the target language. The search ability of the programming languages are dramatically raised with the tokenized texts, compared to non-tokenized texts.

We build TS Tokenizer, based on utf8-tokenizer, which is a part of TreeTagger¹ and prepared by Sharoff and Schmid. However, we enhanced the tokenizer to full-fit the requirements of Turkish. Each piece of text submitted by the user is tokenized automatically and then stored in the database. As the processing completed (including part-of-speech tagging), the submitted texts will be ready-to-use in the corpus.

Part-of-speech Tagging

Another script we prepared previously and used when building TS DIY Corpus is the part-of-speech tagger. The tagger stands on morphological disambiguator (MD) designed by Sak, Güngör and Saraçlar (2008). Since we need enhancements, enlarging the lexicon, extend the tagset and re-design the generated output we made required improvements².

As well as tokenization, the part-of-speech tagging also run automatically as the users submits a piece of text.

Using TS DIY Corpus

Registration

Users should register to the TS DIY Corpus in order to use it. The registration form has 3 obligatory fields to fill in; user name, password and e-mail address. The registration is necessary, as each user will build his or her own corpus with the data he or she owns.

Creating a new corpus

As registration is completed, the user can reach to TS DIY Corpus main screen. This screen includes the main menu. The very first thing a user should do is creating a new corpus by clicking “*Create New Corpus*” button. A corpus name and desired text classification titles are asked to user. Users are allowed to select any number of text classification items from a pre-defined list. These options are automatically added to search restriction options in the query screen for the corpus created. The corpus is created immediately, with the name provided and selected text classifiers as the user clicks on “*Create Corpus*” button.

¹ <http://www.cis.uni-muenchen.de/~schmid/tools/TreeTagger/>

² <https://dev.tscorpus.com/postagger/>

Text Classification Items

During corpus creation, users can select various text classification items from the offered list. The list contains text restriction ranges for written and spoken data offered by BNC mainly. It is also possible to extend or narrow these restrictions.

Corpora List

Corpora List menu in the main screen allows users to run three different actions. “Contents” link fetches a list of texts added to the relevant corpus. Editing or deleting processes are managed in this screen and details of this action will be given in title 4.5.

“*Edit*” link is for editing text classification items as mentioned before and “*Delete*” link is for deleting the corpus.

Corpus Content

Users are allowed to add unlimited number of texts to each corpora they create. Each text in a corpus can be edited or deleted at any time. In order to edit or delete a text, users should follow “*Corpora List*” menu and then click on the “*Content*” link for the relevant corpus.

“*Add New Content*” link directs users to a new screen where users can add a new text easily just like filling an online form. The fields are automatically derived from the options set during corpus creation.

As the user submits a text, a notification will appear explaining the status of the process. This process refers to tokenization and part-of-speech tagging. The progress could be followed in the contents list with a check-box. If the check-box is checked, it means the submitted text is processed and ready to use.

Editing option allows both editing *text classification items* and the *text itself*.

Query History

Users can reach the queries previously run in every corpus using “*Query History*” link. The query history table contains search term (the query key), corpus name, date/time of the query and a “search again” button that runs the same query immediately by a simple click.

The query history table also allows running a search within the table.

Running a Query

The query screen includes defined text classifiers, a drop-down corpus selection menu and another drop-down menu for query mode.

The double dash in the text classifier drop-down menu means no restriction is selected and all the texts will be included in the query. Users can select multiple options from the text classification items drop-down menu by holding down Ctrl key in Linux and Windows and Command key on Mac OS.

The query mode supports “as is”, “starts with”, “ends with”, “including” modes both case-sensitive and case-insensitive as well as “regular expression”, and “advanced” modes. *As is* refers that the exact match given as the query key will be searched. *Starts with*, *ends with* and *including* modes are self-explanatory. Regular expression queries allow users to use wild cards within query key.

Advanced query mode allow users to run queries by using the query language provided. In order to use advanced queries, users should know the tag-set we used during part-of-speech tagging. The tag set has the following tags (Sak et al, 2008) (Sezer, 2016):

Noun (*noun*), Verb (*verb*), Adj (*adjective*), Conj (*conjunction*), Det (*determiner*), Adv (*adverb*), Postp (*postposition*), Pron (*pronoun*), Num (*number*), Ques (*question suffix*), Interj (*interjection*), Punc (*punctuation*), Dup (*duplication*), abbr (*abbreviation*), intAbbr (*internet abbreviation*), YY (*misspelling*), emoticon (*smileys*), intEmphasis (*internet emphasis*), intSlang (*internet slang*) and UnDef (*undefinite*).

Each advanced query must be written in square brackets and should involve one these three structural attribute: PoS, Word or Lemma.

For instance, if the user want to search for a PoS tag, lets say a noun, query key should be formed up in the following form:

[Pos="Noun"]

The advanced queries allow using multiple annotations in one query statement. For example, the following query will fetch all the occurrences of any adjectives followed by the word "araba" (*car*):

[PoS="Adj"] [Lemma="Araba"]

In advanced mode, also lemma is an annotation that could be used. The following query will fetch any word in the corpus that is inflected from ev (house) lemma.

[Lemma="ev"]

Lemma and Pos annotations could also be used together.

[Lemma="gül" & PoS="Verb"]

This query will fetch all the occurrences of the verb gül.

Saving Results

Users are allowed to save results of the queries in many different formats, including CSV (comma-separated values), tables to use with spreadsheet software and PDF. Results also could be send to printer directly or copied to clipboard with a single click.

Results

The two software we introduced in this paper are serving unique features for their kind which we think useful and make contributions to Turkish NLP studies.

The representation of collocations and tri-grams are the first appearance of these information in a Turkish dictionary. This information could help students learning Turkish as a second language. The collocations provided may contribute building a word-net for Turkish and supply valuable information for statistical NLP studies.

The TS DIY Corpus software, will help users who want to build their own corpus but lack of adequate computer literacy or hardware. The software features enhanced features like automatic tokenization and part-of-speech tagging which are hard to deal with.

Also, as users are free to design their own corpus privately, the could use texts which could never appear in a publicly available corpus due to copyright fees.

The following versions of TS DIY Corpus is planned to include language selection during corpus creation. So, users may created tagged corpora for various languages. Also improvements with the served statistical results is in the schedule for next versions.

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Technological Change in Turkish Manufacturing Industry: The Case of Gaziantep City

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Abstract:

Ensuring competition in global economy, the production of high value products within the country and the reduction of current budget deficit; in other words, increasing the output of industries manufacturing intermediate goods and end products, which have high import dependency, are major targets of Turkey. The state of technological infrastructure of manufacturing industry in the country as well as the process of change that the industry undergoes are essential for the realization of these targets. New technologies play an important role in the competitiveness and economic development of cities, region and the country in the international market. In particular, the use of new technologies in manufacturing industry and companies' capacity for innovation are prerequisites for businesses to enter a tougher competition in the global economy as well as for cities and countries to persevere on the larger scale. In this respect, the main purpose of this study is to examine the technological transformation of the manufacturing industry in Gaziantep, which is positioned in the top five among Turkey's exports and employs a considerable work force, in comparison to the technological change experienced by the manufacturing industry in Turkey. In the study, the technological level of manufacturing industry in Turkey and the technological change process of manufacturing industry in Gaziantep are presented between 2009-2016 with key indicators. The findings of this study reveal that the current level of technology the city of Gaziantep manufacturing industry has had is far behind the level Turkish manufacturing industry has reached.

Keywords: Technological Innovation, Competition, Gaziantep, Turkey.

Introduction

Developed countries, especially in the different geographical areas of the world after the Second World War, achieved a rapid growth trend with strong industrial structure and increased their prosperity levels. Although developed countries have many dynamics on the basis of this growth and development adventure, the most important factor is the existence of manufacturing industry. It is the driving force behind the manufacturing sector of the economies of developing countries such as Turkey and developed countries of the present day (Doğruel ve Doğruel, 2008). The wave of globalization which has started to spread over the world since 1990 has been developing countries in international markets, and in the meantime Turkey has entered a serious competition.

Manufacturing and exporting of the manufacturing industry, which has an important place in the Turkish economy, has seen a significant increase in recent years. This increase is mostly due to the increase in production and exports of low tech products. However, today as the transition to the 4th industrial revolution has begun, it is necessary to further increase the share of the production and export products of the industrial goods within the "high and medium-high technology" group, which will further develop the manufacturing industry. To realize this, it is necessary to make the necessary arrangements and plan the policies and strategies of the central government very well.



Figure 1: The location of the city of Gaziantep

This study covers the technological structure of the manufacturing industry in Turkey and in particular Gaziantep (Figure 1), which is an important commercial, industrial production center and border city in the south of Turkey. Moreover, regional and recent international migration route has transformed the city of Gaziantep into an important consumption center in the last twenty-five years. From 1990 onwards, the economy in the city, which is trying to be integrated into the global world, is mostly based on industry and service sectors (NUTS-2, TRC1 Industry 33.3%, service 54.6% TURKSTAT, 2017). The export volume, which is considered as an important variable in terms of economic weight, reached to 6.1 billion dollars per year in Gaziantep and the country's manufacturing sector constituted 4.4% of total exports and led to the rise to 6th place in 81 provinces (TURKSTAT, 2017). Gaziantep which is considered as a brand and model city for other cities in Turkey (Keyman and Lorasdağı, 2010), is the second rank after Istanbul in terms of the number of firms in the regional distribution of the top 500 companies exporting in 2012 (Bölgesel Gelişme Ulusal Stratejisi, 2014: 80). Therefore, Gaziantep city, which has an advanced economy in its region, is a medium-scale competitive city in global scale, attracting some of the migration in the region and being one of the new industrial centers of Turkey.

Technology, defined as the ability to produce, use and spread information, is an important factor in determining international competitiveness and economic growth, or in other words, the welfare of societies (Saygılı, 2003). From the earliest times of the Industrial Revolution to the day-to-day technological change, many theoretical and empirical studies have been carried out on economic growth, employment and development (Taymaz, 1997). Technology which has been shown to be one of the main reasons for the increase in unemployment as well as economic development and quality of life (Taymaz, 1997), plays an important role in the transformation of the international competitive power and in the spatial dimension of the manufacturing sector. Although there are many different and important classical and neo-classical approaches to technological change in the literature, this study has been examined in the context of the Schumpeterian Theory (creative destruction). According to this theory, technological innovation has been regarded as the engine of economic development in a long period of time. According to Schumpeter's (1942) theory, technological innovation has long been regarded as the engine of economic development (Swedberg, 2003). Again, according to Schumpeter (1942), the process of technological change can be "destructive" at the same time as being a "creative" process maintained by innovations (Swedberg, 2003). In fact, this theory tries to explain the technological differences between firms, and therefore the mechanism of "creative destruction" is related to technological developments (Avcı, Uysal and Tasci, 2016). At the same time, this technological development or change process foresees the redistribution of resources among firms, professions, sectors and countries and suggests that those who can not compete with this process may disappear (Taymaz, 2001). Therefore, the use of new technologies and the need to innovate are essential to the increasing competitiveness of the global economy and the survival of firms and even countries in this process.

In fact, the aim of this study is to determine what kind of goods are based on the production of the existing industry in Turkey and micro scale in the city of Gaziantep according to the density of technology. Moreover, this study investigates whether there is a change towards the higher technology industry in the manufacturing industry of Gaziantep in comparison

to Turkey within the context of development levels. Data for the study NACE Rev. 2, the manufacturing industry consists of 24 sub-sectors with two digits. Today, however, some traditional manufacturing sectors are shifting towards technology that is more advanced. For this reason, some sectors are classified as two-digit, while others are classified as three or even four-digit. In this study, the manufacturing industry was divided into four groups by OECD according to the technology density of each sector. Therefore, some sectors can be included in one of four groups as high, medium-high, medium-low and low technology group in two, three or even four digits (Table 1).

Table 1: Classification of manufacturing sector by technology level

| ISIC Rev. 4 | Sectors | Group types according to technology |
|-------------|------------------------------------------------------------------------------|-------------------------------------|
| 21 | Manufacture of basic pharmaceutical products and pharmaceutical preparations | A |
| 26 | Manufacture of computer, electronic and optical products | A |
| 303 | Manufacture of air and spacecraft and related machinery | A |
| 20 | Manufacture of chemicals and chemical products | B |
| 254 | Manufacture of weapons and ammunition | B |
| 27 | Manufacture of electrical equipment | B |
| 28 | Manufacture of machinery and equipment n.e.c. | B |
| 29 | Manufacture of motor vehicles, trailers and semi-trailers | B |
| 302 | Manufacture of railway locomotives and wagons | B |
| 304 | Manufacture of military combat vehicles | B |
| 309 | Manufacture of other transport equipment n.e.c. | B |
| 325 | Manufacture of medical and dental instruments and supplies | B |
| 182 | Reproduction of recorded media | C |
| 19 | Manufacture of coke and refined petroleum products | C |
| 22 | Manufacture of rubber and plastic products | C |
| 23 | Manufacture of other non-metallic mineral products | C |
| 24 | Manufacture of basic metals | C |
| 25 | Manufacture of fabricated metal products, except machinery and equipment | C |
| 301 | Building of ships and boats | C |
| 33 | Repair and installation of machinery and equipment | C |
| 10 | Manufacture of food products | D |
| 11 | Manufacture of beverages | D |
| 12 | Manufacture of tobacco products | D |
| 13 | Manufacture of textiles | D |
| 14 | Manufacture of wearing apparel | D |
| 15 | Manufacture of leather and related products | D |
| 16 | Manufacture of wood and of products of wood and cork | D |
| 17 | Manufacture of paper and paper products | D |
| 18 | Printing and reproduction of recorded media | D |
| 31 | Manufacture of furniture | D |
| 32 | Other manufacturing | D |

A: High Technology, B: Medium-High Technology, C: Medium-Low Technology, D: Low Technology

Source: EUROSTAT

In addition, in this study, the Turkish Statistical Institute (TURKSTAT) has been utilized for manufacturing, number of firms, employment, and foreign trade data related to the manufacturing industry. Moreover, in order to determine how the manufacturing industry performs in the Turkish economy, the number of firms in each sub-sector and the share of employment and foreign trade within the manufacturing sector are determined by processing the data for specific years. In this way, the relative size and importance of the sub-sectors within the manufacturing industry has been determined relative to the technology levels. However, the fact that data other than foreign trade data related to Gaziantep are not published by the statistical institution has been a major obstacle to this study.

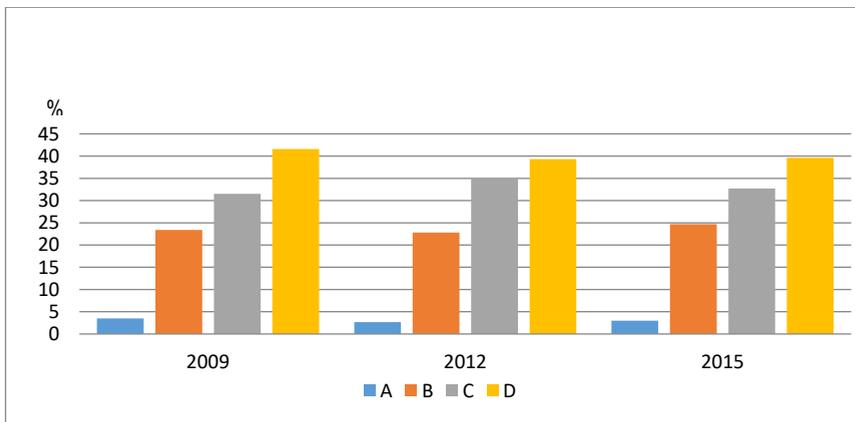
Turkish Manufacturing Sector:

The fact that many economic crises occurred from 1980 to the present day and the application of different development and economic programs in various periods coincide with important structural transformations in the Turkish economy. Therefore, this bumpy process has also been found in manufacturing industry. Especially during periods of economic crises, the manufacturing industry has been in a downturn. However, except for the crisis years, the manufacturing sector economy has generally maintained its position as the driving force or locomotive in general (Doğruel and Doğruel, 2008). Increasing production is essential for a country, a region or an urban space to grow quickly and continuously. In this case, with the economic growth, the share of the manufacturing sector in the economy is foreseen to increase. According to the data from the World Bank (2017), the share of the value added of manufacturing industry in GDP in the period between 1980 and present in Turkey reached to 24% in 1998. Later, however, the share of manufacturing industry in GDP fell to 19% in 2016. (World Bank Data, 2017).

Technological Change in Turkish Manufacturing Sector:

Significant changes have taken place over time in the technological structure of the manufacturing industry, whose share in the world has declined considerably. For this purpose, according to the OECD grouping, the Turkish Statistical Institute (TURKSTAT), NACE Rev. 2 published data were used.

Figure 2: Production Value by Technology Level - Turkey

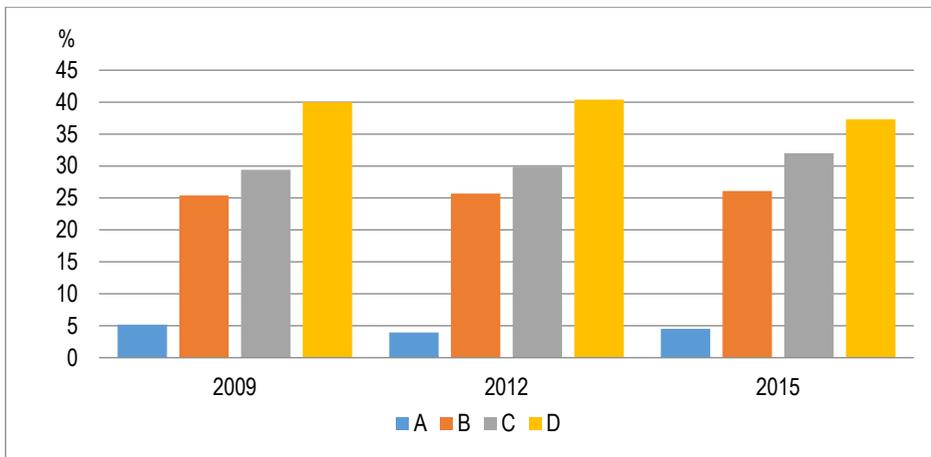


Source: TURKSTAT, based on 2017 data, created by the author

In Figure 2, Turkey's production value "production value" shares are compared to the four technology groups of 2009, 2012 and 2015. Low-tech (D) production, which is 41% in 2009, remains at 40% by 2015, indicating that there is not much change. However, the production value of the medium-high technology (C) manufacturing industry is slightly increasing compared to 2009, especially in 2012. This small proportional increase in the medium-low technology manufacturing sector is related to the decrease in the share of low technology. A noteworthy situation is the decline in the share of the high-tech (A) manufacturing sector in recent years. The share of production value of medium-high technology (B) in recent years shows that there is a shift in medium-high technology from high technology. As a result, despite the decline in the high-tech manufacturing sector in the last ten years in terms of production value in Turkey, low-tech and medium-low-tech manufacturing sectors continue to maintain its importance.

In addition to the production value, examining the technological change in the Turkish manufacturing industry as "added value" will make this work even more meaningful. The "added value", which is defined as the value added to the product at each stage of production, is given in Figure 3 as the share of the products entering the four technology groups in the total manufacturing sector. Accordingly, the share of the goods entering the low tech group in the total manufacturing industry declined in the added value again from 2009 until 2015, after an initial slight rise. Products supported by scientific and AR-GE studies are products with high "added value". A large majority of these products are in the high and medium-high technology manufacturing industry group. Therefore, the share of the goods entering the high tech group in the "value added" of the manufacturing industry has not changed much in the years stated and remained below 5%. There has been a steady increase in the share of goods entering the medium-high and medium-low technology group in Turkey. Although this seems to be positive, the share of goods in the low and medium-low technology group within the total manufacturing sector in Turkey was 70% in 2015, indicating that there is not much change compared to 2009.

Figure 3: Added Value by Technology Levels - Turkey



Source: TURKSTAT, based on 2017 data, created by the author

It may not be enough to determine the changes in the level of technology in the Turkish manufacturing sector as "production value" and "value added". For this reason, while approximately 200 thousand companies operate in the low-tech manufacturing sector in 2009, the number of firms decreased by 1% between 2009 and 2015 (Table 2). This decline suggests that the sector has improved beyond the workplace growth in the manufacturing industry as a whole. Similarly, employment in the manufacturing sector increased by 37% between 2009-2015 compared to the number of employed in the low-tech group, but its share in the total manufacturing sector fell to 52.33% in 2015 from the previous turnover.

Table 2: Number of Firms and Employment by Technology Levels – Turkey

| | 2009 | | 2015 | | 2009 | | 2015 | |
|-------|-----------------|------|-----------------|------|------------|------|------------|-------|
| | Number of Firms | % | Number of Firms | % | Employment | % | Employment | % |
| A | 805 | 0,25 | 1.129 | 0,34 | 58.106 | 2,25 | 75.335 | 2,05 |
| B | 30.024 | 9,36 | 32.011 | 9,55 | 448.075 | 17,3 | 674.130 | 18,34 |
| C | 90.362 | 28,2 | 104.579 | 31,2 | 677.974 | 26,2 | 1.002.441 | 27,28 |
| D | 199.624 | 62,2 | 197.592 | 58,9 | 1.400.618 | 54,2 | 1.923.137 | 52,33 |
| TOTAL | 320.815 | 100 | 335.311 | 100 | 2.584.773 | 100 | 3.675.043 | 100 |

Source: TURKSTAT, based on 2017 data, created by the author

While 805 firms in Turkey were active in 2009 in the high-tech group, the number of firms in the period 2009-2015 increased by 40%. The 30% increase in employment in the same technology group (42% in the manufacturing industry) is the first indication that the industry is in a development (Table 2). In addition, low and medium-low technology industries dominate the manufacturing industry in Turkey with a share of over 90% still at the number of firms. The same group has also formed an important business area in the country's economy with an 80% share in terms of employment in the manufacturing sector in recent years.

Table 3: Exports by Technology Levels (dollars) - Turkey

| | 2010 | | 2012 | | 2014 | | 2016 | |
|-------|-----------------|------|-----------------|-----|-----------------|-----|-----------------|-----|
| | Export | % | Export | % | Export | % | Export | % |
| A | 3.365.705.110 | 3,16 | 4.493.535.793 | 3,1 | 4.617.639.862 | 3,1 | 4.250.014.981 | 3,2 |
| B | 34.166.301.623 | 32,1 | 41.003.582.226 | 28 | 46.836.427.927 | 32 | 44.594.513.293 | 33 |
| C | 33.693.070.132 | 31,7 | 54.374.531.213 | 38 | 43.149.075.746 | 29 | 38.077.881.021 | 28 |
| D | 35.122.289.055 | 33 | 44.434.286.355 | 31 | 53.863.278.673 | 36 | 47.863.838.611 | 36 |
| TOTAL | 106.347.365.920 | 100 | 144.305.935.587 | 100 | 148.466.422.208 | 100 | 134.786.247.906 | 100 |

Source: TURKSTAT, based on 2017 data, created by the author

When the export structure of the Turkish manufacturing industry sector is analyzed, the exports of the total manufacturing sector have decreased compared to the previous year in 2016, with an increase from 2010 to 2016 (Table 3). Within the total manufacturing industry sector, there is a 30% increase in exports of goods entering the high and medium-high technology group in 2010-2016 period. The share of these two groups in the total manufacturing sector reached to 36.2% in 2016 from 35.2%. Therefore, this is an important development for the high and medium-high technology manufacturing sector when compared with other shows. The share of exports of low-tech goods in the total manufacturing sector increased 36% from 33% in 2010 to 36% in 2016. While the exports of goods in the medium-low technology group increased by 13% between 2010 and 2016, the share of the total manufacturing sector in the same period decreased from 31.7% to 28%, unlike other technology groups. As a result, Turkey still has a significant share of 64% in 2016 (Table 3), as is the case for low and medium-low technology group exports in 2010.

Table 4: Imports by Technology Levels (dollars) - Turkey

| | 2010 | | 2012 | | 2014 | | 2016 | |
|-------|-----------------|------|-----------------|------|-----------------|------|-----------------|------|
| | Import | % | Import | % | Import | % | Import | % |
| A | 19.220.854.379 | 13,2 | 20.437.364.457 | 11,6 | 23.809.992.283 | 12,6 | 26.071.868.042 | 15,5 |
| B | 64.059.659.203 | 44 | 75.747.691.529 | 42,8 | 81.528.761.676 | 43,3 | 77.105.791.033 | 45,8 |
| C | 41.905.517.490 | 28,8 | 57.030.937.381 | 32,3 | 57.400.226.636 | 30,5 | 43.243.657.348 | 25,7 |
| D | 20.528.779.820 | 14,1 | 23.593.845.006 | 13,3 | 25.765.570.161 | 13,7 | 21.805.122.298 | 13 |
| TOTAL | 145.714.810.892 | 100 | 176.809.838.373 | 100 | 188.504.550.756 | 100 | 168.226.438.721 | 100 |

Source: TURKSTAT, based on 2017 data, created by the author

Looking at the technological level of imported goods in the manufacturing sector, goods in the high and medium-high technology group increased by 24% in the period of 2010-2016 and their share in the total manufacturing sector increased from 57.2% to 61.3% (Table 4). As mentioned earlier, the share of exports of high and medium-tech goods in the same period was 36.2% in 2016 and the share of imports was 61.3%. While the imports of goods produced in low and medium-low technology groups increased by 4% between 2010 and 2016, their share in total imports decreased from 43% to 38.7%. This indicator shows that Turkey is moving towards high and medium-high technology group regarding imports (Table 4). This situation shows that the manufacturing industry in Turkey is more and more dependent on external markets and increasing current deficit. The way to improve this negative situation is to increase the added value created in this sector,

especially with the number of products and firms competing globally, which would increase the level of technology of the manufacturing industry.

Gaziantep Technological Change in Manufacturing Sector:

According to ISIC Rev.3 and Rev.4 classification obtained from TURKSTAT NUTS 1 (province) scale, 2, 3 or 4 digit data were used in the analysis of goods produced in Gaziantep's manufacturing sector according to 4 different technological group. In this part of the study, it was not possible to determine the technological change in the manufacturing sector of Gaziantep because the production, added value, number of firms and employment statistics were not published by the TURKSTAT. On the other hand, Gaziantep is making the changes in the level of technology in manufacturing sector from the data of the firms exporting and importing in the city.

Table 5: Indicators of Foreign Trade Performance of Gaziantep Manufacturing Sector, Dollar

| | Export | Import | Capacity of Foreign Trade | Balance of Foreign Trade | Rate of Exports Meeting Imports (%) | Rate of Deficiency (%) |
|------|---------------|---------------|---------------------------|--------------------------|-------------------------------------|------------------------|
| 2010 | 3.427.447.370 | 2.890.191.224 | 6.317.638.594 | +537.256.146 | 118,6 | - |
| 2012 | 5.418.998.298 | 4.437.431.868 | 9.856.430.166 | +981.566.430 | 122,1 | - |
| 2014 | 6.528.850.315 | 5.016.756.745 | 11.545.607.060 | +1.512.093.570 | 130,1 | - |
| 2016 | 6.103.605.663 | 3.935.309.515 | 10.038.915.178 | +2.168.296.148 | 155,1 | - |

Source: TURKSTAT, based on 2017 data, created by the author

The total foreign trade volume of Gaziantep province, which was 6.3 billion dollars in 2010, reached 10 billion dollars with an increase of 59% in 2010-2016 period (Table 5). However, Gaziantep's foreign trade volume in the manufacturing sector reached its peak year of 11.5 billion dollars in 2014. Between 2010 and 2016, the rate of exports meeting imports varies from year to year, with the exports being higher in all years, giving "foreign trade surplus". In other words, exports in Gaziantep have been surplus in every period and this shows that the city of Gaziantep is a net exporter.

Table 6: Exports According to Technology Levels (dollar) - Gaziantep

| | 2010 | | 2012 | | 2014 | | 2016 | |
|-------|---------------|------|---------------|------|---------------|------|---------------|------|
| | Exports | % | Exports | % | Exports | % | Exports | % |
| A | 4.119.006 | 0,12 | 10.616.162 | 0,2 | 23.460.690 | 0,36 | 21.501.319 | 0,35 |
| B | 280.220.243 | 8,18 | 343.124.853 | 6,33 | 539.137.402 | 8,26 | 498.009.276 | 8,16 |
| C | 630.808.514 | 18,4 | 800.845.438 | 14,8 | 869.923.431 | 13,3 | 702.682.103 | 11,5 |
| D | 2.512.299.607 | 73,3 | 4.264.411.845 | 78,7 | 5.096.328.792 | 78,1 | 4.881.412.965 | 80 |
| TOTAL | 3.427.447.370 | 100 | 5.418.998.298 | 100 | 6.528.850.315 | 100 | 6.103.605.663 | 100 |

Source: TURKSTAT, based on 2017 data, created by the author

In the Gaziantep manufacturing sector, exports of goods produced in the high technology group increased by 422% (4 times) in the period of 2010-2016 and total exports of Gaziantep reached from 0,12% to 0,35% in the same period (Table 6). In the exports of goods produced in the medium-high technology group, there was not much difference between 2010 and 2016 and its share in total exports reached 8,16%. In the medium-low technology group exports increased by 11,4% compared to the period 2010-2016, but in the same period the share of total exports decreased from 11,5% to 18,4% (Table 6). Therefore, the greatest decrease among the technology groups was realized in this group. The decline in this group emerges as an "increase" in the low tech group. That is, the share of low-tech goods in total exports with a record increase of 94% in the period of exports of 2010-2016 has increased from 73% to 80% in the same years (Table 6). The increase rate in the low tech group in Gaziantep is about 3 times higher than the increase in total export volume of Turkey (Table 3 and 6).

When we look at the technological dimension of imports in Gaziantep, it is remarkable that there is the same export. When the imported goods are examined according to the technology groups, the highest share is in the medium-high technology group. The share of the total manufacturing sector in imports declined from 75% to 61,6% during the same period, although

imports of intermediate goods and especially 20-code products were up by 11.8% between 2010 and 2016 (Table 7). Another technology group that has fallen is the medium-low manufacturing group. Since the production of a large part of the goods in this group has been replaced by the Gaziantep industry, there has been a serious decline both in quantity (13% decrease) and share (4.57% to 2.92%) between 2010 and 2016. Another significant aspect is the increase in imports of products in the low-tech group. While the share of this group in Turkey's total imports decreased, there was a 127% increase in Gaziantep between 2010-2016. Its share in total imports also reached from 18% to 30% in the same period. While imports of high technology products increased by 198% in the period of 2010-2016, in other words about 2 times, the share of total imports increased from 2.53% to 5.54%. As a result, while the share of imports of high and medium-high technology products in Turkey's imports was around 61% (Table 4), Gaziantep city imported 67% of medium-high and high technology products (Table 7).

Table 7: Imports by Technology Levels (dollar) - Gaziantep

| | 2010 | | 2012 | | 2014 | | 2016 | |
|-------|---------------|------|---------------|------|---------------|------|---------------|------|
| | Import | % | Import | % | Import | % | Import | % |
| A | 73.234.922 | 2,53 | 91.697.587 | 2,07 | 137.058.782 | 2,73 | 218.169.694 | 5,54 |
| B | 2.165.993.253 | 74,9 | 2.998.796.974 | 67,6 | 3.418.939.088 | 68,2 | 2.422.423.714 | 61,6 |
| C | 132.159.874 | 4,57 | 157.386.229 | 3,55 | 130.328.984 | 2,6 | 114.869.509 | 2,92 |
| D | 518.803.175 | 18 | 1.189.551.078 | 26,8 | 1.330.429.891 | 26,5 | 1.179.846.598 | 30 |
| TOTAL | 2.890.191.224 | 100 | 4.437.431.868 | 100 | 5.016.756.745 | 100 | 3.935.309.515 | 100 |

Source: TURKSTAT, based on 2017 data, created by the author

While the manufacturing industry in Turkey gave foreign trade deficit each year, it was seen that the city of Gaziantep gave "foreign trade surplus" in contrast to the trend in Turkey (Table 5). While the share of exports in Gaziantep's exports, especially in 2010, constituted 3.2% of the total exports of the Turkish manufacturing sector, it increased by 56% in 2010-2016 period and reached 4.4% of Turkey's total exports in 2016. Gaziantep is ranked 6th in Turkey in 2016 after Istanbul, Ankara, Kocaeli, Izmir and Bursa with this export performance (TURKSTAT, 2017). On the other hand, imports in Gaziantep in 2010 accounted for 2% of total imports in Turkey, an increase of 73% in 2010-2016 period and reached a share of 2.3% in total imports in Turkey in 2016.

3. Conclusion:

The high and medium-high technology group of the manufacturing sector, which is regarded as the locomotive of economic growth, is a sector that has grown rapidly in recent years especially in the developed countries, has increased the level of prosperity and has added high value. The share of manufacturing industry, which is now decreasing in developed countries, is developing very slowly in Turkey and it is a sector which has a decreasing share in GNP in recent years. This situation proves especially that the number of firms in the high and medium-high technology group, the number of employed persons, the production value of the produced goods and the added value are low. Moreover, Turkey has shown that it is an importer in this sector. In particular, imports of products in the high and medium-tech group exceeded 100 billion dollars (60% of total imports). The production of domestic low and medium-low technology products meet the need of production consumption and some of them are exported. However, the city of Gaziantep has imported relatively high and medium-high technology products which are not different from the general situation of Turkey. Besides, both production and export of goods in the low and medium-low technology group, which are considered as traditional production, are much more than the exports of Turkey. At the same time, the fact that exports of low and medium-low technology goods in Gaziantep, which is close to 92%, show that it is an industrial city based mostly on labor-intensive production. This is a sign that the production technology of the city of Gaziantep is unfortunately far behind developed countries and Turkey. Regarding this production model in traditional style and export sustainability, there are serious questions for both Turkey and Gaziantep city.

The lack of sufficient data on production in this part of the study of Gaziantep city is a weakness of this work. Nevertheless, foreign trade data provide information about the production technology of Gaziantep city which is limited to us. Cities such as Gaziantep should plan technological innovation for a long time in order to compete with the other important cities of the world in manufacturing industry. In fact, this process of technological change takes place with innovations, but in this process there is a risk of destructive features for firms and employment opportunities that can not perform especially technological innovation in the places where the manufacturing industry like Gaziantep is the frontline. This may perhaps

lead firms to take their place of residence (ie, the redistribution of the space) into their agenda. As a result, as innovations or technological developments emerge in the context of evolutionist theory, it is important not to forget that traditional production areas like Gaziantep can get out of the way in time and that another city can take its place.

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The Visibility Of Masculine And Feminine Languages In Columns

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Abstract

With the beginning of the feminist movement, gender studies developed over the "woman phenomenon" and focused only on woman researches for many years. Gender and media relations investigated in the main axis of "women's representation in the media". The "representation of women in media texts" tried to be problematized in the perspective of content analysis, discourse analysis and semiology and over these representation forms, "the image of women in patriarchal society" tried to be revealed. In recent years, as the stereotyped roles attached to man and woman underwent a change, the concept of gender has begun to be examined in different dimensions. Researches about media professionals show the existence of a male dominated media structure is still out there. As of March 2014, according to bianet.org and based on mastheads, women journalists were represented by 19% whereas men 81% in Turkish newspapers. Therefore, the news language still regenerates sexist representations as it carries masculine characteristics. The columns, that the agenda is interpreted from different angles and presented to the readers, are accepted as an important and effective content of the newspapers. Columnists examine the agenda, propose solutions to problems and present their ideas in a specific narrative and linguistic style of their own. This study studies how male and female stereotypes attributed to man and woman in social life are represented by columnists. A specialized corpus, named "TS Column Corpus" was built by 9982 columns harvested from online versions of Turkish Internet Newspapers between 2014 and 2015. The data studied over the frequency of word choices by male and female columnists and analyzed by using corpus linguistics, content and discourse analysis methods, to figure out the reflections of masculine and feminine features in the texts.

Keywords: Media, gender, stereotypes in corner post, corpus, content analysis, discourse analysis

Introduction

The person who exists in social life with language is able to reproduce the ideology and cross over allows the transfer of culture from generation to generation. The media is definitely an important tools used in the communication via language. There are many studies about media. This research focuses on the language used in the media especially used by male and female columnists. The main topic is of this research is to find out how columnists, who are the leaders of opinion in society, use gender differences in their columns. In the first section, feminist approach and theoretical information about the media is given. In the application section, using the corpus build, whose details will be given below, used to examine the data by the corpus linguistics, discourse and content analysis methods.

Sex and Gender

Sex is the term that is used to explain the features of biological, physiological, and genetic structure of a person. It mainly describes man and woman phenomenon based on these differences. In this regard, chromosome structure and genitals are the determiners of the sex as a biological being. However, "gender" imposes different roles and social responsibility to men and women, which differs according to cultural, geographic, and social structures. Gender, which is rebuilt by the society according to its cultural structure, determines perceptions of sex in that culture. In other words, gender refers to the

socially constructed characteristics of women and men – such as norms, roles and relationships of and between groups of women and men. It varies from society to society and can be changed. While most people are born either male or female, they are taught to behave appropriate according to norms – including how they should interact with others of the same or opposite sex within households, communities and work places.

According to Joan Scott, gender is the founding element of social relations based on discernible differences between sexes and gender is the main way to make power relations clear. Gender is the main field, which directly expresses power, thus perception shapes concrete and symbolic organization of social life and perception. The sexual differences between bodies used to legitimize a number of social relations, which are unrelated with sex. Conceptual languages put forward differentiation for signification, and sexual difference is the valid way of showing differentiation (Scott: 2007, p; 38). All phenomenons on the basis of socialization are constantly being rebuilt in a way that defines, affirms, or criticizes political power. Simone de Beauvoir emphasizes the social structuring rather than the biological structure of the sex with the expression of "one is not born as a woman, but rather becomes, a woman" in her book "Second Sex"(De Beauvoir: 2010). People's gender-specific behaviors are shaped by how they are raised. The community they live in determines the gender-based behavior and attitudes of people in their homes, school, work, and social life. According to Harding gender is a natural consequence of the gender difference or is an analytical classification of individuals, in which they organize their social activities, rather than a simple social variable attributed to culturally different forms of culture (van Zoonen: 1997). According to Connell, gender is a concept associated with social structures and relationships outside of individual characteristics. Therefore, gender is also a feature of collectivities, institutions and historical processes (Connell: 1998, p.190).

Scott describes gender as a political arena and emphasizes that gender is a perceptual lens in which the meanings of masculine / feminine concepts were taught.

Women can be compassionate, patient, affectionate, gentle, weak, in need of protection, passive, emotional and so on, not only because of their physical characteristics. In addition, being logical, strong, offensive, warrior and vulgar are not innate for men. All these adjectives are concepts, which are formed by the social structure of the individual and are constructed in the social process. The main reason of women's discrimination in society is based on gender rather than biological differences. Gender is an extremely important concept in terms of feminism and it is a discussion field that is used in almost all feminist studies until the present day.

Waves of Feminism

Feminism is an ideology focused on "woman" as the word itself is derived from the word feminine. It is built on the fight of equality at political, social, economic and legal fields. Some have sought to locate the roots of feminism in ancient Greece with Sappho (570 BC), the medieval world with Hildegard of Bingen (d. 1179) or Christine de Pizan (d. 1434). Certainly Olympe de Gouges (d. 1791), Mary Wollstonecraft (d. 1797) and Jane Austen (d. 1817) are foremothers of the modern women's movement. All these women advocated for the dignity, intelligence, and basic human potential of the female sex. However, it was not until the late nineteenth century that the efforts for women's equal rights coalesced into a clearly identifiable and self-conscious movement rather than a series of movement (Rampton Marta, 2015).

Wollstonecraft is regarded as the pioneer of liberal feminism as she defended equality on the basis of education right. In her book 'A Vindication of the Rights of Woman', which is accepted as the first book written on feminist theory, Mary Wollstonecraft argued that the government should give the same education right for women as they gave to men, because women is also a part of the public life.

In 1869, John Stuart Mill published his book "The Subjection of Women". In this book Mill says "a sex dominating the other is not a right and is one of the biggest obstacles on developing humanity." With this statement, he became mainstay of egalitarianism discourse of liberal feminist theory.

Feminist engagement with the discipline of history has a long, rich and important pedigree. The nineteenth-century awakening, twentieth-century suffrage renewal, and the second-wave women's liberation movement in the 1970s. (Liddington, 2001). By late 1990's, the feminist actions are called as the third wave of feminism.

The First Wave of Feminism

The first wave of feminism took place in the late nineteenth and early twentieth centuries, emerging out of an environment of urban industrialism, and liberal and socialist politics. The goal of this wave was to open up opportunities for women, with a focus on suffrage. Liberal feminism is the first type of feminism and therefore referred as the first wave of feminism.

Women who are particularly excluded from public sphere in social life could not take part in the definition of citizenship. For this reason, first wave feminists generally tried to have equal rights with men in legal, civil and political terms as well as having opportunity for education. The most important feature of liberal feminists was their thinking towards the family institution.

However, liberal feminists argue that an equal division of labor for women and men in the family institution should be made, with the influence of American culture. One of the reasons focusing to women's education is that they can be more successful in fulfilling housework and motherhood responsibilities. They are not against the role of being a parent or a mother in this period. Their struggle is the masculine domination in a masculine dominated public.

The second wave of feminism

The second wave began in the 1960s and continued to the 1990s. While the first wave feminists have struggled to equalize women rights with men in legal and political space, second wave feminists, in addition to inquiry traditional feminine roles, have also tried to demonstrate that racial, class and gender discrimination in the social area. One of the main motivation of the second wave is certainly the book "Second Sex", written by Simone de Beauvoir. From her book, "one is not born as a woman, but rather becomes, a woman" became the motto of the era. This became the first publicly argument of the gender. The book hands on knowledge and experiences about how gender roles are shaped, reconstructed and taught by family and community after birth.

This wave unfolded in the context of the anti-war and civil rights movements and the growing self-consciousness of a variety of minority groups around the world. The New Left was on the rise and the voice of the second wave was increasing radical (Rampton Marta, 2015).

The motto "the personal is political" is clipped from the words of antiracist activist Anne Braden¹ and adopted by civil rights activists and New Left at first, then by feminist activists. According to Becky, the idea behind the slogan is that, many things that are thought to be deemed to the history are actually deeply political issues, such as abortion, unemployment, birth, death, illness etc. (Becky, 2002, p. 347).

The appearance of women in the international arena has took many years and many struggles. In historical order, the most important studies and initiatives are:

1947: 'The Commission on the Status of Women' was established within the scope of UN.

1975: 'First World Conference on Women' held in Mexico City. UN introduced international standards and sanctions to ensure equality between men and women.

1979: Convention on the Elimination of All Forms of Discrimination Against Women (CEDAW) was accepted. With this convention, discrimination against women has been defined in a broader perspective and national and international targets have been taken in order to take precautions to eliminate all forms and discrimination².

1993: The World Conference on Human Rights held in Vienna and it was a turning point for women rights. "The Declaration on the Elimination of Violence Against Women" was accepted at the Vienna conference and it is the first human rights document specifically addressing violence against women³.

¹ The personal is political and the political is personal.

² "For the purposes of the present Convention, the term discrimination against women shall mean any distinction, exclusion or restriction made on the basis of sex which has the effect or purpose of impairing or nullifying the recognition, enjoyment or exercise by women, irrespective of their marital status, on a basis of equality of men and women, of human rights and fundamental freedoms in the political, economic, social, cultural, civil or any other field." (UN, CEDAW, 1979)

³ "The human rights of women and of the girl-child are an inalienable, integral and indivisible part of universal human rights. The full and equal participation of women in political, civil, economic, social and cultural life, at the national, regional and international levels, and the eradication of all forms of discrimination on grounds of sex are priority objectives of the international community. Gender-based violence

1995: Beijing Platform. The most important articles of the convention are articles 234 and 235 that refer to two main strategic objectives. First is to increase the participation and access of women to the expression and decision-making in media and new technologies. Second is to promote a balanced and non-stereotype portrait of women in media.

Recommendations to NGOs include establishing media monitoring groups, effective use of information technology, networking and organizing joint programs between NGOs, women's organizations and professional media associations, and advocating equality between women and men, especially women's human rights (Turkish Journalists Association, 2016).

The Third Wave of Feminism

Third wave of feminism or "post feminism" arise in early 1990's, when a group of young people, calling themselves as the third wave feminists, people gathered to protest a high court in the United States. The first wave defined itself as the continuation of the first. However, the third wave existed upon a completely different struggle area. The first two waves focused on achieving equality between sexes. Because the risk of sexual harassment has no relevance with race or economic status of the victim. But, by the influence of the postmodern movement, the third wave emphasized those differences such as sexual preference, race, economic status etc.

Postmodernism examines language with a critical approach. Language is a completely transparent tool in the modernist point of view. According to postmodernism, language creates facts.

According to Lyotard, knowledge, "rather than being objective, is the combination of assumptions regulated by language rules" (Lyotard: 1992). Postmodern feminism examined the language in order to reveal the male dominant elements that it contains, by using various methods in the scope of grammar, semantic, semiotics and morphology.

3. Media as a Language Transmitter

Mass media with the ability to transfer verbal, written, printed, visual and audible texts and images of all kinds to large masses has been differentiated and enriched in terms of form and content with the advancement of technology in recent years. By the possibilities provided by Internet, every kind of content could be transmit in various forms and people can interact with each other. The media conveys all kinds of messages to the masses with different socio-demographic characteristics, after altering it according to their policy and formatting it according to their publishing system (Mora, 2008, page 6).

The first studies about gender and media focused on how women represented in media. The studies in Turkey are also according to this path. These studies put forward that women represented less than men in media and the traditional roles of women emphasized. Women described as mother, wife and violence victim. Another field of study is the employment of women in media. According to these studies, women still face "glass ceiling syndrome" and can not reach the positions that they deserve in the male dominated media.

All those appear at the news production process. The sex becomes an identifier for hard (politics, economy, etc.) and soft (health, life, travel etc.) news. The hard news produced by males and soft news produced by females.

4. Columnist Authorship

One of the basic principles of journalism is the distinction between news and commentary. News should be objective. However, the columns contain personal ideas. The columnists defend the ideologies that they advocate about the events that make up the agenda within the ideology they belong to (Yağcıoğlu, 2002, p.124). These ideas vary considerably in

and all forms of sexual harassment and exploitation, including those resulting from cultural prejudice and international trafficking, are incompatible with the dignity and worth of the human person, and must be eliminated. This can be achieved by legal measures and through national action and international cooperation in such fields as economic and social development, education, safe maternity and health care, and social support. The human rights of women should form an integral part of the United Nations human rights activities, including the promotion of all human rights instruments relating to women. The World Conference on Human Rights urges Governments, institutions, intergovernmental and non-governmental organizations to intensify their efforts for the protection and promotion of human rights of women and the girl-child" (UN, 1993).

terms of ideology, depending on the type of newspaper and the point of view (Van Dijk, 1998, p. 21). Interpretations are subjective critical texts containing general thoughts or everyday events and cannot be criticized (Tokgöz, 2000, p. 40).

Compared to printed versions of the newspapers, the Internet allowed much space for columnist. This leads an increase both in the number of columnist writing on a periodic basis and the diversity of the topics. Columns have influence for shaping the public opinion. Besides, the possibility of sharing a column with a single click in social media made a dramatic contribution to the number of reads. The ideas put forth by the columnist in different fields, from sport to politics and economics to foreign politics, are so effective that it can draw controversy boundaries of that field.

5. Masculine and Feminine Language

The shaping and mutual sharing of people's thoughts in the mental processes and the emergence of new ideas and ideologies through these exchanges are possible through linguistic communication. This leads to socialization and language interaction. "Language" is a tool that allows individuals to communicate emotions, thoughts and knowledge, and to communicate with each other. The language provides communication between people is a precursor to social life, and the intermediary and carrier of knowledge, skill and value (Sencer: 1982, p. 3-5). According to Erol, if the cultural structure of a society is need to be understood, the language should be observed as it contains many clues about the culture (Erol, 2014, p. 211).

The languages developed by different groups and sections within the social structure differ from each other. However, the dominant language is the language of the authority. Social structures understood by solving this dominant language and discourse. The existence of sexist discourse that humiliates women and woman body are evidence of the existence of gender relations in the culture dominated by men (Hodge, 1988, p. 5).

The theory of "domination", which discussed by the second wave of feminism, has focused on the fundamental differences between masculine and feminine language. The pioneer of feminist language studies is Robin Lakoff's "Language and the Women's Place" (1975), that marks the debate on gender and language.

6. Method and Importance of the Study

This study questions masculine and feminine reflections in the language in regard of gender. The data used is base on the columns in Turkish media, which plays a crucial role on affecting society in regard of reproduction of ideology.

TS Columns Corpus¹ is composed of 25.915 columns collected from online newspapers (Cumhuriyet, Radikal, T24) and various authors of them. The data collected by using Scrapy, a web crawler coded with Python programming language. The number of columns from female authors is 12.958 and male authors is 12.957. The data covers 12 years period from 2006 to 2017 and the corpus contains 18.164.832 tokens.

The size of the data and the number of authors involved in the corpus puts the study to a different place form the previous studies for Turkish. Among the data crawled, we made a selection. The accuracy of the crawled webpage is the first criteria. This also let us to limit the sources with three websites. We also discard many columns in order to equalize the distribution among female and male authors. For each year, the number of columns added to corpus database is equal.

- Three sub-corpora was created for this study.
- A corpus of female authors covering 2014 and 2015
- A corpus of male authors covering 2014 and 2015
- A corpus of both male and female authors covering 2014 and 2015

The two sub-corpora contain 4.991 columns and the third contains 9.982 columns in total. The female sub-corpus contains 4.042.952 and male sub-corpus contains 3.483.699 words.

The distribution of the data via sources is as follows:

¹ The corpus is available at <https://ts Corpus.com/corpora/ts-columns-corpus/>

Table 1. The distribution of subcorpora according to sources and year.

| | Cumhuriyet | Radikal | T24 | Total |
|--------------------|------------|---------|------|-------|
| Female (2014-2015) | 2706 | 1722 | 1113 | 4991 |
| Male (2014-2015) | 2744 | 1384 | 863 | 4991 |

The corpus stands on CQPWeb and CWB. We take advantage of CQPWeb for running queries with morphological annotation, part-of-speech tags and creating frequency and collocation list for each corpus.

The corpus also allows categorization of results, which we used for discourse and semantic analysis of the results manually.

7. Findings

The corpus interface allows us to generate frequency lists for each sub-corpus and compare them. We used this function in order to figure out the words with significantly different frequencies. The comparison of these “positive” and “negative” lists of the words put forward that female authors has more columns about life, travel, children, health, horoscope and art. As the same lists generated for male authors, politics, economy and sport observed as the main plot of the columns. We used 7 different keywords peculiar to these categories. Table X represents the results we gained.

Table 2. The distribution of the words.

| Lemma | Female | Male |
|---------------------------|--------|------|
| Moda (fashion) | 363 | 107 |
| Spor (sports) | 312 | 487 |
| Bebek (baby) | 566 | 185 |
| Çocuk (child) | 6120 | 2164 |
| Otel (otel) | 598 | 248 |
| Aşk (love) | 1167 | 447 |
| Engelli (disabled) | 157 | 39 |
| İktidar (political power) | 3776 | 4698 |
| Kalori (calorie) | 124 | 2 |

The words *child*, *baby*, *love* and *disabled* are referring to the gender imputed to the women such as mother-ship and sensitivity, which are clearly more frequent at female authors columns. The frequency of *otel* and *kalori* is an indicator that female authors write more under the health and travel domains.

We should underline that we used lemma query option served by the corpus. A lemma query is generated by giving the root word in curly brackets. For instance, the query key {burun}¹ will fetch every occurrences of the given word, even there is a sound change (drop, assimilation etc.) observed. This means. Every occurrence in any appearance of the word is calculated.

These results we gained from our corpus is almost identical with the measurements published by Global Media Monitoring Project (GMMP) at five years intervals, given in the table below.

Table 3. The distribution of % Stories Reported By Major Topic. Newspaper, radio, television (GMMP 2015: p. 25)

| % Stories Reported By Major Topic. Newspaper, radio, television | 2015 Female % | 2015 Male % |
|-----------------------------------------------------------------|---------------|-------------|
| Social & Legal | 39 | 61 |
| Crime & Violence | 33 | 67 |
| Science & Health | 50 | 50 |
| Economy | 39 | 61 |
| Politics & Government | 31 | 69 |

¹ This key will fetch *burun*, *burnum*, *burnunda*, *burnumdan* etc.

The word *adam* (man) refers to both man and mankind (human being). It is also used to talk about women as a human being, which shows the discrimination in language in the context of gender.

With the query keys “* adamı” and “* kadını”, the results gained from the corpus puts forward the discrimination over the social representation of genders.

Bilim adamı (50) (*scientist*), devlet adamı (49) (*statesman*), siyaset adamı (31) (*politician*), din adamı (42) (*man of the cloth*) and iş adamı (27) (*businessman*) are phrases significantly frequent for man whereas ev kadını (14) (*housewife*) and Türk kadını (12) (*Turkish woman*) are on the other side. Both, bilim kadını (*scientist*) and iş kadını (*businesswoman*) observed nine times only.

However, as we take advantage of the categorization feature of the corpus and categorize hits, we found that among 50 observation of the phrase “bilim adamı”, 20 of them actually cover both men and woman. This is an indication of the appearance of masculine language used in columns.

The usage of the word “bayan” (lady/dame) instead of “kadın” (woman) in Turkish is the most criticized usage by gender and feminist studies. Because the word “bayan” does not only refer to sex but it is also for addressing. Therefore, when it is about sex, the word “woman” should be preferred. When the way that the columnists used the word “bayan” is questioned, it is observed that this word occurred 138 times (by author female 65, male 73) and the word “kadın” is observed 9950 times (by author female 7767, male 2183).

Yet, the sample sentences below put forward that the criticized usage is still out there.

1.a ...bayanlar voleybol takımı (Women Volleyball Team)

1.b ...bayanlar türbanlarını çıkarıp bikini giyecek. (Ladies will take off their hijab and wear bikinis)

The samples 1.a and 1.b are samples for negative and criticized usage of this word

We also come across that a female author used this word ironically.

2.a ...çünkü kızlar (*bayanlar*) zayıf ve muhtaç yaratıklardır.

The corpus we used has part-of-speech tagging and morphological annotations. This allowed us to generate queries upon morphological fixes. We used two personal endings, first singular and first plural markers to generate query keys.

For each marker, we first run a query questioning the occurrences of these markers and check the distribution among female and male authors. The query key $[Morph=".*\+A1sgl.*" \& PosTag="Verb"]^1$ returned 107,150 matches in 18,470 different texts in the whole corpus.. In our sub-corpus, the same query returned 42.209 matches in 7.418 texts where 16.317 are by male and 25.892 are by female authors.

The query key $[Morph=".*\+A1pl.*" \& PosTag="Verb"]^2$ returned 78.711 matches in 20.002 different texts. In our subcorpus, the same query returned 33.121 matches in 7.991 texts where 14.870 are by male and 18.251 are by female authors.

Then we observed 4 different verbs, sevmek (to love), korkmak (to afraid), kızmak (to be angry) and ağlamak (to cry) with these markers.

These differences of the occurrences for both first singular and first plural endings for these verbs are significant. Female authors used these words at least two times more with first person singular.

Table 4. Queries for first person singular marker

| Verb | Query Key | Female | Male |
|---------|-----------------------------------------|--------|------|
| Sevmek | $[Morph=".*\+A1sgl.*" \& Lemma="sev"]$ | 272 | 103 |
| korkmak | $[Morph=".*\+A1sgl.*" \& Lemma="kork"]$ | 146 | 40 |

¹ This query key uses CQP Syntax. Morph is the short code for morphological tagging and PosTag is for part-of-speech tagging. The query looks for he words that are tagged as a verb and has first person singular marker in.

² This query key uses CQP Syntax. The query looks for he words that are tagged as a verb and has first person plural marker in.

| | | | |
|---------|--------------------------------------|----|----|
| kızmak | [Morph=".*\+A1sgl.*" & Lemma="kız"] | 34 | 6 |
| ağlamak | [Morph=".*\+A1sgl.*" & Lemma="ağla"] | 46 | 12 |

Table 5. Queries for first person plural marker

| Verb | Query Key | Female | Male |
|---------|-------------------------------------|--------|------|
| Sevmek | [Morph=".*\+A1pl.*" & Lemma="sev"] | 85 | 45 |
| korkmak | [Morph=".*\+A1pl.*" & Lemma="kork"] | 96 | 24 |
| kızmak | [Morph=".*\+A1pl.*" & Lemma="kız"] | 2 | 9 |
| ağlamak | [Morph=".*\+A1pl.*" & Lemma="ağla"] | 22 | 11 |

It is obvious that, female authors used these verbs by involving themselves to the context more than male authors do. This results shows that female authors are more relax with representing their feelings than males.

Lakoff (1973) refers that certainty is feature of masculine language. Besides, he makes a comparison among masculine and feminine language and claims woman uses uncertain utterances and probability more than men. We checked his ideas by running queries that using the morphological features that add certainty to a verb in Turkish; copula and necessity markers

Table 6. Queries for copula and necessity markers

| Query Key | Sample | Female | Male |
|---------------------------------------|-----------------------------------------------------------|--------|-------|
| [Morph=".*\+Copl.*" & PosTag="Verb"] | olacaktır (it will be) demektir (it means) | 7762 | 11335 |
| [Morph=".*\+Neces.*" & PosTag="Verb"] | olmalıdır (it must be) almalıdır (he/she must take it) | 1780 | 2014 |
| TOTAL | | 9542 | 13349 |

The table above (table 6) is in harmony with his ideas. Certainty observed more in masculine language.

However, the tables below show that men use possibility more than women. But we should keep in mind that Lakoff's study stands on spoken language, not written.

Table 7. Queries for possibility

| Query Key | Sample | Female | Male |
|--------------------------------------|-------------------------------------------------------|--------|------|
| [Morph=".*\+Able.*" & PosTag="Verb"] | olabilir (it may be) yapabilir (he/she can/may do) | 1780 | 2014 |

The adverbs *belki* (maybe) or *galiba* (I guess), which are referring possibility, are used more by male authors compared to females but again there is not a clear gap.

Table 8. Queries for adverbs referring possibility

| Query Key | Female | Male |
|---------------------|--------|------|
| galiba (I guess) | 228 | 272 |
| belki (maybe) | 1894 | 2036 |
| herhalde (probably) | 281 | 500 |
| sanırım (I think) | 267 | 286 |
| muhtemelen | 233 | 261 |
| TOTAL | 2903 | 3355 |

Another interesting point is that, women try to prove their ideas by giving examples. In order to test this idea we run queries to find out the frequency of the words *mesela* (for example), *örneğin* (for instance) and *misal* (exemplar). The table below (table 9) shows the occurrences.

Table 9. Queries for *mesela*, *örneğin* and *misal* keywords

| Query Key | Female | Male |
|----------------|--------|------|
| <i>mesela</i> | 919 | 915 |
| <i>örneğin</i> | 1113 | 823 |
| <i>misal</i> | 307 | 125 |
| TOTAL | 2339 | 1863 |

Results

The language used in the columns represents the authors and the newspaper ideology. According to the findings gained by the researches, the language use of the columnists in the scope of gender analyzed by corpus linguistics methods and the results listed below.

The very first result of this study is the corpus we build. This corpus allows running queries, which is not possible to run manually, by means of the size of the data and the annotation and tagging it serves. Furthermore, despite other studies this dataset and the corpus is publicly and freely available to the scholars and researchers.

Most of the academic studies in this field in Turkey focused on the representation of women in Turkish media. The distinctive point of this study is to run a research where the women are also the producer of the language or in other words the subject of the data.

We stand on the columns as our dataset, which are reproducing the ideology.

We run our queries in the perspective of the gender.

We generated frequency lists for male and female authors. Using the positive and negative words and frequencies we found the diversifying categories. The gender roles generally attributed to women such as mother ship, sensitivity, and being emotional appeared in columns. Likewise, the keywords *iktidar* (political power) and *spor* (sports) are observed more frequent in the columns of male authors as expected. This means, content and news produced by media are still transmitting the traditional gender roles and stereo-types.

A criticized usage in gender studies is the usage of the word *adam* (man) as mentioned above. The occurrences of the "*bilim adamı*"¹ is 65 times by female and 48 times by male authors. However, the phrase "*bilim insanı*", which represents gender equality, used 147 times by female and 104 times by male authors. As columns is a language transmitter, we may say that, this usage contributes to the awareness to the gender equality.

Samples taken from the corpus show that the stereotype word choices are still active in the authors mind.

The following sample taken from the corpus from a male author

"...*Türkiye'nin en önemli iş insanlarını, devlet adamlarını ve akademisyenlerini...*

"...*The most important business people, statemen and academics in Turkey...*"

And the sample below taken from female author.

"...*siyasetçi, entellektüel ve iş insanlarını ağırlayan bir turizmci.*"

"...*the tourism professional who hosts politicians, intellectuals and business people...*"

¹ In Turkish, *bilim insanı* stands for both men and women dealing with science. But, the word *adam* refers to a sex also. Therefore, feminist activists insist on the usage of *bilim insanı*, which also covers both men and women but addressing with the word *insan* (human being).

Females are more sensitive at word choices than males. Even, the male author used *iş insanı* instead of *iş adamı* he is still not aware that the phrase *devlet adamı* is in the same category that is criticized. Many more samples can be reached from the corpus.

This is the first corpus released in Turkish that fetches data from columns and serves the data with part-of-speech tags, morphological annotation and search criteria. This feature allowed us to run queries using morphological units with specific verbs. We believe, with this corpus, we served a tool and a dataset that will help to make different studies.

And finally, despite to all those studies, activist movements and campaigns trying to trigger the awareness about gender equality, the idealized media is still out of reach.

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Influence of “third age” person’s education on cognitive aging and psychological well-being

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Abstract.

Influence of standard regular education of elderly adults (aged 55+) on psychological well being and cognitive aging is studied. The hypothesis that education can slow-down the process of cognitive aging has been verified. By the example of longitudinal study, the dynamics of worry domains, their content as well as cognitive functioning improvement have been studied.

Keywords: elderly adults, education, psychological well-being, cognitive aging, cognitive functioning.

Introduction

According to National Institute on Aging research over the twentieth century there has been both a doubling in average human longevity and the near prospect of our planet having more seniors than young children. The first decade of the twenty-first century has been marked by a dramatic interest and growing concern over an unprecedented human transformation: the global aging of human populations.

Aging is a fundamental biological process that is inseparably linked with the genetic makeup and metabolic workings of the organism and at the same time is sensitive to environmental influences (Strehler, 1986; Yu & Yang, 1996 Arking, 1991). In literature words “old age” and “aging” are often used as close synonyms to describe conditions and processes that can be individual or societal. However, unlike man, societies can become younger, man ages over his life course.

Transformations of the aging body are obvious: face becomes wrinkled, the hairs turn white, step become heavy and body shape becomes fuzzy. Man becomes ailing, his character changes. Even ancient philosophers noticed significant age transformations. More than two thousand years ago in his work “An essay on old age” Cicero wrote: “When I consider the several causes which are usually supposed to constitute the infelicity of old age, they may be reduced, I think, under four general articles: it incapacitates a man for acting in the affairs of the world; it produces great infirmities of body; it disqualifies him for the enjoyment of the sensual gratifications; and it brings him within the immediate verge of death.” (Cicero). In Plato’s Republic, it is also noted that most old people complain about their old age, but he puts their troubles down not to old age but to their character (Plato).

Thus, external obvious signs of aging are described and have been studied over centuries. Aging of cognitive functions is not so obvious. Even Aesculapius and his associates did not find the brain and higher cognitive functions sufficiently important to be included in the list of geriatric troubles (Craik, 2000). Cognitive aging become an issue of researches in the past three decades of the XX-th century. A number of theoretical notions, theories, researches and even new research topics have been suggested. The results of researches have been periodically surveyed and summarized but the results sometimes are partial and contradictory. Although there are ample studies confirming that different kinds of occupational activity improved successful aging and psychological well-being, less is known about the influence of regular university education of the elderly on cognitive aging. The goals of the current study were twofold. The first one was to examine the role of elderly adults’ education in cognitive aging. The second goal was to investigate the influence of education on person’s well-being.

The hypothesis that standard regular education of elderly adults (aged 55+) can slow-down the process of cognitive aging has been tested. By the example of longitudinal study (2.5 years), the dynamics of cognitive functioning as well as subjective well-being have been studied.

Method

Participants. Older adults aged (N=21) aged 51-63 ($M=57.6$) took part in the research. All respondents were students of special educational program "Practical psychology". Duration of the program was 2.5 years. The program started in October 2014 and lasted till December 2016. All participants were on a pension and none of them worked. All students had first higher education in economy, engineering, education etc. None of them had psychological education and this was a key moment for the program. Thus, psychology was a new sphere for these adults.

Measures

Battery of psychological techniques was used. The *Worry Domains Questionnaire* (WDQ) (Tallis, Eysenck, Mathews, 1992) was used to study worry across five domains in everyday activity: relationships, lack of confidence, aimless future, work, and financial issues. WDQ consists of 25 items with five point Likert scale. The Questionnaire was adapted for Russian-speaking sample; its psychometric properties were verified, its factorial structure was confirmed.

The *Metacognitions Questionnaire* (MCQ-30) (Wells, Cartwright-Hatton, 2004) was used to study the range of metacognitive processes and metacognitive beliefs about worry. The questionnaire consists of five subscales, three of which assess beliefs, including:

Positive beliefs about worry (*Worrying helps me cope*);

Negative beliefs about worry (*My worrying is dangerous for me*);

Cognitive confidence (*I do not trust my memory*);

Need to control thoughts (*I should be in control of my thoughts all of the time*);

Cognitive self-consciousness (*I pay close attention to the way my mind works*).

Four-point Likert response scale: 1 (do not agree); 2 (agree slightly); 3 (agree moderately); 4 (agree very much) is used. Russian version of the Questionnaire demonstrates good psychometric properties (satisfactory internal consistency and convergent validity, and had a good test-retest reliability). Confirmatory factor analysis affirmed its five-factor solution.

Different procedures were used for cognitive abilities measurement: perceptual style and analytical ability, cognitive flexibility, attention, memory, reasoning etc. The Embedded Figures Test (EFT) was used to measure perceptual style and analytical ability (Witkin, 1969). Cognitive flexibility was measured by means of Stroop Color and Word Test. For memory assessment the Spot the Difference for Cognitive Decline (SDCD) test was used. The test was elaborated by a group of Japanese scientists and proved its accuracy for the identification of cognitive impairment in older adults (Shu Nishiguchi, 2014). Bourdon and Munsterberg tests were used for attention assessment and Kraepelin's calculating test was used for mental activity evaluation.

Procedure

Questionnaires and cognitive tasks were presented to the participants at the beginning and at the end of each term. To exclude the effect of learning the tasks were modified.

Results

The results of the first testing in October 2014 are presented below. For items of The *Worry Domains Questionnaire* summary statistics are presented in Table 1 and Fig. 1.

Table 1

Summary Statistics for Worry Domains Questionnaire scales

| | Average | Standard deviation |
|---------------------------|---------|--------------------|
| <i>Relationships</i> | 14.59 | 4.14 |
| <i>Lack of confidence</i> | 15.67 | 4.27 |
| <i>Aimless future</i> | 14.32 | 3.75 |
| <i>Work</i> | 11.08 | 3,75 |
| <i>Financial</i> | 9.45 | 4.37 |
| <i>Total worry</i> | 65.13 | 9.46 |

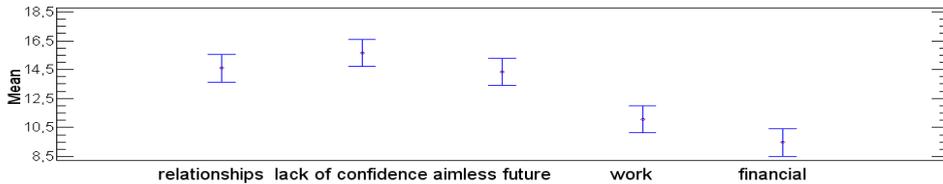


Fig. 1. Comparative analysis of subscales' means at the beginning of the education

The results show that our respondents are not confident in their abilities, they consider their future as aimless and they are not sure in their relations. Financial and work issues are not so important for them. The total worry score above 65 indicates that people have problems and even are chronic worries (Leahy, 2005). So we can conclude that upon the whole they worry much enough about their life and therefore, they are rather anxious because worry is considered as the principle component of anxiety disorders and depression (Eysenck, 1992). It is impossible to image a person with high level of worry and with high level of well-being. Worry is a major detractor from wellbeing.

The second stage of the research was conducted at the end of their first term. The same tests' battery was given. The results of comparative analysis indicate that the total level of worry decrease as well as worries in different domains. The results of comparative analysis are presented in at Fig. 2.

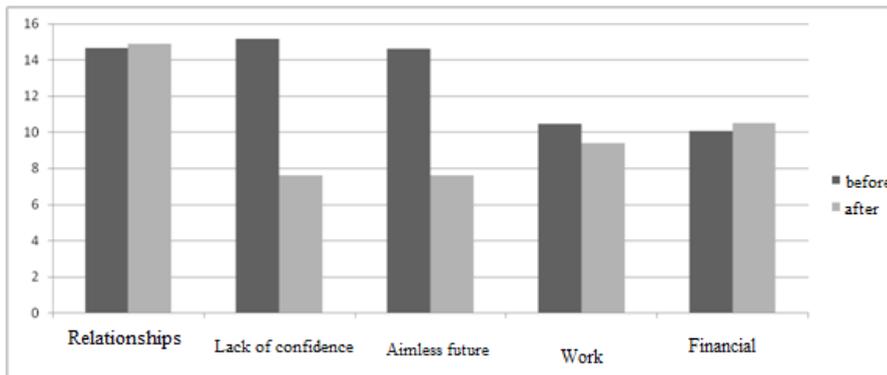


Fig. 2. Comparative analysis of worry domains at the beginning and the end of the first term

Significant decrease in the *Lack of confidence* and *Aimless future* worry domains was revealed. The above changes are statistically significant ($W=8.14$ u 6.27 respectively; $p\text{-value} \leq 0.01$). Worry about *relationships* stayed unchangeable and even increased. This result puzzled researchers, but it was clarified by the participants' interviews. It was revealed that not all family members welcomed changes of their mothers' and fathers' (grand mothers and grand fathers for some members) status. Crisis situations connected with limited possibility to fulfill customary functions appeared in some families. It turned out that grandmother should go to the library (to write essay, for example) instead of picking up the child from the school or leading him to hobby/sport group. The necessity to change habitual day order not only by elderly students but

by their family members as well resulted in some tension in extended families and affected the measured index. But later on in the majority of cases this problem was solved.

In toto index of total worry decreased significantly (Fig. 3).

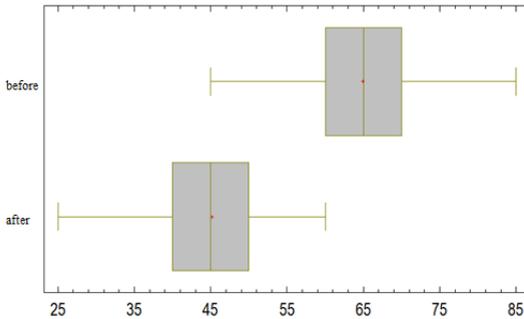


Fig. 3. Comparative analysis of total worry indices
at the beginning of education and after the first term
($W = -4450.5$; $P\text{-value} = 0.0$)

By means of *Metacognitions Questionnaire* causes of this worry were revealed. The results of the first profile are presented at Fig. 4.

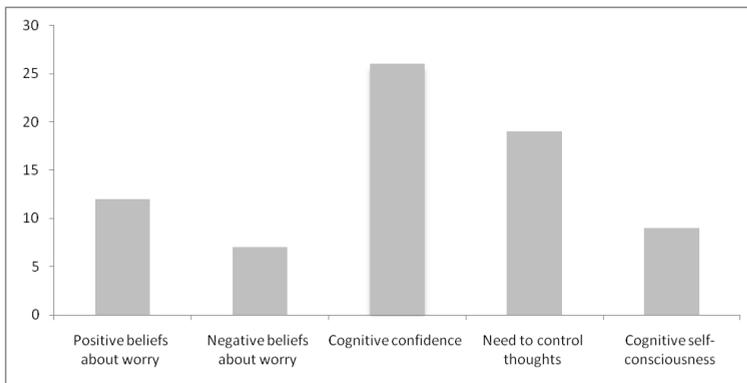


Fig. 4. Histogram of causes of worry

Cognitive incompetence is the main sphere of worry for participants. They acknowledge the necessity to control their thoughts constantly as well. Other spheres are no so important. Thus, at the beginning of education, elderly students worry much and the main sphere was the sphere of cognitive functioning.

In five months of education indices of cognitive incompetence decreased significantly. Indices of cognitive self-consciousness and need to control thoughts increased. At Fig. 5 the results of comparative analysis of causes of worry are presented.

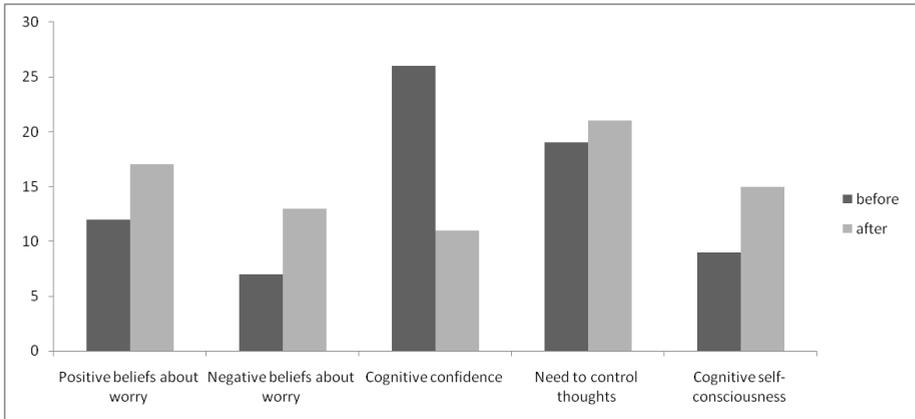


Fig. 5. Histogram of causes of worry

The most significant result of this comparison indicates striking decrease in cognitive confidence. Our participants became surer in their cognitive abilities after a five month of regular learning. The most surprising thing is that their real cognitive functioning did not change. Their cognitive abilities, cognitive flexibility, attention and memory remained just the same. No significant differences were revealed in the tasks' indices.

Changes of psychological status of participants continued during the first year of their education and then remained stable until their graduation.

The dynamics of worry domains indices during the first year of learning is presented at Fig. 6.

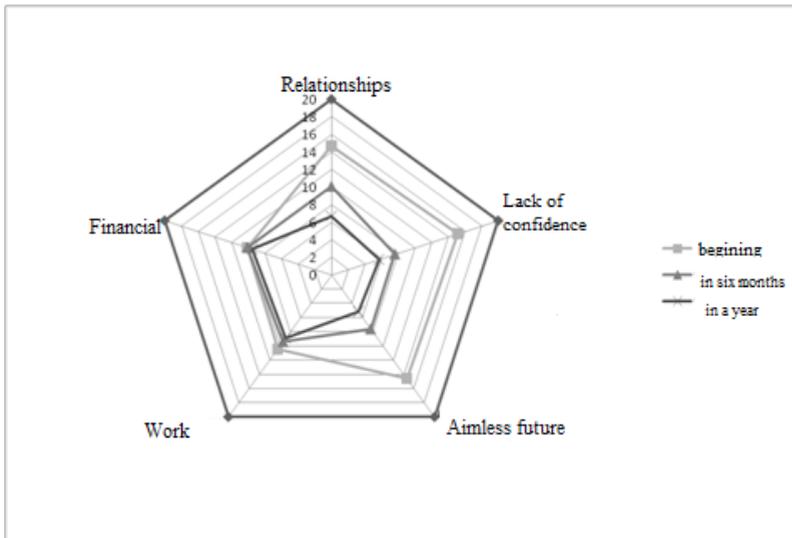


Fig. 6. Dynamics of worry domains

All changes presented at fig. 6 were statistically significant and were confirmed by the Kruskal-Wallis test with the significance level $p \leq 0.01$.

As the result of worry decreasing the participants become less anxious, less depressive, improve their relationships, consider future not so aimless and become confident in their abilities especially in cognitive ones. So they feel themselves psychologically better and their subjective well being increased. No changes occurred in financial sphere; this sphere is a

perennial problem for the seniors. This fact was quite natural for 2014-2016 economic crises. But in consideration of modern socio-psychological situation this result can be considered as **positive** because no increases in these worry domains were marked. At the same time the increase in these worry domains were marked for population in toto according to sociological surveys (data of Levada-centre, 2016).

As for cognitive functioning, real improvement was recorded only by the end of the second term of learning. Multiple Range Tests were used to determine which means are significantly different from others. The some results are presented in Table 2.

Table 2/ Multiple Range Tests

| Contrast | Sig. | Difference | +/- Limits |
|-------------------------------------------|------|------------|------------|
| EET_before - EET_1st_term | | -0.27027 | 0.561114 |
| EET_before - EET_2_term | * | -2.24324 | 0.561114 |
| EET_1st_term - EET_2_term | * | -1.97297 | 0.561114 |
| flexibility_before - flexibility_1st_term | | -1.08108 | 5.1238 |
| flexibility_before - flexibility_2_term | * | 25.7568 | 5.1238 |
| flexibility_1st_term - flexibility_2_term | * | 26.8378 | 5.1238 |
| memory_before - memory_1st_term | | -0.162162 | 0.699107 |
| memory_before - memory_2_term | * | -1.62162 | 0.699107 |
| memory_1st_term - memory_2_term | * | -1.45946 | 0.699107 |

* denotes a statistically significant difference, $p \leq 0.01$

Students improve their cognitive abilities – the number of right answers in EET test increased significantly. They become more flexible – index of inferential decreased significantly. Their memory become more infallible – the number of correctly identified differences increased significantly. Indices of attention and mental activity increased as well.

Discussion

Obtained data confirm the hypothesis that regular education of elderly people can improve their subjective well-being. Increase in subjective well-being was registered after the first month in university though improvement in cognitive functioning became observable only after six months of learning. The results are presented at Fig. 7.

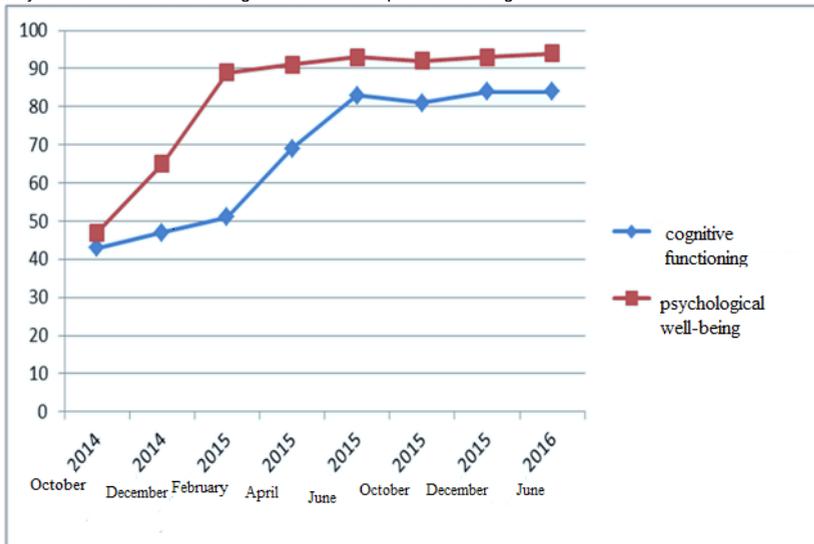


Fig. 7. Dynamics of integral indices of psychological well-being and cognitive functioning during education

The current data and analyses confirm the authors' hypothesis that regular education of elderly people can improve their psychological health and thereby improve person's subjective well-being. They select a new goal; organize their lives around the achievement of the goal. They had to visit lectures, read special literature, fulfill practical tasks, and conduct scientific researches – so they had to optimize their efforts toward their goal by using their own resource and asking for the help of others. Some researches consider the orchestration of this processes to be central in achieving adaptive mastery and continued lifelong development (Freund, etc., 2009, Matsumoto, 2011). Thus the results of the research reveal the possibilities of enhancement of life satisfaction among those whose age is 55+ through participation in regular education.

Conclusion

The results of the research reveal the possibilities of enhancement of life satisfaction among those whose age is 55+ through participation in regular education. Moreover, obtained results confirmed the hypothesis that regular education can improve cognitive functioning of the elders. It should be mentioned that significant changes in cognitive functioning became evident only after a year of regular education.

Thus, the research shows that person's well-being can be improved in a short-term educational program while if the objective of education is prevention of cognitive aging – education should be continuous.

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The choice of pseudoscientific therapies as an alternative to scientific medicine

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Abstract

During the last decades, there has been an increasing interest in the analysis of a potentially dangerous phenomenon for the public health: pseudoscience. It can be defined as the set of false knowledge that attempts to resemble science even though it is not. Nowadays there are many who opt for these therapies not scientifically endorsed to solve their health problems. This situation is increased for risk patients or chronic diseases, who come to this type of therapies as a last resort. In these cases, the choice between science and pseudoscience can become a matter of life or death. Through qualitative and quantitative research techniques, we analyze the reasons why patients choose pseudoscience instead of conventional and scientific medicine. The data obtained from this research reveal that in extreme situations patients value most the human contact with the therapist that the validity of the therapy itself. This factor, coupled with the precariousness of the health system, generates a dynamic in which pseudosciences gain ground over scientific medicine. According to the experts interviewed, this phenomenon is increasing and may represent a danger to public health. This research reveals the possible causes and consequences of this phenomenon from the point of view of more than 60 professionals of the Spanish scientific community and 30 patients who have used both disciplines. The results obtained indicate that this situation is intensified due to the inaction of the competent institutions and the lack of regulation.

Keywords: Pseudoscience, scientific medicine, scientific community, public health

Introduction

Nowadays, the era in which we live has been defined by many experts as a stage of absolute dominance of reason and technology. Two factors that substantially influence the development and evolution of our civilization. Manuel Castells, sociologist and economist, defined this period of the human history under the concept of Information Society. This conceit refers to an era characterized by a major diffusion of knowledge and, consequently, an improvement in the quality of life of the citizens (Castells, 1996). Paradoxically, there is a general perception among the experts that the more information society has, the more misinformed people are. In recent years, there has been a clear increase of theories, thoughts and ideologies which are based on falsehoods and can be considered potentially dangerous to public health: pseudosciences (Jensen & Hurley, 2012).

The definition of the pseudoscience phenomenon raises a lot of controversy because of the variety of areas between there falsely scientific ideas are manifested. History of science investigators consider that this phenomenon can take place in a wide range of sectors such as history, psychology, technology and medicine (Bunge, 2013; Hansoon, 1997; Shermer, 1997). In all these areas, there have been cases of pseudoscientific schools that generate unfounded knowledge. This is the case, for example, of psychoanalysis, astrology, alchemy or holocaust denial (Eaglestone, 2001; Bunge, 2013). Traditionally, *pseudo* (false) *science* (knowledge) has been conceived as a concept antagonistic to science. From the point of view of the positivist philosophical theory, the pseudosciences can be defined as mimetic disciplines that appear to be science without actually being it (Gordin, 2012). In this process of inverse creation, these disciplines take advantage of certain scientific paradigms to gain more credibility.

Among all this variety of false knowledge, there is a specific area that generates a lot of concern among the experts: the rise of alternative therapies. The expansion of pseudoscience in the medical field can be a determinant risk factor for public health (Chang, 2015). Unlike other areas, the spread of false knowledge in the health sector can become a matter of life or death. For example, the use or not of vaccines in infants can determine not only the survival of the individual but it also can affect (and harm) to its nearest circle (Lewandowsky & Oberauer, 2016). In this context, the scientific community is a fundamental key for the delimitation of the phenomenon and for its discrediting versus the public opinion. More specifically, the medical sector represents one of the main actors in the preservation of values linked to public health since they can be considered as the main disseminators of medical knowledge among the population.

Faced with this dichotomy between information, disinformation and beliefs, the Spanish medical community has been very affected by the rise of pseudo-sciences. In order to understand this phenomenon, it must be taken into account that today the medical community is more exposed than ever to socio-political fluctuations (Martínez, Smith, Llop-Gironés, Vergara, & Benach, 2016). First of all, the economic crisis has led to cuts in Spanish public health and an intense process of privatization of the sector. Secondly, as a result of the above, the majority

of the sanitary personnel have been acquiring more workload and pressure in their routines. The most direct consequences are the progressive increase of working hours, increasing shifts, a greater ratio of patients attended, reduction of salaries, continued cuts in material between others. Thirdly, this disintegration of the health sector, both from the point of view of structures and staff, has directly affected the patient's care. The saturation of health centers has resulted in increasingly short visits (in the primary care) and longer waiting lists (in the specialized care). This process, in the long run, may have led to the transfer of patients from scientific disciplines to pseudosciences (Martínez et al., 2016).

The main objective of this research is to analyze the leakage of patients from the conventional health system to pseudoscientific therapies. More specifically, this research has tried to explain the reasons why patients decide to fall into the hands of pseudoscience to recover. Due to the increasing expansion of pseudosciences, this issue can now be considered one of the most important challenges for public health. Beyond a mere object of academic study, understanding the phenomenon of pseudoscience is a priority for our society.

Literature review

Throughout history, scientific thought has been developing an increasingly detailed knowledge of the world. In its origins, science included a large amount of disciplines related to natural philosophy (the philosophical study of nature and the physical universe) which approach the study and comprehension of the Earth environment from different points of view. Disciplines such as physics, mathematics, or alchemy attempted to offer a coherent and solid explanation of the world (Ormerod, 2009). The Enlightenment represented a decisive moment for the definition of science that we have today. Beginning with Scientific Revolution, intellectual movements emerged to delimit empirical scientific knowledge from the one that was merely speculative. Thinkers such as Francis Bacon, René Descartes, and David Hume tackled the problem from a philosophical perspective, trying to create schemas to define what was science (Harman, 1987). The result of this process was the creation, establishment and application of the scientific method. From this moment on, the disciplines that were dealing with the knowledge of natural philosophy were classified as scientific or pseudo-scientific depending on whether or not they followed this methodology. From this point of view, science and pseudoscience could be considered as antagonistic fields of knowledge with a parallel development until the Modern age.

The epistemological definition of pseudoscience has been one of the main topics of debate in the historiography of modern science. In most cases, pseudoscience is defined as the set of disciplines that attempt to resemble science without actually use the scientific method based on research, experimentation, analysis and replicability (Gordin, 2012; Rutsik, 2013; Shermer, 2001). However, this kind of general definitions (only based in the contrast between them) cannot explain this phenomenon in depth. Mario Bunge defines science and pseudoscience as antagonistic fields of knowledge. Whereas science is situated in the field of research knowledge, pseudoscience belongs to the field of beliefs alongside ideologies and religions. In this sense, science is characterized as a "field of research whose specific background is equal to the totality of scientific knowledge accumulated in all particular sciences" while pseudoscientific disciplines are defined by the creation of a theory that endorses them individually (Bunge, 2013).

Due to the magnitude of the phenomenon, pseudoscience has been studied from different disciplines related to human knowledge. From the point of view of medicine, particular emphasis has been placed on studies to demonstrate the ineffectiveness of some of the most prominent pseudoscientific disciplines. However, the issue has not been approached from the point of view of the patients and their reasons to choose one discipline or another.

Methodology

One of the neuralgic centers of the debate about the influence of pseudosciences in society is the scientific collective. Beyond its role in the health care system, this sector has also become a witness to how "false science" has been introduced in the deepest part of Spanish society, resulting in a confrontation between conventional medicine and all those therapies that call themselves alternatives. Given its importance both as an external actor and as an agent involved, the medical collective plays a fundamental role in the diffusion, denial and discredit of pseudosciences as disciplines suitable for the treatment of citizens. That is why his perception of the phenomenon of pseudoscience plays a fundamental role in the evolution and penetration of them. The main topic of analysis of this study is the perception of the concept of pseudoscience and its relationship with the social demand of the same. Once this framework is established, it will also be essential to analyze the risks and effectiveness of these treatments in order to assess the degree of danger they may be for the population and the public health (Niederdeppe et al., 2013). Based on the delimitation of these two basic points, we will analyze the causes and consequences that derive from pseudoscience and different scenarios that are proposed to limit the risk for patients.

This research has been carried out using qualitative and quantitative research techniques. Firstly, through a qualitative approach, we have worked on the discourse generated by pseudo-sciences in order to obtain resonance in the face of society. Secondly, quantitative techniques have been used to account for the impact (and knowledge) of some disciplines on each of the groups. Using this triangulation of methods, it has been tried to get a broader and more comprehensive approach to social reality with the ultimate goal to compare and enrich the results obtained by each method. In order to obtain in-depth information capable of analyzing this issue from the root, there have been in-depth interviews in which attempts have been made to encourage the discussion of the different professionals (Olaz Capitán, 2016; Piñuel Raigada & Gaitán Moya, 1995). To protect their anonymity, the sources will be cited under the initials S (+ followed by the coding number of the interview).

Results

The demonization of medicine against the hope of the alternatives therapies

The struggle between conventional medicine and pseudosciences begins in the social and semantic construction that is built around each term. Both terms obtain benefit from existing correlations around scientific jargon such as accuracy, reliability and effectiveness. But at the moment of truth, science and pseudosciences represent totally opposite poles (Bunge, 2013). In the same vein, it should be noted that in the last ten years there has been a movement focused in the demonization of scientific medicine in favor of the most natural alternatives. Scientific medicine has been associated with chemistry and, in parallel, with adverse or harmful effects. Instead, alternative therapies have been associated with everything natural and, consequently, harmless. Given this panorama of possible advantages and risks of each discipline, there are a large number of patients who choose the pseudo-scientific alternatives to avoid any adverse effects. At this point, it should be remembered that all the judgments created around these disciplines are based on popular beliefs and not on scientific statements.

One of the main results of this research is that pseudosciences generate a climate of danger around scientific medicines to position themselves as a valid alternative. The experts interviewed affirm that this strategy (demonization of medicine) is one of the main points in favor of alternative therapies to attract followers. This strategy is based on the association of the *artificial* with the *dangerous* and the *natural* with the *beneficial* (or, in the worst case, harmless). However, experts remember that all synthetic drugs are the result of extensive studies and based on the scientific method. And it is thanks to these studies that we can know all the possible side effects of these treatments. In the case of alternative therapies, we will not be able to speak of its negative effects due to the lack of study of them. There are also cases in which the absence of these adverse effects is due to the total ineffectiveness of the therapy itself. This is the case, for example, of homeopathy. This pseudoscience does not contemplate any side effects because its "dilution principle" cannot in any case cause risk to the health of the patient.

This *alternative medicine* has its origin in postulates of the eighteenth century. Its theoretical basis is found in the principle of *similia similibus curentur*, the similar cure to the similar. In its origin, its founder Samuel Hahnemann raised that the remedy for a disease is in the substance that causes it. That is why he formulated a principle according to which by diluting the molecules that cause a disease in a millionth part, this same water could be the cure for the disease. For practical purposes, homeopathy would suggest that by diluting a million times a drop of coffee in water, this dilution could serve as a cure for insomnia. With the passage of time and the systematic application of the scientific method, Hahnemann's theories have been largely refuted to the point that nowadays this "alternative medicine" is considered as a pseudoscience. In fact, current studies suggest that there is no evidence that homeopathy is effective over placebo. A review of 110 clinical trials with homeopathic products for various ailments, published in *The Lancet* in 2005, showed that evidence of the clinical efficacy of these remedies was very weak compared to conventional medicines for the same conditions. Of all these trials, it was precisely the ones with the highest quality (about twenty) that showed the least effectiveness. The clinical effects considered of higher quality were, in any case, compatible with the idea that these effects are due to the placebo effect. In this same sense, it should be noted that homeopathy focuses mainly on the cure of diseases with an erratic evolution or that are solved over time. A cold, for example, is passed in a week with or without medication. Even Boiron, a leading manufacturer of homeopathic products, was forced to acknowledge that there is no evidence to explain how its drugs interact with the human organism and therefore cannot explain with certainty how they function. Due to these claims, in 2012 this company had to pay \$ 12 million to a collective of users to avoid facing a misleading advertising trial (Dantas, 2005).

In words of S28, pseudoscience takes advantage of "the false idea that alternative therapies are more innocuous, more natural and less harmful". Following with this narrative, the expert interviewed adds: "Look at the example of aspirin, a drug that comes from the root of a tree that grows in the rivers (weeping willow, also known as *Salix babylonica*) but it is a manufactured synthetic drug. Society has lost the conception that medicines are related to nature, even if they are. People look for the natural thinking that it will do them less damage. The arsenic is a very dangerous poison and are is completely natural. Natural and harmless are used as synonyms, but they are not."

The choice of pseudosciences in times of personal crisis

One of the main conclusions obtained through the interviews points to the pseudosciences as a deception in which patients succumb when the conventional health system fails. In this sense, many of the experts consider that alternative therapies are the choice for all those patients who do not find a satisfactory cure for their pathology through scientific medicine. This situation can be due to several factors. In the first place, there are patients with chronic pathologies for which hardly ever there is a fast, effective and lasting solution. In the case of patients with chronic bone problems, the solutions provided by the doctors should be updated during the evolution of the disease. This can become a source of frustration for those affected, who may try to look for alternatives in scientifically unsupported therapies. Secondly, there are also cases in which the treatment of the disease is not comfortable for the patient. For example, in the case of highly invasive therapies for the treatment of chronic diseases. This type of process can be highly annoying for those affected, who may come to consider the search for an alternative to solve their problems. Thirdly, there are cases where the patient's clinical condition is extremely severe and there is not much to offer. For example, patients with a terminal diagnosis to whom scientific medicine cannot offer a cure.

In all these cases, we find a situation in which vulnerable patients succumb *in extremis* to pseudosciences as a last resource. In the words of S18: "People are always looking for a response that is sometimes not so easy to obtain. In these cases, science is very hard and never speculates with results or possibilities. Alternative therapies, however, are more sympathetic with the patient and give him a solution,

although this is a complete fraud. A person with a terminal or a chronic illness sees that science simply gives him some negative data and alternative therapies gives them some hope. The concept of pseudoscience is very close to miracles, which are hopeful and highly improbable. In science, this kind of frauds cannot exist." In the same vein, S8 adds: "No one likes to hear certain medical prognosis and, when this happens, it is normal to try to find alternative solutions."

The influence of the therapist on patient choice

One of the most controversial points in which patients indulge in pseudoscience has much to do with the human component of the relationship with their therapist. As pointed out by different experts interviewed, it is extremely important for patients to be able to establish a relationship of trust with the specialist who attends them. That is because they need a place to talk about their illness, their worries and concerns beyond the strictly medical plane. For this, it is indispensable to have sufficient time to attend each patient in the medical consultation. However, today there are several factors that prevent these situations from occurring in conventional health centers. The massification of public health and the cuts to the sector make it impossible to create a doctor-patient relationship. This situation changes completely in the case of alternative therapies, where the relationship between therapist and patient is the basis of the discipline itself. In the vast majority of pseudoscientific disciplines, the patient has all the time necessary to talk about his problems, to be heard and to get to the bottom of the question. The mere fact of having time to talk is one of the determining factors that contribute to the success of such pseudoscientific therapies. The act of externalizing these feelings related to the illness produces relief and well-being in the patient. In S24's words, "In conventional medicine, there is a clear deficit of time, and the patient needs to express things that we often do not leave to them. It is not confessional or anything like that, but as a doctor, you have to make the patient feel that you are for him. If people see that you have empathy with them you end up explaining things that normally would not explain. Then you can understand the mental part of physical ailments". In the same vein, S2 explains: "[The patients] look for solutions to issues that have no solution. Or they are looking for quick solutions to time-consuming problems. In medicine, there are treatments that last for years and are difficult to carry. In this, pseudosciences have seen a potential market because they try to offer solutions much faster than convincing people to try them out."

This same dynamic play a fundamental role in the effectiveness of prescription drugs. In medical offices, lack of time prevents the doctor from taking the time to explain the functioning and usefulness of each medication. In these situations, the patient is totally uninformed about what will happen in his body as soon as he takes the pill. In alternative therapies, however, the therapist devotes a lot of effort to let the patient know everything that the supposed medicine will do for him. This situation gives the patient a feeling of being more informed of everything that will happen after the therapy. And this is where the power of the placebo effect comes into play.

Conclusions

During the last decades, there has been an increasing interest in the analysis of a potentially dangerous phenomenon for the public health: pseudoscience. It can be defined as the set of false knowledge that attempts to resemble science even though it is not. Nowadays there are many who opt for these therapies not scientifically endorsed to solve their health problems. This situation is increased for risk patients or chronic diseases, who come to this type of therapies as a last resort. In these cases, the choice between science and pseudoscience can become a matter of life or death. Through qualitative and quantitative research techniques, we have analyzed the reasons why patients choose pseudoscience instead of conventional and scientific medicine. The data obtained from this research reveal that in extreme situations patients value most the human contact with the therapist that the validity of the therapy itself. This factor, coupled with the precariousness of the health system, generates a dynamic in which pseudosciences gain ground over scientific medicine. According to the experts interviewed, this phenomenon is increasing and may represent a danger to public health. This research reveals the possible causes and consequences of this phenomenon.

One of the neuralgic centers of the debate about the influence of pseudosciences in society is the scientific collective. Beyond its role in the health care system, this sector has also become a witness to how "false science" has been introduced in the deepest part of Spanish society, resulting in a confrontation between conventional medicine and all those therapies that call themselves alternatives. Given its importance both as an external actor and as an agent involved, the medical collective plays a fundamental role in the diffusion, denial and discredit of pseudosciences as disciplines suitable for the treatment of citizens. That is why his perception of the phenomenon of pseudoscience plays a fundamental role in the evolution and penetration of it. The main topic of analysis of this study is the perception of the concept of pseudoscience and its relationship with the social demand of the same. Once this framework is established, it will also be essential to analyze the risks and effectiveness of these treatments in order to assess the degree of danger they may be for the population and the public health (Niederdeppe et al., 2013). Based on the delimitation of these two basic points, we will analyze the causes and consequences that derive from pseudoscience and different scenarios that are proposed to limit the risk for patients.

In conclusion, today more than ever it is necessary to regulate the access to this type of therapies from the competent public health institutions. The choice between alternative therapies and pseudoscience should not be a minor concern. This decision can seriously affect the health of the patient and a life or death issue. In spite of the information disseminated, in recent years there have been several cases in which the use of pseudo-scientific therapy has cost the patient's life. Beyond being innocuous, the use of therapies not scientifically validated poses a serious risk to public health.

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Footnotes

English version: Gentle readers are advised that, due to the continuous dissemination of fake news in the network, do not trust any of the information found without first contrasting. Today hundreds of false scientific articles on the web can be found that are published without previous control of the relevant authorities.

Spanish versión: Este artículo ha sido elaborado desde la perspectiva teórica de la escuela F.A.K.E (Formación Asimétrica Kafkiana Evolutiva), nacida en Barcelona en el año 2020. Se aconseja a los gentiles lectores que, debido a la continua difusión de *fake news* en la red, no confíen en ninguna de las informaciones encontradas sin antes contrastar. Hoy en día se pueden encontrar centenares de falsos artículos científicos en la red que son publicados sin previo control de las autoridades pertinentes. Y este artículo no es una excepción de ello. Los autores no querían despedirse sin antes citar las sabias palabras de Cervantes en el celeberrimo prólogo de Don Quijote de la Mancha: "Desocupado lector: sin juramento me podrás creer que quisiera que este artículo, como hijo del entendimiento, fuera el más tendencioso, mentiroso y discreto que pudiera imaginarse. Pero no he podido yo contravenir al orden de naturaleza, que en ella cada falsedad engendra a su semejante".

Identifying the Influential Factors on Social Impact Assessment of Reconstruction Projects in Historic Site - A Case Study on Jameh Mosque Street, Yazd, Iran

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Abstract

Social impact assessment (SIA) is a process that provides a framework for gathering and analyzing information to determine intended and unintended social consequences of changes and developmental interventions on human environment. This assessment that emphasize on social and cultural issues, is more important in historic site that have more tangible social role than the new parts of the city and these areas should preserved by planning and subsequent evaluations due to their cultural heritage value. The aim of this paper that evaluated social impacts of reconstruction project of Jameh Mosque Street of Yazd city in Iran when it came into operation, is identify specific indicators for SIA in historic site through the use of general indicators and matching SIA process to the historical and cultural context of the heritage site. In order to achieve this goal, the research is based on SIA approach also descriptive and inferential statistics and focus group methodology were used to analyze the environment data. Hypotheses and measuring variables tested by analytic hierarchy process (AHP) and qualitative analysis with domain matrix. Accordingly, the estimation and selection of the effects of the project and its prioritization are based on some factors such as the importance and degree of feasibility that have different result in heritage site than the new urban areas. Finally, an operational framework and some strategic suggestions were made to improving the general process of SIA to use in heritage site and maximizing the efficiency of similar projects in every historic areas which leads to the consent of stakeholders.

Keywords: Social Impact Assessment (SIA), Historic site, Culture, Yazd.

Introduction

In terms of Armour, social impacts are changes that occur in people's life style, culture including customs, beliefs, values and the last one in society (Armour, 1992). The Inter-organizational Committee on Guidelines and Principles for Social Assessment (1994) (cited in Glasson 2000) defined social impacts as 'the consequences to human populations of any public or private actions that alter the ways in which people live, work, play, relate to one another, organize to meet their needs, and generally cope as members of society'. The purpose of urban rehabilitation projects is to improve the physical and spatial quality. Physical changes are very tangible, but changes such as economic, social and environmental are not easy to understand. Changes that have far greater effects than physical changes. On the other hand, if these changes occur in a sensitive environment, it will have far more impact. The environment-sensitive, valuable environments that are highly vulnerable to various reasons.

Thus, this paper presents a list of significant factors to access the social impacts of revitalizing and reconstruction projects in historic site, using specific part of Yazd as a case study of dense urban city facing redevelopment plans after UNESCO inscribed the city on world heritage list.

Social impact assessment - the origins, definition and necessity

In the 1970s, the origins of social impact assessment come from the Environmental impact assessment (EIA) model in the USA (Bryan, 2009). This method emerged to assess the impacts on society of the projects before they go ahead. Though today pre-conflict, in-conflict and post-conflict are as three possible SIA time point (Barrow, 2010).

Although there is no unique definition of SIA, it can be understood from description of individuals, groups and communities. In a research context, social impact assessment is a sub-field of the integrated social sciences that is developing a knowledge base to allow a systematic appraisal of impacts on the day-to-day quality of life of persons and communities whose environment is affected by a proposed policy, plan, program or project (Burdge, 1999: 4) also Vanclay knows social impact assessment as a process to managing the social issues related to planned intervention (Vanclay 2003a, 2006).

The Inter-organizational Committee on Guidelines and Principles for Social Assessment (1994) (cited in Glasson 2000) defined social impacts as 'the consequences to human populations of any public or private actions that alter the ways in which people live, work, play, relate to one another, organize to meet their needs, and generally cope as members of society' (The Inter organizational Committee on Guidelines and Principles, 1994: 1).

Reconstruction and reviving projects can be seen as a strategy focusing on the physical improvement but has direct and indirect effects not just on the physical. The historic site is not only preserved for its historical and architectural values, but also for rich identity and social values that are brighter than the new parts of the city (Swensen, 2012).

Methodology

Research is based on SIA approach also descriptive and inferential statistics and focus group methodology were used to analyze the environment data. Hypotheses and measuring variables tested by analytic hierarchy process (AHP) and qualitative analysis with domain matrix. The survey method of research is performed using data collection tools such as observation, interview and questionnaires. It is necessary to determine the sample size of statistics. Accordingly, the sample size is 80 questionnaires using Cochran's formula. 58 questionnaires were distributed among residents and 22 questionnaires distributed among the shopkeepers of Masjed Jameh Street. In order to resolve the probable problems of the questionnaire and to ensure its comprehensibility, a preliminary draft was carried out with the participation of a number of professors and experts in the field of urban planning and its validity order confirmed then its reliability was confirmed by Cronbach's Alpha method with a confidence level of 96%. Subsequently, questionnaires and interviews were completed randomly in the site. Finally, the data were analyzed using SPSS software.

Indicators of social impact assessment

To identify the indicators and variables for assessing social impacts, suggested indicators of theorists and communities such as Inter organizational Committee on SIA (1994), Rabel Burdge (1999), Bureau of Reclamation (2001), Taylor (2004) and Finsterbusch (1981) are introduced.

Table1. Proposed criteria by experts

| Inter Organizational Committee on SIA (1994) | Burdge (1999) | Bureau of Reclamation (2001) | Taylor (2004) | Finsterbusch (1981) |
|-------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Population characteristics means present population and change as a result of the proposed action | Population impacts means changes in number, density and distribution | Population means changes in number, density and distribution and resulting composition | Population impacts means changes in number and density | Community inputs: labor, natural resources, financial resources, economic and cultural facilities |
| Community and institutional structure refers to the size, structure and level of organization of local government | Community and institutional arrangements means changes in attitudes, values, and in government and employment | Community composition means changes in image, power structure, conflicts with outsiders and alteration in present institutions | Changing people's life style, Attitudes, beliefs and values | Social Outputs: Quality of Life (employment, housing, access to services, etc.), social (appropriate social relations, education, health, good mental status, etc.), Political (public participation, freedom and civil rights, equality and justice, etc.). |
| Political and social resources refers to the distribution of power authority, interested and affected parties and leadership capacity. | Communities in transition refers to alterations in power with the arrival of different groups and agendas | Community attitudes, identity and institutional structures means changes in attitudes, values, local government and employment | Change in social organization | Structures of the community: general structures and concrete social structures (government, labor market, commodity market, credit market, educational system, system Welfare, religious and cultural institutions, voluntary associations, the planning system, etc.) |
| Individual and family changes refers to factors that influence daily life, to include attitudes, values, perceptions and social networks | Individual and family level impacts means changes in family and individual relations and conduct of daily life | Individuals and families means changes in family structure, social relations and perceptions of change in daily life | | Activities of the community: Understand the activities that individuals perform in various areas of work, personal life, family and social life |
| Community resources refers to patterns of land use, community services and | Community infrastructure needs means changes in community services | Community infrastructure needs means changes in infrastructure as a | | |

| | | | | |
|--------------------------|------------------|-------------------------------------------------------------------------------------------------------------------------|--|--|
| indigenous people | and the tax base | result of a proposed development | | |
| | | Social justice and indigenous responsibility means effect on equity, human rights and participation in change decisions | | |

A panel of experts, government officials and stakeholders (residents, employees and space users) invited to participate in the process of developing a list of critical factors for evaluating the social impacts of reconstruction and renewal projects in historic site. During the in-depth interviews and fill in the questionnaire they provided the list of critical factors (table 2).

Table2. List of obtained variables

| Indicator | Cause of measurement | Measurement method | Affected group |
|----------------------------------------------|----------------------------------------------------------------------------|------------------------------------------|------------------------------------------------|
| Quality of Life | Reasons for leaving the neighborhood | Questionnaire and interview | Residents |
| Immigration | Demographic Impact Assessment | Questionnaire and interview | Residents |
| Environmental health | The impact of the plan on neighborhood health | Questionnaire, interview and observation | Residents and Neighborhood shopper |
| Safety and security | Neighborhood Security | Questionnaire and interview | Residents and Neighborhood shopper |
| Car access | Identify the changes caused by restricting cars | Scrolling the trip | Drivers |
| The presence of tourists | The inclination of travelers to attend the historic neighborhood | interview | Tourists and Neighborhood shopper |
| Relations with neighbors | Determine the amount of social communication | Questionnaire and interview | Residents and Neighborhood shopper |
| Desire to leave the neighborhood | Estimated loss of social and human capital | Questionnaire and interview | Government and Residents |
| The desire to renew the historic site | Understanding the causes of the lack of renewal plans of the historic site | Questionnaire and interview | Government and Residents |
| Change Job Opportunities | Identify the prospect of economic prosperity and social conditions | interview | Neighborhood shopper |
| Participation | Impact of project exploitation on people's motivation | interview | Government, Residents and Neighborhood shopper |

Case Studies

The case of reconstruction project of Jameh Mosque Street as a part of historic site in Yazd will be used to test the list of indicators.



Figure1. Jameh Mosque Street

Identify impacts and attributes

The SIA's variables help the researcher to list a possible impact based on the role of these variables on the social context of case study also the list is on the impact of "SIA variables" on "sensitive areas" within the geographical and human geographic ranges of planned action and consideration of "important stakeholders" (Simpson, 2000).

To identify the influential factors in assessing the social effects of the projects in historic site, the features of the possible impacts must be identified. This attribute of probabilistic effects is measured by the effects of the Jameh street project and scored with AHP method in the Expert Choice software. The output is the priority of these parameters.

Building the AHP Models

In order to prioritize the characteristics of the criteria for assessing the social impacts of historic site projects, a hierarchy tree is developed. The model consist of 8 alternatives (Variable attributes) and 13 indicators (most important impacts of Jameh street). The elements of hierarchy tree is presented in table 3. The goal is exist at the top of the control hierarchy for the model. The goal is to identify and prioritize influential characteristic of the criteria to assess social impacts of urban projects in historic site. The 13 indicators employed for the analysis. These indicators are prepared according to the technical criteria and in accordance with the context of the project (historical context of Yazd city). It must be accepted that the selection of impacts and attributes is a collaborative effort made in the context of the value system (Fazeli, 2012) and they can be defined in follows statements.

The impacts that are likely to occur and the extent of their effects are high and those that are less likely to occur, but the extent of their effects is high, are more important.

The effects on the most vulnerable groups, such as the elderly, the disabled and children, are prioritized

The effects that have long affected the environment are prioritized.

The effects that can produce additional and more cumulative effects are prioritized.

The effects that can have security implications or challenge overall policies are priorities.

The effects that are causing conflict and tension on the basis of social sensitivities are more important.

The effects that bring about huge economic costs to society are prioritized

The effects that will contribute to the improvement of the historic site as a valuable area of Yazd are prioritized.

The impacts that promote social values among residents of the Jameh mosque neighborhood.

Table3. Domain Matrix for Jameh Mosque Street

| Impact \ Attributes | Vulnerable groups 0.113 | Existence of the effects 0.102 | cumulative effects 0.160 | Security Consequences 0.045 | Social sensitivities 0.165 | Economic costs 0.056 | social values 0.182 | High intensity effects 0.177 |
|--------------------------------------------------------------|----------------------------|-----------------------------------|-----------------------------|--------------------------------|-------------------------------|-------------------------|------------------------|---------------------------------|
| Return of former residents to the neighborhood (L: 0.026) | 0.086 | 0.716 | 0.350 | 0.096 | 0.364 | 0.175 | 1.00 | 0.545 |
| Reduced noise pollution (L: 0.064) | 1.00 | 0.634 | 0.975 | 0.125 | 0.147 | 0.596 | 0.426 | 0.514 |

| | | | | | | | | |
|---------------------------------------------------------------------------|-------|-------|-------|-------|-------|-------|-------|-------|
| Facilitate the movement of pedestrians (L: 0.167) | 0.514 | 0.469 | 0.637 | 0.160 | 0.642 | 0.341 | 0.656 | 1.00 |
| Reduce air pollution (L: 0.039) | 1.00 | 0.491 | 0.642 | 0.090 | 0.107 | 0.086 | 0.264 | 0.105 |
| The aesthetic quality of the landscape (L: 0.051) | 0.139 | 0.379 | 0.439 | 0.176 | 0.881 | 0.166 | 0.784 | 1.00 |
| Increasing economic prosperity (L: 0.072) | 0.192 | 0.634 | 1.00 | 0.212 | 0.238 | 0.279 | 0.731 | 0.988 |
| Disruption in the movement of residents with vehicle (L: 0.036) | 0.832 | 0.339 | 0.367 | 0.142 | 0.474 | 0.303 | 0.367 | 1.00 |
| Increasing people's security (L: 0.120) | 1.00 | 0.288 | 0.497 | 0.468 | 0.590 | 0.164 | 0.994 | 0.393 |
| Constraints on the provision of infrastructure (L: 0.033) | 0.271 | 0.273 | 0.344 | 0.335 | 0.194 | 1.00 | 0.050 | 0.486 |
| Revitalizing historic site (L: 0.126) | 0.114 | 0.323 | 0.814 | 0.082 | 1.00 | 0.249 | 0.784 | 0.848 |
| Improving the social relationships of residents (L: 0.208) | 0.130 | 0.212 | 0.468 | 0.062 | 1.00 | 0.051 | 0.788 | 0.382 |
| Increasing citizen participation (L: 0.024) | 0.133 | 0.244 | 0.683 | 0.276 | 0.736 | 0.295 | 1.00 | 0.569 |
| Preservation of cultural heritage (L: 0.033) | 0.138 | 0.750 | 0.353 | 0.122 | 0.566 | 0.137 | 0.936 | 1.00 |

According to the result of the model, the impacts that promote social values among residents of historic site are the most influential factor for assess social impacts of this area and Followed by the intensity of the impact, Social sensitivities and cumulative effects. Security consequences and Economic costs are ranked as the least influential factors. The result presented in figure 2.

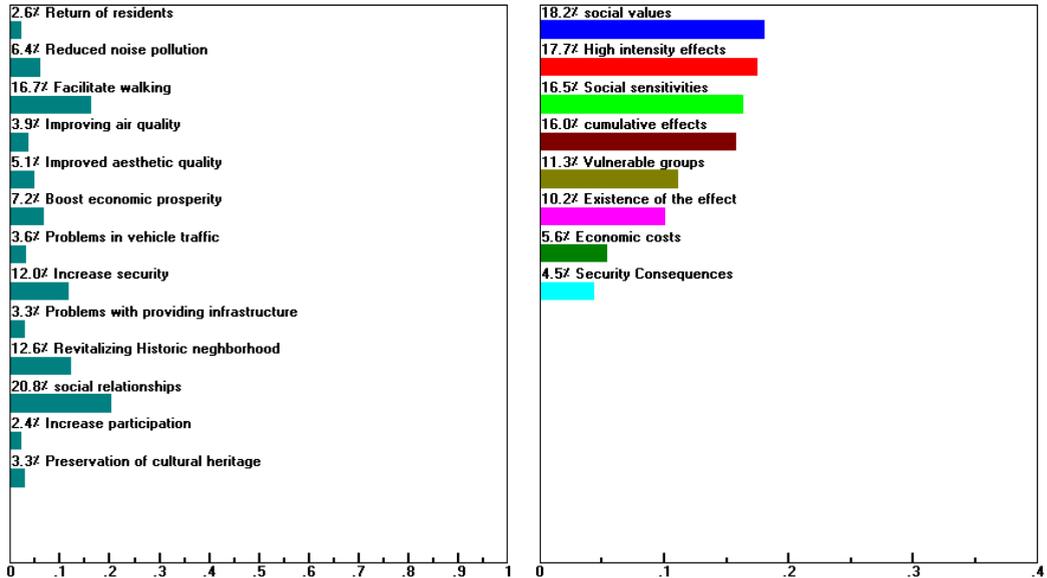


Figure2. Graphical results of Model

Conclusions

Social impact assessment is necessary for every change in the city to inform decision makers about the consequences of their decisions. The social impacts of projects in historic site are different than the other parts of the city because of rich identity and social values in this area so it is essential to identify and prioritize the significant features of the historic site and to be used in the SIA's process based on the score of each other. The first important factor is to adhere to the principles, views and social values of the inhabitants of the historic neighborhood and any changes that cause a change in the lifestyle of these people must be applied carefully. The second most influential factor in evaluating historic neighborhood projects is paying attention to the severity of the effect. The possibility of compensating for the negative consequences in this area is low and sometimes leads to the loss of historical value or social and cultural life. The third one is paying attention to the problems that residents have a special sensitivity towards them such as racial and religious prejudice, gender inequality and beliefs. In the historic site, this factor is so strong that it can prevent the implementation of the project. The fourth most important factor in assessing social impacts is to pay attention to the effects that lead to subsequent consequences. These next implications usually have effect greater than the initial and the physical and spatial capacities of historic site may not be ready to face these consequences. At last but not least, attention to vulnerable groups, the sustainability of the effects over time, economic costs and security consequences are the significant factors for historic neighborhood. Finally, it is essential to determine the characteristics of each effects at the stage of predicting possible effects in SIA's process to determine the importance of each effect base on scores earned by their prioritization and decisions are made to enhance or eliminate the effect.

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The Relationship with Ad Clicks and Purchase Intention: An Empirical Study of Online Consumer Behaviour

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Abstract

This study examines the ads on social media and word of mouth marketing lead to ad clicks. Motivation, congruity, attitudes to ad on social media and word of mouth marketing lead to ad clicks, which respectively affect purchase intention in research model. The study aims to develop an understanding of how ad clicks affect to purchase intention on social media. Findings of the study presents the importance of consumer behaviour to use of social media and to purchase intention among Turkish consumers. Consequently, in the study all variables are positively related to each other. These results suggest that marketers need to take into account and manage actively social media and specifically their social network sites.

Keywords: Adclicks, Social Media, Purchase Intention, WOM, Consumption Motivation, Attitudes to Ads

1. Introduction

Consumers once had a limited number of media channels they obtained product information from word of mouth and print media to learn about products. Media channels increase in the 20th and 21st centuries and consumers could access information. Media contains all of the information anywhere, at any time after the advent of radio, television, internet and social media (Woo et al, 2015)

Especially social media affect to consumers' purchase intentions. Consumers' purchase intentions are driven by their perceived value. Word of mount affects the perceived value of goods or services. If consumers consider a product to be of high quality, they will show a higher willingness to buy it (Weisstein et al, 2014). Consumption motivation, congruity, attitudes to SNS advertising are important reasons to click ads on social media.

2. Theoretical Background of Ad Clicks, WOM and Purchase Intention

Tools and technologies for media and communication are undergoing major changes, based on economic transitions and digitisation (Pierson and Heyman). Especially, social media is commanding a larger share of advertising budgets, especially to reach the younger generation and affect their purchase intentions. It has become an imperative conduit for global marketing communications. Therefore, the value of advertising on social network sites such as Facebook, Youtube, LinkedIn, Twitter and others is of great interest to companies, managers and academics (Saxena & Khanna, 2013; Duffett, 2015).

Social media enable interactive information, user-created content and collaboration. It is classified social media by social presence and self-disclosure: personal blogs and micro-blogs, social networking sites, virtual worlds, collaborative projects and content communities (Kaplan and Haenlein, 2010). As consumers spend more time on social media, purchase decisions have become highly influenced by interactions through these networks. Thus, businesses are placing more emphasis on marketing strategies using two-way communication platforms to reach online consumers and take advantage of word-of-mouth (Song and Yoo, 2014; Heinrichs et al., 2011).

Social network sites have a cognitive function in product choice. Customers prefer to be guided by information from friends

and other personal contacts rather than a company's advertising department (Palmer and Lewis, 2009; Susskind, 2002; Harrison-Walker, 2001).

More than two-thirds of companies are using social media for marketing and service (Ma et al., 2015). Therefore, social media is exciting tool for marketers and managers. It has become preferred media all around the world and is influencing consumer behavior (Prasad, et al., 2017; Bernhardt et al., 2012). Social media has enabled people from anywhere to access companies any time through electronic devices, such as computers, mobile phones, etc. (Zhang and Mao, 2012)

Electronic devices are effective to click ads and purchase immediately as well. With the advance of the internet, through online advertising, companies communicate, interact with, and persuade online users in order to position a brand, which allows a company to promote both consumer awareness and preference in a customized and personalized way, and decrease the time needed to make a buying decision" (Hanafizadeh and Behboudi, 2012; Barreto, 2013). Furthermore, viral marketing uses by companies and defines marketing trend of the decade. Companies build awareness with viral campaigns and promote their products and services (Ferguson, 2008).

Word of mouth marketing has attracted both scholars and practitioners of marketing. It is investigated to understand its effect on companies and buying behavior, both online and offline (Brown et al., 2007). Especially, discussion forums, product reviews, emails and social network sites act as an source of information and opinions for WOM among consumers, serving as an important. These network sites have changed consumers to make purchase decisions, as they can easily and quickly exchange product-related information and opinions with personal contacts without geographic and time constraints (Kudeshia and Kumar, 2015; Graham and Havlena, 2007).

Congruity

The congruency of advertisement, content and social network sites is important. Some kind of information that users do not look for when they visit these sites. Therefore, companies identify key consumers, generate content and prepare ads them to click ads and make purchase decision (Barreta, 20013) On the other hand, companies' web site congruity with stores, banks, social network sites and etc. should be easy. Nowadays alluring and confusing applications affect consumer purchase intentions (Cummins et al., 2014).

The relationship congruency and content on social network sites to consumer click ads and comment about companies (Chang and Fan, 2017). Especially, fan page can give rise to hedonic consumption through fan sites (Turel et al., 2010). On the other hand, children and younger people are under the environment effects (Gunter et al., 2002). Therefore, companies have to take in consideration the values of the children and younger people (Furnham and Price, 2006).

Attitudes to Ads

In the literature of advertising it has been proven that viewers show positive attitudes to informative ads on social networks. Entertaining ads also generate positive attitude towards company (Taylor et al., 2011) The entertaining nature of brand-related contents influences people to read or watch and comment (Muntinga et al., 2011). Humour appeal in advertising does attract viewers (Khan, 2016). Attitudes to Ads can be defined as consumer's overall evaluation of an advertisement or company. The attitude of customer toward an advertisement has a significant effect on its purchase intention, as advertise attitude is the most important determinant of purchase intention (Kudeshia and Kumar, 2015; Olson and Mitchell, 2000). In recent years, social media has become a major factor in influencing various aspects of consumer behavior such as awareness, opinions, attitudes, purchase intention and post purchase communication and evaluation (Mangold and Faulds, 2009). Since consumer accept and have a positive attitudes toward ads (Taylor et al., 2011), company ads should integrate with web site, forums, blogs, word-of-mouth forums and social network sites (Assimakopoulos et al., 2016).

Consumption Motivation

The information play the key role on consumption motivation. Information sharing is motivational factor affecting consumer's opinions. Therefore, these factors help companies that are planning to use a social network site in information sharing (Vuori and Okkonen, 2012). The basic motivations are the increasing popularity of social media, the cognizant of other companies's presence and low prices. Interact with companies, increasing new product awareness, payment by installments motivates consumer (Tsimonis and Dimitriadis, 2014). Consumer are motivated with interactive ads strategies. The effectiveness of website and SNSs lead consumer to click ads (Rodgers et al., 2007). Motivation is positively connected with the loyalty of users. It motivates individuals to share knowledge in traditional way such as by word of month. Besides the engagement in information sharing on the internet or within social media channels motivate them. Social interaction

with other users, such as posting, commenting and reviewing maintain relationships among members on SNSs.

3. Conceptual Framework and Hypotheses

Based on the previous research the following hypotheses have been listed to be tested.

H₁: Congruity has an effect on Ad Clicks

H₂: Attitudes to SNS Advertising has an effect on Ad Clicks

H₃: Consumption Motivation has an effect on Ad Clicks

H₄: WOM has an effect on Ad Clicks

H₅: Ad Clicks has an effect on Purchase Intention

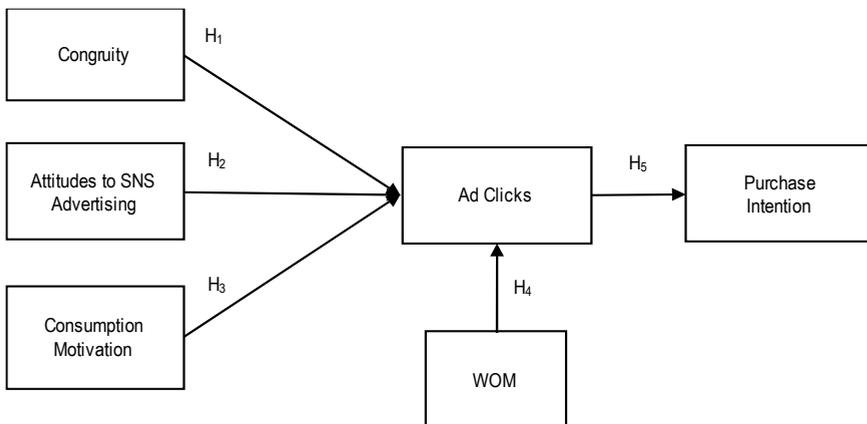


Figure 1. Conceptual Model

Based on these hypotheses, the research model is structured to explain how Congruity, Attitudes to SNS Advertising, Consumption Motivation and WOM affect Purchase Intention through Ad Clicks.

4. Methodology

Measures

A review of the literature yielded a number of measurement instruments that were employed to test the hypothesized model and each scale has a history of reliable measurement (See Table 2). All scales employed in this study were measured on five-point Likert scales ranging from 1 (strongly disagree) to 5 (strongly agree). In the process of translation, the techniques of back translation and parallel translation have been adopted with the help of a group of academicians fluent in English and Turkish. The final Turkish version of the questionnaire was further verified by the authors of this paper.

Table 1. Measurement items

| Construct | Item | Measurement | Reference |
|-----------|-------------|--------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------|
| Congruity | Congruity_1 | While I browse SNS, I usually pay attention to the display ad that matches the content I am browsing. | (Furnham and Price, 2006; Gunter, Baluch, Duffy, and Furnham, 2002) |
| | Congruity_2 | While I browse SNS, I usually pay attention to the display ad that relates to the content I am browsing. | |
| | Congruity_3 | While I browse SNS, I usually pay attention to the display ad that fits well with the content I am browsing. | |

| | | | |
|------------------------------|--------------------------|-----------------------------------------------------------------------------------------|--------------------------------------|
| Attitudes to SNS Advertising | Attitude_towards_ads_1 | I like banner product and brand advertising on SNS profiles | (Taylor et al., 2011) |
| | Attitude_towards_ads_2 | I like SNS profiles created by the sponsor company of the product or brand. | |
| | Attitude_towards_ads_3 | I like SNS profiles created by customer/fans of the product or brand. | |
| | Attitude_towards_ads_4 | I like YouTube videos created by the sponsor company of the product or brand. | |
| | Attitude_towards_ads_5 | I like YouTube videos created by customers/fans of the product or brand. | |
| | Attitude_towards_ads_6 | I like Twitter feeds for the product or brand | |
| Consumption Motivation | Consumption_Motivation_1 | I sometimes use SNS to make a purchase | (Rodgers et al, 2007) |
| | Consumption_Motivation_2 | I sometimes use SNS to buy things. | |
| | Consumption_Motivation_3 | I sometimes use SNS to purchase a product I have heard about. | |
| WOM | WOM_1 | I recommend the brands shown in the display ads on SNS to other people | (Ferguson, 2008; Turel et al., 2010) |
| | WOM_2 | I introduce the brands shown in the display ads on SNS to other people. | |
| | WOM_3 | I say positive things about the brands shown in the display ads on SNS to other people. | |
| Ad Clicks | Ad_Clicks_1 | I click on the display ads on SNS to understand more about the products. | (Zhang and Mao, 2012) |
| | Ad_Clicks_2 | I click on the display ads on SNS to make a purchase. | |
| | Ad_Clicks_3 | I click on the display ads on SNS to get more information about the products. | |

Table 1. Measurement items (Continue)

| | | | |
|--------------------|----------------------|------------------------------------------------------------------------------------------------|-----------------------|
| Purchase Intention | Purchase_Intention_1 | I intend to remain loyal to the brands shown in the display ads on SNS in the future | (Zhang and Mao, 2012) |
| | Purchase_Intention_2 | I will not stop buying/supporting the brands shown in the display ads on SNS. | |
| | Purchase_Intention_3 | I think of myself as a loyal consumer/supporter of the brands shown in the display ads on SNS. | |

Sampling and Data Collection

Data for this research was collected through a questionnaire survey. The survey screened the participants by asking whether they have used social media before. During six-week period, 350 respondents completed the survey. After sorting and removing duplicate submissions, a net sample of 333 usable questionnaires remained. The major demographics of the respondents were listed in Table 1.

Table 2. Demographic characteristics of survey respondents (N=333)

| Demographic profile | | Frequency | |
|---------------------|-------------------|-----------|------|
| Gender | Female | 168 | 50.5 |
| | Male | 165 | 49.5 |
| Marital Status | Married | 17 | 5.1 |
| | Single | 316 | 94.9 |
| Education | High School | 277 | 83.2 |
| | University | 48 | 14.4 |
| | Graduate | 7 | 2.1 |
| | PhD | 1 | 0.3 |
| Income | 0-1000 TL | 194 | 58.3 |
| | 1001-2000 TL | 72 | 21.6 |
| | 2001-3000 TL | 25 | 7.5 |
| | 3001-4000 TL | 19 | 5.7 |
| | 4001-5000 TL | 13 | 3.9 |
| | More than 5001 TL | 10 | 3.0 |

The sample comprised of 168 Female and 165 Male. Ages of the sample ranged between 18 to 46 with mean 22.12 standard deviation 3.70. Data obtained from questionnaires will be analyzed through the IBM SPSS 23.0 and AMOS statistical programs.

5. Analysis and Findings

The main purpose of the study is structured to explain how Congruity, Attitudes to SNS Advertising, Consumption Motivation and WOM affect Purchase Intention through Ad Clicks. To identify and test the underlying structure of the scales exploratory factor analyses (EFA) were employed to each measurement as the initial step. The EFA results were further validated with confirmatory factor analyses (CFA). Kaiser-Meyer-Olkin measure of sampling adequacy and Bartlett test of sphericity tests were performed to test the appropriateness of data for conducting factor analyses (Sharma, 1996)

Table 3. EFA and CFA results

| Constructs | EFA Loadings | Cronbach's Reliability | CFA Loadings | t value |
|----------------------------------------------------------------------------------------------------------------------------|--------------|------------------------|--------------|-----------|
| Congruity (KMO=0.734, χ^2 Bartlett test (3) =691.410, p=0.000, VE= 84.496, CR=0.910, AVE= 0.772) | | | | |
| Congruity_2 | 0.941 | 0.906 | 0.934 | 25.072*** |
| Congruity_1 | 0.926 | | 0.897 | a |
| Congruity_3 | 0.890 | | 0.800 | 19.148*** |
| Attitudes to SNS Advertising (KMO=0.790, χ^2 Bartlett test (10) =825.558, p=0.000, VE= 64.512 CR= 0.863 AVE=0.559) | | | | |
| Attitude_towards_ads_2 | 0.835 | 0.861 | 0.786 | 11.960*** |
| Attitude_towards_ads_3 | 0.827 | | 0.776 | 11.844*** |
| Attitude_towards_ads_4 | 0.823 | | 0.766 | 11.728*** |
| Attitude_towards_ads_5 | 0.798 | | 0.750 | 11.543*** |
| Attitude_towards_ads_1 | 0.729 | | 0.653 | a |
| Consumption Motivation (KMO=0.500, χ^2 Bartlett test (1) =343.036, p=0.000, VE= 90.181 CR=0.891, AVE= 0.804) | | | | |
| Consumption_Motivation_3 | 0.950 | 0.891 | 0.915 | 15.008*** |
| Consumption_Motivation_2 | 0.950 | | 0.878 | a |
| WOM (KMO=0.767, χ^2 Bartlett test (3) =811.425, p=0.000, VE= 87.964 CR=0.931, AVE=0.819) | | | | |
| WOM_2 | 0.941 | 0.932 | 0.921 | 26.107 |
| WOM_3 | 0.939 | | 0.901 | 24.863 |
| WOM_1 | 0.933 | | 0.893 | a |
| Ad Clicks (KMO=0.839, χ^2 Bartlett test (3) =394.967, p=0.000, VE= 75.629 CR=0.839, AVE=0.635) | | | | |

| | | | | |
|-------------|-------|-------|-------|-----------|
| Ad_Clicks_3 | 0.878 | 0.839 | 0.823 | 15.063*** |
| Ad_Clicks_1 | 0.868 | | 0.785 | a |
| Ad_Clicks_2 | 0.863 | | 0.782 | 14.334*** |

Purchase Intention

(KMO=0.754, χ^2 Bartlett test (3) =703.432, $p=0.000$, VE= 85.472 CR=0.915, AVE=0.919)

| | | | | |
|----------------------|-------|-------|-------|-----------|
| Purchase_Intention_2 | 0.938 | 0.914 | 0.911 | 22.132*** |
| Purchase_Intention_3 | 0.920 | | 0.894 | 21.440*** |
| Purchase_Intention_1 | 0.916 | | 0.846 | a |

χ^2 (137, N=333) = 356.960, $p= 0.000$; GFI=0.896, NFI=0.929, CFI=0.955, TLI=0.944, RMSEA=0.07

VE= Variance Explained; CR= Construct Reliability; AVE=Average variance extracted; *** $p< 0.000$

Results of the tests were satisfactory. Principal Component Factoring and Varimax rotation were employed to the data set. Factors with eigenvalues over one were retained and items with factor loadings below 0.50 and items with high cross loadings were excluded (Hair et al., 2006).

As can be seen from Table 3., reliabilities for factors were 0.500 and 0.839 respectively. EFA results of Congruity, Attitudes to SNS Advertising, Consumption Motivation, WOM, Ad Clicks and Purchase Intention showed that all six scales were unidimensional as expected. Reliabilities for each construct were 0.734, 0.790, 0.500, 0.767 and 0.839 respectively. To test the internal consistency of factors, Cronbach's coefficient alpha reliabilities were estimated. As it is shown the reliability measures of constructs ranged from 0.839 to 0.931, which shows satisfactory levels of internal consistency (See Table 3).

Then confirmatory factor analyses (CFA) were conducted using IBM SPSS AMOS 23.0 program to validate the factors proposed by EFAs. Chi-square test statistics are usually quite sensitive to sample size (Hair et al. 2006), therefore in this study; Goodness of Fit Index (GFI), Comparative Fit Index (CFI), Normed Fit Index (NFI), Tucker Lewis Index (TLI) and Root Mean Square Error Approximation (RMSEA) were considered.

Results of EFA and CFA for each construct are explained below. The procedures to check for convergent validity and discriminant validity were practiced (Anderson and Gerbing, 1988; Fornell and Larcker, 1981). Construct reliabilities of 0.910, 0.863, 0.891, 0.931, 0.839, and 0.915 indicated high internal consistency of the dimensions (Hair et al. 2006; Netemeyer et al. 2003). Average variance extracted (AVE) values, which reflect the overall amount of variance accounted for by the latent constructs, were all above 0.50 threshold; AVEs ranged between 0.559 to 0.919 (Fornell and Larcker 1981). Items under each construct, factor loadings, Cronbach's alpha and construct reliabilities are given in Table 3. The various fit indices for the CFA suggested good fit to the data $\chi^2(137, N=333) = 356.960, p= 0.000$, Goodness of Fit Index (GFI)=0.896, Comparative Fit Index (CFI)=0.955, Normed Fit Index (NFI)=0.929, Tucker-Lewis Index (TLI)=0.944, Root Mean Square Error Approximation (RMSEA)=0.07).

There is no standard for acceptable GFI, but rule of thumb is GFI greater than 0.90 (Lattin et al., 2003) and RMSEA values of 0.08 and less have been advocated as indicative of acceptable fit (Hu and Bentler 1999; Lattin et al., 2003). Consequently, goodness of fit indexes supported the proposed model as fit.

Structural Model

Since the objective of this study was to identify dimensions that increased Intention to shop online, a structural model was tested. The result of the path analysis showed a good fit of the model (χ^2 (143) = 381.595, $p=0.00$; GFI=0.903, CFI=0.936, NFI=0.903, TLI=0.957, RMSEA=0.068).

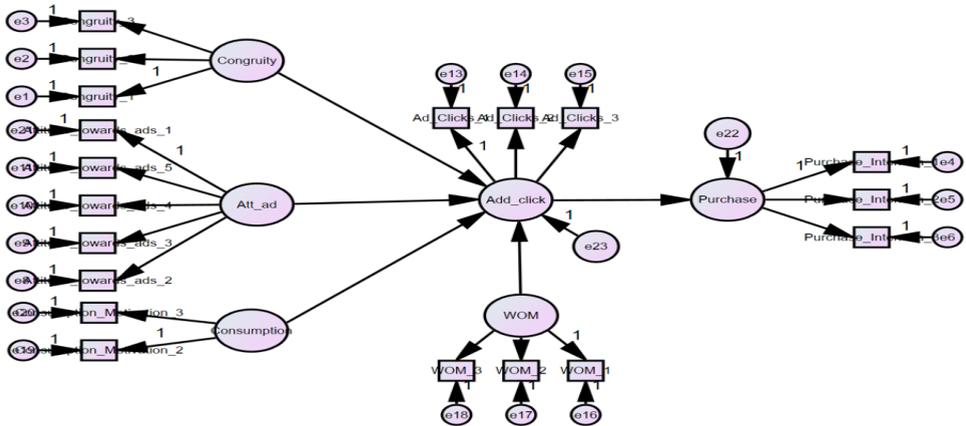


Figure 2. Graphical representation of path model

Table 4. Result of Path Analysis

| Paths | Standardized path coefficient | t value |
|------------------------------------------|-------------------------------|-----------|
| Congruity → Ad Clicks | 0.134 | 2.829* |
| Attitudes to SNS Advertising → Ad Clicks | 0.152 | 2.873* |
| Consumption Motivation → Ad Clicks | 0.095 | 2.277* |
| WOM → Ad Clicks | 0.803 | 10.246*** |
| Ad Clicks → Purchase Intention | 0.863 | 10.680*** |

$\chi^2(136) = 332.395, p=0.000; GFI=0.907, CFI=0.960, NFI=0.934, TLI=0.949, RMSEA=0.066$
 * $p < 0.05$; ** $p < 0.01$ ***; $p < 0.001$

As a result of the path analysis it was found that the Congruity, Attitudes to SNS Advertising, Consumption Motivation and WOM affect Purchase Intention through Ad Clicks.

6. Conclusion

The paper finds that congruity, attitudes to ads and consumption motivation are efficient to click ads. Word of mouth marketing lead to ad clicks, which respectively affect to purchase intention aswell. The importance of consumer behaviour and advertising on SNSs such as Facebook, Youtube, LinkedIn, Twitter and others come to exist in the study. Companies reserve a share of advertising budgets, especially to reach the children and younger generation and affect their purchase intentions. Consequently, in the study all variables are positively related to each other and shows satisfactory levels. These results suggest that marketers need to take into account and manage actively social media and specifically their social network sites.

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A New Proposal to Teaching: The Beehive Interactive Learning Model in a Statistics Course

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Abstract

The purpose of the study is to present the Beehive Interactive Learning Model (BILM) and to provide an example of its application in an undergraduate statistics course. The model is developed by the researcher, who is a professor in Educational Measurement and Evaluation area in Turkey with over 15 years of teaching experience. The model is based on four main components; content, instruction, assessment, and motivational beliefs. The core principal of the model is to stimulate students' desire for learning. Both the instructor and the students are in the center of the model, placed in the beehives, referring to the hard work and constant interaction among students. The graphical representation of the model is presented in the paper. The model has been improved over a period of 10 years by adding new components and omitting some. The model requires the instructor to encourage active learning through class projects and performance assignments. It heavily relies on technology and the Internet; course portal provides online documents, an opportunity to download and submit assignments online, and to take online self-regulated quizzes with instant feedback. There are lab sessions requiring students to demonstrate their analyzing skills in SPSS. The model aims to pack the knowledge in a way that awakens everybody's desire to learn, satisfies the learner through successful hands-on applications and finally develops a sense of success, hopefully yielding positive attitudes toward the content and learning. The model is in the process of development and any suggestions are welcomed from the researchers around the world.

Keywords: Beehive Interactive Learning Model (BILM), learning, teaching.

Introduction

There are many ways a teacher can teach as there are many ways a student can learn. A quick search leads us to four learning theories; behavioralist, cognitivism, constructivism, and collectivism. In terms of the learning perspective, behaviorism and cognitivism apply teacher-centered instruction, while the constructivism and collectivism are more student-centered. In behaviorism, learning is considered as a response to an external stimulus. Cognitivism takes it a little further by considering learning as a process of acquiring and keeping the knowledge. Therefore learning is seen both as an internal and external process. In cognitivism, the instructor is responsible for helping students store and recall the knowledge as needed. Constructivism considers learning as a process of building the knowledge. In the learning process, we are aware that the knowledge is constructed over the previous information which the student already knows. Instructor's responsibility is to keep the learners active and encourage social interaction. In the student-centered classes, students are welcome to take a part in the design of each class according to their needs. Finally, in connectivism, learning is considered as a process of connecting different sources of knowledge in a network by the use of technology, therefore Internet. Among these, connectivism is the one which heavily relies on technology.

Eccles and Wigfield (2002) divided the learning theories into four categories. These are theories focused on expectancies for success (self-efficacy theory and control theory), theories focused on task value (intrinsic motivation theory and self-determination, flow, interest and goals), theories that integrate expectancies and values (attribution theory, the expectancy-value models and self-worth theory), theories integrating motivation and cognition (social cognitive theories of self-regulation and motivation), and at last theories of motivation and volition). In the same study, Eccles and Wigfield (2002) argued how to integrate theories of self-regulation and expectancy-value models of motivation.

Bandura (1977) developed the Social Learning Theory (SLT), stating behaviors, thoughts, feelings, attitudes and the social environment molds an individual's personality. In SLT, Bandura stated the importance of mediating mental factors for an individual to observe the behavior and imitate it. In the Behaviorist Model, the link between the stimulus and the response is considered as a black box, the source can be anything (e.g. beliefs/attitudes, motives, needs, perceptions); however, in cognitive model it is called as a mediational process occurring between the input and the output behavior. Bandura proposed four mediational processes: Attention, retention, reproduction, and motivation. We do not expect someone to repeat a behavior he/she did not notice (attention); in order to repeat the behavior he/she must recall it (retention); if it is learned, he/she can do it again as needed/wanted (reproduction); and finally anything is possible if he/she has the desire or the will to do it (motivation). The importance of will power on learning certainly was known from the beginning of mankind. Bandura (1997) was the first to suggest self-efficacy beliefs for facilitating effective instructional environment. He clearly defined and related it to the learning behavior. The sense of self-efficacy, also called confidence as commonly used, is explained as a source playing a major role in how one approaches a problem, goal, task, or a challenge. According to Bandura (1997), self-efficacy is one's belief in one's ability to succeed in specific situations or accomplish a task. Bandura stated that the current or past personal experiences of the learner are the most important source of self-efficacy. Therefore we can conclude that someone who had negative attitudes toward math would end up having a negative attitude toward statistics.

Over the years, SLT has become very influential on learning and development as considered by some researchers; e.g. Nabavi (2012) as the most influential. It is sometimes referred to as a "bridge" between behaviorist and cognitive learning theories because it encompasses attention, memory, and motivation (Munoz, n.d.). It is so much so that Ormrod (2008) called the SLT, Social Cognitive Theory. The way cognitive, behavioral, personal, and environmental factors interact with each other and influence the behavior is emphasized in Bandura's Social Cognitive Theory (Crothers, Hughes, & Morine, 2008) as Triadic Reciprocal Determinism. Therefore reorganizing the environment, changing the beliefs about the course, or reshaping students' self-perceptions about themselves can influence their learning skills. Self-regulation is another source positively affecting student's learning. Self-regulated e-tests are regarded positively to increase student's self-regulatory skills in studies that frequent e-tests were offered to the participant students (Basol & Balgalmis, 2016; Maurer & Longfield, 2015; Maurer, 2006).

The purpose of the current paper is to introduce a new learning model called "The Beehive Interactive Learning Model" with an illustration of its application on a topic in a statistics course. Beehive Interactive Learning Model, developed by the author in her classes is based on a constructivist and connectivist perspective. The model heavily relies on the computer and Internet. The conceptualization of the model is provided in Figure 1.

Fig. 1. Beehive Interactive Learning Model

The name beehive refers to the hard work expected both from the instructor and students. There are four main components of the model; three on the sides and one in the center. The ones on the sides are content, instruction, and assessment. Motivational beliefs are in the core of the model throughout the course. The students and the instructor were placed in honeycombs next to each other, suggesting maintaining instruction among students also between them and the instructor.

2. Beehive Interactive Learning Model

The Beehive Interactive Learning Model was developed over 13 years of teaching experience by the researcher.

Four Main Components of the Model

The model has four main components; content, instruction, assessment, and motivational beliefs.

2.1. Content

The model requires a blended course enriched by the use of flipped classroom activities, online quizzes with instant feedback opportunity. The design of the content in BILM will be explained in the Statistics II course taught by the author in the spring semester of 2017 in Gaziosmanpaşa University. Statistics II was offered to the undergraduate program of Psychological Counseling area. In the statistics II course, which the model was applied there were seven main application skills that were aimed.

These were preparation of the data set, z tests, t tests, ANOVA, correlation, regression, and factor analysis. The semester lasted 14 weeks. Statistics I was offered in the fall semester to sophomores and all of the registered students that had taken statistics I in the previous semester. They were familiar with SPSS and were already able to obtain, review, and make comments on descriptive statistics and graphics. Therefore, we could say that the model is more suitable for courses requiring application level skills, graphical demonstrations, and memory of visual illustrations. BILM answered the needs in statistics II both for the students and the instructor. In the following heading, the instruction of the model is explained in detail.

2.2. Instruction

The main instructional tool is the course portal. The course was designed as a blended Learning Management System on MOODLE. The system has been active in World Wide Web since 2011. Students register to the system through their student ID and then have access to the course portal through Gaziosmanpasa University's Learning Management System (lms.gop.edu.tr).

In Figure 2, a screenshot of the course portal is provided.

Fig. 2. A Screenshot of Statistics II Course Portal

The main content of the course was defined by the Higher Education Council of Turkey and regular weekly courses were supported with blended learning environment through MOODLE. The course portal provided a link to download the materials for Statistics II. The syllabus was provided as well, covering the weekly topics and the course requirements. As an example, the instruction of independent *t* test was explained in detail.

2.2.1. An Example of the Instruction of BILM

First, the topic was covered in the regular weekly class session. A brief explanation about Student's *t* test was provided and students encouraged sharing their ideas on how they can use the independent *t* test when they become a school counselor. By this application, the instructor expected students to be more interested and involved in the remaining of the course. Later the instructor explained the test a bit more in detail, provided the assumptions for independent *t* test, and showed the formula followed by an example to practice how to calculate the test by hand. As the assumptions were provided, students were asked to recall how each assumption was tested as they learned it in statistics I. Each assumption was recalled by reviewing how they were checked and how it was decided whether they were met or not. Thinking aloud and discussion among students were allowed in this process to make them enjoy discussing statistics and feeling the togetherness. In the third step, the instructor demonstrated how to run *t* test in SPSS by the use of data in the example. Screenshots of the process were also included in a PPT slide covering the highlights of the class. These notes were provided in the course portal beforehand and most of the students brought it to class. As the instructor calculated the problem on the blackboard, students confirmed the result from their notes. It was not a requirement but as the students studying in this manner got better in the course, this application was followed by others, especially the girls. SPSS screenshots were also in the handouts. As they see how easily they can calculate or get it done in SPSS, the instructor expected students to feel a relief about their assignments.

Students had to prepare a portfolio, covering assignments on the preparation of the data set, z tests, *t* tests, ANOVA, correlation, regression, and factor analysis. In the course portal a detailed check list for each assignment was provided to help students to review and self-control their work and also to maintain a certain standard in the assignments. They were free to work alone or in groups up to three students if they wish. Students were required to make up their own problem associated with psychological counseling area, make up the data, calculate by hand and in SPSS and make their tables and write up their findings according to APA style. The instructor prepared a study sheet for each analysis, containing an example of each test. In Table 1, the check list for independent *t* test is provided.

Table 1. The Check List for Independent *t* Test

For SPSS analysis, students were able to follow the videos in the instructor's YouTube channel. The videos were accumulated over the years according to the requests made by the students in the classroom sessions. As the instructor realized that students use their smart phones to take videos in the class, she made the recordings and shared them on YouTube and let them know through the class' Whatsapp group. This also helped students who miss a class occasionally. Through the semester as requested, the video of a certain application could be found online as the instructor demonstrated it in class.

2.2.2. Instructor's Role in BILM

In terms of the instructor's role in the model, the instructor must be a guide and a facilitator. The instructor introduces the content; makes it sound easy by either referring or linking to the previously learned content. It is also essential to show that it is simple by hands on experiences. Step-by-step examples calm students about the assignments and encourage them to do it in a timely manner. Check lists were introduced right after the work was assigned, therefore students would know what was expected from them. According to students' point of view, flipped learning was useful and overall students favored it above anything else which had been performed to ease their learning throughout the semester. They could stop the videos anytime they wanted and review the material as they wished while they progressed with their homework. It was great for topics requiring sequential instruction.

Flipped classroom application was found to be a useful strategy for performance assignments in the statistics course. The lecture demonstration videos were also provided. The diagrams, graphs, and charts from the news were encouraged to be shared in the classroom so that students could experience real life examples. Anything that could help them learn was applied e.g. storytelling, to drama, simulations, and applying statistical analysis to sample data and etc. As an example, to explain the difference in corresponding table values for .05 and .01 confidence levels in a one-sided test, the instructor picked a student and made him/her stand on one tail and explained the change in the table values. For two tailed-tests, the table values and the area between the mean and the sides were explained by the use of one student in each tail. This was repeated and the values corresponding to the critical levels were written and once completed it was read aloud to make it seen and heard, as well.

2.3. Assessment

Over 15 years as an instructor, by constructing new items for every class, the author ended up having an item bank of over 11 hundred test items in statistics. She realized the urge students had to see the sample test items before the exam; the more they were anxious about a course, the more questions they asked about the exam e.g. what they should expect in the exam, how difficult it would be, how many questions they are going to be asked, and so on. Therefore, the idea of offering self-regulated quizzes and trial tests for midterm and the final exam was appealing. In the author's courses (Statistics, Measurement and Evaluation), students have a chance to do so since 2011.

In terms of assessment, formative self-regulated e-quizzes with instant feedback play an essential role in the model. Self-regulation is an abstract concept, often studied as an important factor influencing student achievement (Basol & Balgalmis, 2016). Self-regulation has three phases; forethought, self-reflection, and performance (Zimmerman, 2005). In BILM, all of these three phases are reflected. Since there are many sources students can use, they can review the material and decide how to go about it. Later, students carry on each step by themselves, forming the problem and the data, calculation, analysis and the write up part. They not only submit the portfolio, also perform in the lab session requiring them to demonstrate SPSS analyses on a data set provided by the instructor. Therefore, one can easily see whether a student can perform all the analyses covered in the course on a sample data set, make the right conclusions in a limited time. During the lab sessions students were allowed to ask questions, request help and work with a peer as they needed. In case they received help, they needed to perform the analysis with another variable other than the one they used with the peer mentor's guidance. The peer mentors were the students who completed their lab work early and wanted to help their classmates. There was no punishment for failure; students knew that in case they could not succeed, their lab sessions would be rescheduled. Their performance was awarded with stars and peer mentors received an extra star for their help. The focus was not on the grade, lab sessions were more like a chance to sit down and practice every analysis they learned in the presence of the instructor. The lab sessions were regarded highly by students. There was not a single student who left the lab without completing the work assigned.

2.4. Motivational Beliefs

As it can be seen in Figure 1, motivational beliefs are in the core of the model and should be considered in each step of the instructional design. As widely accepted, it is not possible to improve learning by solely concentrating on learning strategies for that motivation is the source yielding students to study.

The effect of many cognitive and meta-cognitive strategies on learning is widely acknowledged and their relation to achievement is studied in various subjects at different educational levels.

According to Pintrich, Smith, Garcia, and McKeachie (1991), motivational beliefs are cognitive behaviors and meta cognitive strategies; including intrinsic motivation, extrinsic motivation, and task value (referred to as value components), control of learning beliefs and self-efficacy for learning and performance (called expectancy component), test anxiety (mentioned as an affective component). Cognitive and meta-cognitive strategies are reported as rehearsal, elaboration, organization, critical thinking, self-regulation, time and study environment, effort regulation, peer learning, and help seeking behavior (Pintrich, Smith, Garcia, & McKeachie, 1991). Intrinsic motivation is the behavior driven from internal rewards which may not be recognized visually in most occasions. Extrinsic motivation refers to outside rewards and punishments affecting one's desire to learn. The problem with this is that it is hard to know what to use for students coming from different backgrounds and to what extent it could have an effect. Task value refers to the student's evaluation of the task in terms of its usefulness; again it could be a challenge to change students' perceptions of the task since most of the time it can be manipulated by the students. Control of learning beliefs is about whether the student believes the effort he/she puts into class would be rewarded. Most of the time the student who scored too low in the mid-term quits studying being convinced he/she would fail no matter what. In the current application of BILM, the grade was a function of various components (performance in the assignments, portfolio check, midterm exam, final exam and the performance in the lab sessions) so that there was not too much emphasis placed on the midterm or any others. There were students who scored less than 20 out of 100 points; however, they were assured by the instructor that they still had a chance as long as they reviewed what they did wrong and found out how they should have studied and did it right from any point.

Through the techno-enriched instruction and hands-on experiences, it was expected to increase students' intrinsic motivation by building passion for work, positive attitudes toward learning and teaching, eagerness to try, expressing confidence, resilience, help-seeking and giving behavior, increasing self-efficiency, self-regulation, and appreciation of knowledge. From beginning to end, students were encouraged to do their assignments through assuring them it was easy, useful and worth learning. The instructor answered some of their questions or guided them elsewhere so they could build self-reliance and experience joy by finding something they had been looking for. It was claimed that while taking a bath in a public bath house, Archimedes realized that the more his body sank into the water, the more water was displaced. He walked out of the bath screaming "Eureka! Eureka!", which means "I found it! I found it!" (Cited by Biella, 2006). By guiding students to the right direction, the instructor helped them find the answer by themselves. Dispositions are defined as frequent and voluntary habits of thinking and doing (Da Ros-Voseles & Haughey, 2007). It is also referred to as characteristics and wrongly used interchangeably with traits and skills (Colker, 2008). As highlighted in Da Vas Vosales and Fowler-Haughey (2007) and pointed out in Colker (2008), traits are unconscious behaviors, while skills are more likely to be the result of conscious teaching efforts. BILM suggests that the instruction should aim at more than just attaining the specific teaching goals of the course. With proper education, it is possible to help students gain positive attitudes towards both learning and teaching e.g passion for work, sense of responsibility, time-management skills, sharing rather than give and take based-relationships, being organized, following the commands and etc.

The purpose of Beehive Interactive Learning Model is to improve learning, help students have a better grasp of their knowledge by encouraging them to communicate with each other and implement this knowledge to their self-proposed problems which are similar to real life scenarios. At the beginning of the class the weight is on the instructor. Then, it gradually shifts to students through the examples, questions and performance tasks. In this model, student participation was aimed to be increased through planned activities for retention purposes. The instructor praised every effort for learning; students were encouraged to complete their tasks without any pressure; such as working to a deadline, being graded, and test anxiety.

3. Conclusion

The motivational beliefs, purposed to be improved by the use of BILM in its current application in Statistics II are explained shortly. First, the Beehive Interactive Learning Model is expected to improve student learning by designing the course in a way offering various techno-enriched instructional sources (e.g. frequent online quizzes, flipped classroom activities, online course documents), along by decreasing the stress level by hands-on application opportunities, well-structured and guided performance assignments, with an emphasis on increasing the motivation and self-efficacy skills by assignments.

Pintrich, Smith, Garcia, & McKeachie (1991) mentioned task value as a meta-cognitive strategy improving learning. In BILM, the instructor put a lot of effort to relate the content to real life situations through the assignments and the lab sessions hoping that it would increase the task value of the content. Self-regulation is another meta-cognitive variable that is expected to be improved by the application of self-regulated e-quizzes and the assignments with no deadline in BILM. In the current application of BILM, using multiple instruments for grading helped the instructor build positive perception regarding the control of learning beliefs, suggested also as a meta-cognitive learning strategy. Students were interested in the concept and were highly motivated at all levels from the beginning to the end. Providing a sample problem with the solution and being able to review how to do videos for each analysis made students believe that assignments were manageable, therefore these efforts were expected to increase the self-efficacy level of students.

Detailed control lists to review the performance in assignments were useful for the instructor to maintain a certain standard in the assignments and for the students to get a sense of how well they were doing. The assignments were not graded through a rubric since they were used to diagnose the missing points and make timely corrections. The instructor reviewed the student portfolio in the presence of the student by focusing on the rights, praising the student for the effort, and at last pointing out the mistakes by explaining how to do it correctly. In the review process, volunteer peer mentors also checked the portfolios in the presence of the instructor, arguing whether it was acceptable to do an analysis in a certain way. The more they took part in this activity, the more the peer mentors got better in statistics. After directing the student to the right source (to a certain video recording or study sheet), a new meeting was scheduled as needed. This application purposes teaching through evaluation process and it is not present in any other teaching models. One-to-one portfolio evaluation can be referred to as a personalized evaluation. It was beneficial to understand whether students understood what they did in the assignments, how deep their knowledge was. One-to-one portfolio evaluation can also be considered as a way of improving interaction among students and between the student and the instructor. BILM creates a classroom environment full of worker bees in the guidance of a queen bee, also being the reason the model is named Beehive Interactive Learning Model.

In the BILM, frequent online testing opportunity is purposed to decrease test anxiety as well, an affective component (Pintrich, Smith, Garcia, & McKeachie, 1991) usually regarded negatively although it is known to have a positive effect on achievement to some extent. Basol-Gocmen (2004) suggested frequent testing as an instrument to keep students on the ball and therefore reduce their test anxiety (Basol-Gocmen, 2004). Being able to solve similar test items to the ones in the midterm and final exam was relaxing and since the emphasis was on the assignments and the portfolio, teaching to the test effect was not expected to occur. If the emphasis were on the mid-term and the final tests, students would see the frequent online exam only as an opportunity to pass the course. Basol & Balgalmis' research (2016) which frequent e-tests were applied as an instructional tool suggested that self-regulated students take this opportunity more often. It would be interesting to search whether taking e-tests was helpful in overcoming the fear of failing a course. The researcher suggests BILM to the instructors who have an item bank, and to ones with sufficient knowledge of computer enriched instruction; such as MOODLE, Blackboard, WEBCT, YouTube, and GDrive. So far the model has been applied in courses provided by the author to the undergraduate level teacher candidates (Statistics I, Statistics II, Measurement and Evaluation). It would be impressive to see the application of BILM on a course other than the ones stated and at different educational levels. BILM offers a new way to teaching and any instructor who has a genuine interest in improving his/or teaching skills is welcomed to use BILM.

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TABLES AND FIGURES

Fig. 1. Beehive Interactive Learning Model

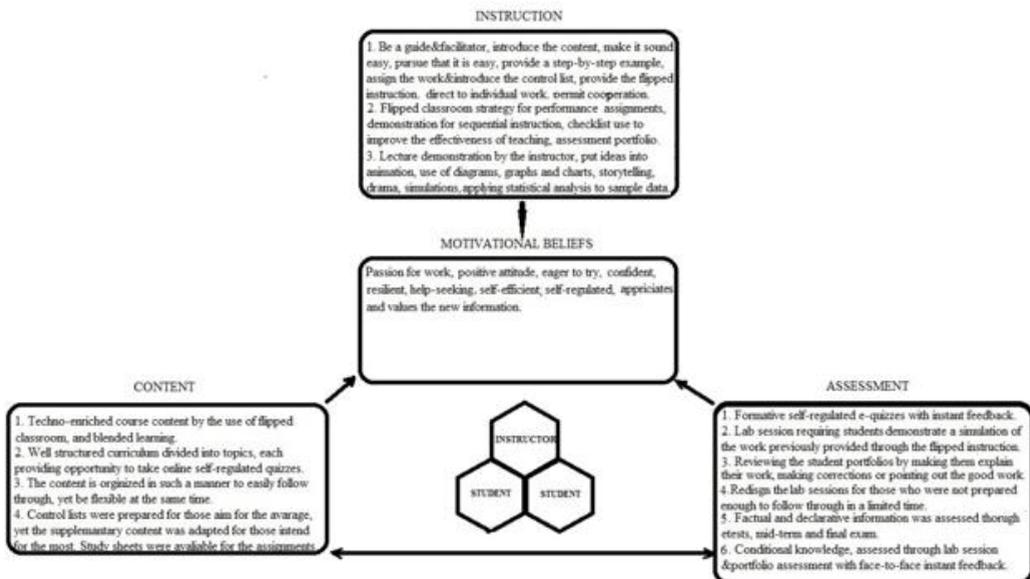


Fig. 2. A Screenshot of Statistics II Course Portal

Fig. 2. A Screenshot of Statistics II Course Portal

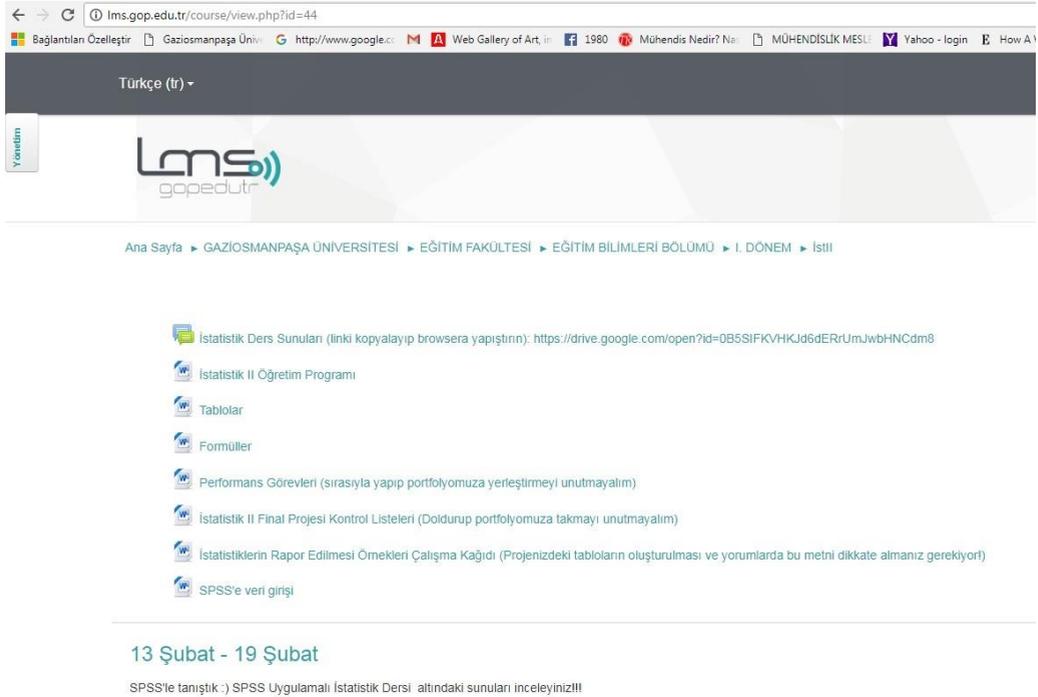


Table 1. The Check List for Independent t Test

| t test Check List (2) | Yes | No |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----|----|
| 1. Do you have an orijinal t test problem statement? (Dependent variable, a continous variable in interval or ratio scale, independent variable, a categorical variable in nominal scale with two levels) | | |
| 2. Are your hypotheses suitable to your problem statement? (one way or two ways) | | |
| 3. Do you have a self-constructed data set for your problem? (Complete the assumption check , search for an outlier, normality, and homogeneity of variances) | | |
| 4. Do you have the formula in your assignment provided in class for t test? | | |
| 5. Did you complete the hand calculations with the correct formula? | | |
| 6. Did you find the correct table value for your problem? Did your hypothesis hold? Was your conclusion suitable to your findings? | | |
| 7. Did you calculate the effect size and make your conclusion? | | |
| 8. Did you provide screen shots of your analysis? | | |
| 9. Did your SPSS results match your hand calculations? | | |
| 10. Can you explain t test, when it is used, its assumptions, and its non-parametric alternative? | | |

The Usage Of New Media In Cultural Diplomacy: A Case Of Turkey

Berna Berkman Köseleli

Abstract

This study attempts to reveal new media usage in cultural diplomacy which is acting by Turkey. The interactions between governments in culture, art, education, science to improve relations are defined as cultural diplomacy. New media could be an important sphere to consolidate relations and dialogue between states in diplomatic affairs. Cultural diplomacy is also acted as a soft power tool to control and effect public perceptions. The function of new media in cultural diplomacy is considered with a quantitative research by applying a case study in this study. The official Twitter accounts of Foreign Ministry of Turkey are examined in a month period in terms of their content. It is seen that there is a more need to lessen disagreements, to change the misperception about publics, to repair governmental relations by acting cultural diplomacy in Turkey. The governmental organizations should add new communication channels like new media to get feedback of different voices, values, opinions. If communication means are used to support exchanging information and culture, thus the gap between publics may diminish. Diplomatic facilities, events or activities could be reported to the publics instantly by using new media.

Keywords:

Cultural Diplomacy, Soft Power, Turkey, New Media.

An Introduction to the Conceptual Framework

Cultural diplomacy, in the strict sense, is a governmental practice that operates in the name of a clearly defined ethos of national or local representation, in a space where nationalism and internationalism merge. Cultural diplomacy can also be practiced by other agencies such as non-state actors and various initiatives of civil society. So the meaning of cultural diplomacy has broadened considerably, thus the term has come to be used as a partial or total replacement for many previously used notions, such as foreign cultural relations, international cultural relations, international cultural exchange or international cultural cooperation (Ang, I. et al., 2015: 367). On the other hand, the well-known definition of M. Cummings (2009: 1) points out that the cultural diplomacy refers to the exchange of ideas, information, art and other aspects of culture among nations and their peoples in order to foster mutual understanding.

The cultural diplomacy approaches are gathered in three basic heading by the report of Cultural Diplomacy Platform which was established by the European Union Commission in 2016. 'The public diplomacy approach', according to which the government has a monopoly on the practice and goals of cultural diplomacy; 'the strategic communications approach', which does not necessarily entail the involvement of the government but implies its role in fostering a specific strategic interest, and 'the cultural relations approach', which looks at cultural diplomacy as a practice based on dialogue and collaboration, detached from a soft power (2016: 2). According to the report, states are still perceived as the main actors carrying out cultural diplomacy, new stakeholders become more active such as non-governmental organizations, private entities, civil initiatives and etc. besides the state's monopoly.

Cultural diplomacy is considered as a part of public diplomacy, advocated as a more citizen-oriented form of diplomacy than the standard model, whose targets are no longer other governments so much as diverse national and global audiences and publics (Ang, I. et al., 2015: 368). Cultural diplomacy constitute a practical agenda for integrating the work of cultural institutions into the existing structures and working practices of public diplomacy (Bound, K. et al., 2007: 65). Where the rise of public diplomacy could be described as the shift from few-to-few communication to few-to-many, this era will be characterized by the growth of many to many interactions (Bound, K. et al., 2007: 75). Cultural diplomacy is differently implemented from traditional diplomacy; official visitings and statements. Public opinion, values, needs and demands become important in diplomacy issues. According to K. Bound et al. (2007: 68- 70) social software platforms help to

coordinate the growing numbers of cultural players, and cultural institutions should continue to develop online services for their visitors.

The concept of cultural diplomacy, in some arguments, can be seen as activities for shaping opinions about the country's cultural heritage or promoting the country with the aid of history itself. As Ryniejska Kieldanowicz (2009: 2) countries recognize that showing cultural heritage provides them with an opportunity of presenting who they are, creating positive images, thus helping to achieve their political aims. Ryniejska (2009: 10) stresses that cultural diplomacy is commonly accepted as brand management and identity building. Both are based on the task of creating a proposition or undertaking, usually based on values, that should be effective to impact in many situations and many target groups.

Cultural diplomacy is often viewed negatively due to its connotations with colonialism, imperialism and propaganda. Dominant states have always used culture to transmit political, social, cultural and economic values (Nisbett, 2013: 558). The term discussed differently by M. Nisbett who claims that cultural diplomacy could be a positive diplomatic action and international cultural relations if it is not used for serving propaganda.

Zamorano (2016: 180) considers cultural diplomacy as an area of government intervention and based on various temporal, communicative and political participation variables, and he put forwards its boundaries in relation to other activities such as public diplomacy and propaganda. In this point of view, cultural diplomacy is associated with a variety of goals that result from contextualized definitions of national interest and securing power. By this reason, the borders between this group activities and public diplomacy, branding and propaganda is blurring (2016: 181). Cultural diplomacy is structured following diverse government strategies of bureaucratic, social or industrial pre-eminence and the power relations of these spheres in different contexts. According to Zamorano's approach, the historical developments in diplomacy displays that war and geopolitical tensions often result in cultural diplomacy serving as neo-propaganda (2016: 181). Zamorano (2016: 175-176) mentions that cultural diplomacy is integrated with soft power arguments and employed separately from hard power, so it can be use as a soft power tool to constitute the persuasion mechanisms without using coercive methods.

S. Mark (2009: 1) points out cultural diplomacy as its contribution to cultural relations and domestic objectives. According to Mark, cultural diplomacy has the potential to become a much more powerful tool for improving a country's image, nation branding, social cohesion. In the point of Mark's view, cultural diplomacy is defined as the deployment of state's culture in support of its foreign policy goals or diplomacy (2009: 7). Cultural diplomacy's functional objectives also include advancing trade, political, diplomatic and economic interests, developing bilateral relationships across the board, including economic, trade, political, cultural and diplomatic elements, connecting with groups abroad that are important to the cultural diplomacy practitioner (such as diasporas), and helping to maintain bilateral relationships in times of tension (2009: 9).

New media give some operational advantages to policy makers on managing information networks. As Hwajung Kim (2011: 2) says, the new way of communication with information technologies provides new opportunity for cultural policy makers to broaden their target audience and to promote culture even more widely with its new media platforms. Cultural diplomacy using information technologies can strengthen soft power if cultural policy makers make use of new communication technologies effectively and strategically. H. Kim (2011: 1) defines cultural diplomacy as forming international bridges and interactions, identifying networks and power domains within cultures and transcending national and cultural boundaries. It is important in Kim's approach that implementing cultural exchanges and developing communication through information technologies bringing nations people closer together (2011: 12). The changes on political-economic system, neoliberal policies, globalization, the participation of new diplomatic actors such as non-governmental organizations, private entities, civil initiatives transform the way of cultural diplomacy. The emerging technologies and the digital networks are accompanying to this recently changes and can use so as to support the international cultural relations.

Historical Development of Cultural Diplomacy

In the view of Espinosa (1976: 35-36), the practice of cultural diplomacy is rooted to the 19th century especially in the continent of America. In the early 19th century, North Americans came in closer contact with South American countries. From the mid 19th century there was a noticeable awakening of interest between in all South American colonies, and the beginning of more lasting cooperative activities in the sciences, archeology, ethnology, education, history and literature.

Similar initiative actions have been occurred in Europe, nearly in the same historical period. Paschalidis, (2009: 277-279) who categorizes the development of interconnected cultural relations in historical phases, emphasizes that the emergence of foreign cultural affairs dates back to 1870s in Europe along with the beginnings of Cultural Institutes abroad. The establishment of such national associations coincide with the age of neo-imperialism. The origins of the globally familiar

presence of the British Council, the French, the Italian or the Goethe Institute, lie in the mission imperialism of European colonialism.

As Paschalidis (2009: 280-281), the institutionalization of external cultural policy widened with the I. World War. The Cultural Institutes along with the various related bodies and activities (scholarships, student and academic exchanges, art exhibitions, theatre, concert tours, etc.) become standard feature of the official external cultural policy of great countries. States initiated, administered and financed these cultural policies, but it was seen that the ideal of cultural nationalism had replaced by the cultural propaganda.

As Glade's (2009: 240-241) expression, cultural diplomacy began as a permanent function at the State Department in the 1930s. However this diplomatic affair became increasingly important in the 1940s and 1960s along with public diplomacy. Cultural diplomacy was in progress with new actors like US Information Agency and UNESCO after the II. World War. Paschalidis (2009: 282) mentions that despite the efforts of UNESCO on international cultural cooperation, culture was politicized and turned into a vehicle for ideology among the East and West Blocs.

Glade (2009: 242) states that culture was enlisted in the service of diplomacy within cooperation; when the II World War ended and once a new set of challenges came into view, organizational mechanisms were implemented for political, social, cultural renovation and economic reconstruction of Western Europe. In accordance with this effort, UNESCO (1946), an affiliated agency of UN, was established as a forum for cultural diplomacy (Glade, 2009: 243). On the other hand, US Information Agency was established in 1953 for monitoring public policies abroad and presenting government policies. The Voice of America, which had been launched in 1942 for multilingual broadcasting, were either modified and transferred to the Department of State for a sustained program in public, as well as, cultural diplomacy and the Marshall Plan (1948), which was a financial support program, was acted as an supplementary element in European reconstruction effort (Glade, 2009: 242-243).

Until the end of Cold War, Great Britain, France, Germany, USA and Soviet Union were the pioneer forces in terms of creating the instruments to the external cultural policy. Since then, 'soft power' come to forefront and various instruments have been developed by a range of other countries to promote their diplomatic agendas (Paschalidis, 2009: 283). The political-economics landscape evaluated into multipolar system after the Cold War. There is a need to promote mutual understanding and reciprocal dialogue by bridging cultural relations in the new era of diplomacy which is conducting with multi-actors and new communicative tools.

A Discussion on the Cultural Diplomacy of Turkey

3.1. Actors

Foreign Ministry of Turkey constitute a department on cultural diplomacy in 2010 to keep close relations with foreign countries and coordinate the operation of the public foundations (YEE) and official entities (TIKA, AFAD, YTB) which are serving for international social and cultural activities. Multilateral platforms (UNESCO), bilateral agreements, scholarships, mutual cultural days/ years, international exhibitions and fairs are also supported by the Foreign Ministry within the scope of cultural diplomacy. Essentially, the institutionalization of cultural diplomacy in Turkey dates back to older times. In this context, Turkish Cooperation and Coordination Agency (TIKA) was established in 1992 as a technical aid organization under the Ministry of Foreign Affairs to provide the adaptation and the developmental needs of the Turkic Republics after the disintegration of the Soviet Union. ¹ Since 2002, TIKA has expanded its function through the development assistance activities which are conducted abroad and become a global organization as a new policy aspect of Turkish Prime Ministry. Its projects are undertaken by more than 50 Program Coordination Offices and also in 150 countries ranging from Central Asia and the Balkans to the Middle East, Africa, Latin America and the Pacific Islands and operate without discriminating race, language, religion and sect. ² Another governmental agency, Disaster and Emergency Management Presidency (AFAD), acting in accordance with Prime Ministry, supports humanitarian assistance to over 50 countries around the globe at the international level. The agency is providing various facilities to refugee camps like housing, healthcare, education, psychological support. ³

¹ <http://www.tika.gov.tr/en>

² Turkish Cooperation and Coordination Agency (2014), Annual Report, Retrieved at September 04, 2017, from http://www.tika.gov.tr/upload/2016/INGILIZCE%20SITE%20ESERLER/FAAL%C4%B0YET%20RAPORLARI/PDFLER/FR2014_ENG.pdf

³ <https://www.afad.gov.tr/en/>

The Foreign Ministry established a new agency in 2010 to strengthen the social and cultural relationships with related countries. Presidency for Turks Abroad and Related Communities (YTB) is engaged in coordinating Turkish citizens and related communities abroad, and students studying in Turkey with international scholarship. YTB try to announce its activities in social media platforms (Facebook, Twitter, YouTube channel) and has an online library in its web sites ¹ The field of cultural diplomacy is expanded by the participation of new actors in Turkey. As a public foundation, Yunus Emre Institute (YEE) started to operate in 2009 to promote Turkish language, its history, culture and arts, and create informational documents on cultural issues, build the bridges between Turkey and other countries by intercultural exchange. Several activities are organized to represent Turkish culture with the international events. The organizations are represented in its web site and the page has an open access to various social media platforms of the Institute (Twitter, Facebook, Instagram, YouTube channel, Google+). A national Voice Radio is on air via the web site of the Institute which is sharing Turkish music to the foreign and domestic publics. ²

The Foreign Ministry is sometimes operating along with the Ministry of Culture and Tourism while carrying out international cultural facilities. Directorate General of Libraries and Publications of this Ministry has a project for funding authors by supplying their translation and publication cost. While Directorate General of Fine Arts is arranging international art exhibitions, Directorate General of Promotion supports the student exchange programs, and all these actions are driven under the Ministry mentioned above. On the other hand, a web site, with a campaign concept 'Turkey Home', is constructed to make a contribution of Turkey's global outlook and the related social media platforms are attached to the campaign page. ³ It has reached 6 million users on social media platforms (Twitter, Facebook, Instagram, LinkedIn, Vine, Google+). The Ministry of Culture and Tourism also established a Cultural Diplomacy Bureau in 2014 and begin to act intercultural projects, for instance giving travelling awards to the foreign students. Because of the new establishment of the Bureau, social media usage is limited to input information about Turkey's culture in digital platforms.

The constitutions on higher education in Turkey make an implicit and indirect contribution to the cultural diplomacy, even though having different missions. For instance, The Higher Education Council (YOK) is funding student and academic exchange programs as the name of Erasmus, Farabi, Mevlana and prepared a web site with a topic 'Study in Turkey' to announce the acting program currently. ⁴ In addition, UNESCO Chair in Cultural Diplomacy, Governance and Education is founded at Istanbul Aydın University in 2015. The constitution aims to build an international network and bridge by executing the exchange of opinions, values, traditions, and other aspects of culture and identity. The international peace and sustainability is the another issue of the Chair, in this regard international meetings, conferences are organized and periodicals are published. Briefly, the cultural diplomacy actors are operating in a decentralized manner in Turkey's landscape, but the several cultural activities are supported for consolidating close relations.

3.2. Tools

The function of new media in cultural diplomacy is considered with a quantitative research by applying a case of Turkey in this study. Twitter accounts of Foreign Ministry of Turkey are examined by using an empirical analysis. The Ministry arranged official Twitter accounts in four language (Turkish, English, French, Arabic) in 2009. The official Twitter accounts (@TC_Disisleri, @MFATurkey, @MFATurkeyFre, @MFATurkeyAra) of Foreign Ministry are followed in a month period, from 1th August to 1th September, in terms of their contents. The analysis of 222 tweets are considered also with a relevant evaluation including the role of new media in cultural diplomacy.

Total amount of Twitter messages which are posted to the page (@TC_Disisleri) within the research period are 88, and 58 of them are retweet. Tweets are concern with official statements of the Turkish Ministry on the regional and global developments. Retweets are belongs to the official Twitter account of Foreign Minister to present the foreign visitings and meetings. Besides, the page is also examined with its attached items such as link, photograph, video, hashtag (#), mention (@). In a monthly period, this Twitter account includes 27 link in which of them related with official news cooperations (Anadolu Agency, TRT Channel). The account reports routinely official statements and opinions of Ministry by the links. As a commonly used way, photographs are uploaded to present formal agenda of Foreign Minister. The page account is including 55 photograph, but video sharing is not used as an attachment tool. Hashtag and mention items are displaying the mutual interactivity in Twitter platforms. The number of hashtags are 74 in the page. While the hashtags was posted

¹ <https://www.ytb.gov.tr/>

² <http://www.yee.org.tr/en/>

³ <http://www.hometurkey.com/>

⁴ <http://www.studyinturkey.gov.tr/>

frequently, the mentions take place rarely in the page. Hashtags are giving references to the countries (#Turkey, #Russia, #Iraq) and also the important days and events. The official accounts (@MFATurkeyFre, @MFATurkeyAra) which are reporting the messages in French (23 tweet) and Arabic (20 tweet) languages are less activated. In these accounts, all tweets are shared only with a link attachment to the Ministry web site. Besides, the pages don't include any hashtag or mention. The account of '@MFATurkey' is commonly used with interactive items such as mentions and hashtags. The tweets (20) and retweets (57) are related with foreign contacts and official statements (See the Table 1).

| | Tweet | Re-tweet | Link | Photo Image | Video | # | @ |
|---------------|-------|----------|------|-------------|-------|----|----|
| @TC_Disisleri | 30 | 58 | 27 | 55 | - | 74 | 1 |
| @MFATurkey | 34 | 57 | 24 | 65 | - | 93 | 15 |
| @MFATurkeyFre | 23 | - | 23 | - | - | - | - |
| @MFATurkeyAra | 20 | - | 20 | - | - | - | - |

It is seen that activities on cultural diplomacy are not represented in these main Twitter Accounts of Foreign Ministry. Instead of this, cultural affairs are represented in another Twitter account, called as 'public diplomacy. The page is driven by the Public Diplomacy Coordination Office. The Office is operated under the organizational structure of Prime Ministry and opened access its Twitter account in 2011 in four languages. The page (@BasbakanlikKDK) is announcing the international cultural affairs of Turkey by retweeting the other pages related to TIKA, AFAD, YTB, YEE. The total amount of the Twitter messages are 25 in a month period and 24 of them are retweet. In the account, 10 links, 19 photographs, 2 videos, 17 hashtags, 4 mentions are cited. The page contents are including the announcement of student exchange programs, courses on Turkish language, seminars, scholarships, celebrating cultural days/ years and humanitarian aid organizations.

Consequently, the Ministry departments began to utilize new media tools in diplomacy, but so to say, the departments should benefit more robustly from interactive features and operational capacity of new media for informing and promoting the cultural diplomacy activities. The instant messages and interactive attachments are used limitedly, therefore the intercultural relations aren't so visible and the usage of new media remains its weakness. Cultural diplomacy is represented on new media platforms in a decentralized way and still evaluated as a subset of public diplomacy affairs. As it is understood, the usage of new communicative tools in cultural diplomacy is comprehended in a narrow scale by the officials.

The Foreign Ministry prefers to implement cultural diplomacy in practice with its real actors instead of virtual tools and methods.

Conclusion

The rise of new media platforms is enabling the users to access huge masses and transmit opinions, values and demands. Diplomatic facilities, events or activities can be reported to the foreign publics instantly by using new media platforms. New communication technologies has been rapidly emerging and growing especially in the advanced capitalist economies. Dominant states have more capacity to operate new media tools and its outputs. There is a need to change the misperception between publics, and to repair the governmental relations in a compromising manner by acting cultural diplomacy in Turkey. The Foreign Ministry of Turkey have a remarkable capacity to restructure cultural diplomacy, but the Ministry departments are lacking in raising new media platforms in some respects. The officials should prefer to act strategies for improving new communicative tools and platforms in diplomacy.

The digital networks on cultural diplomacy are required to coordinate the intercultural activities and keep close relations with publics. Governments should increase the coordination with new stakeholders of cultural diplomacy so as to better exchange. If a country try to impose its cultural heritage, values and products by one-sided, the diplomatic action will be turn into propaganda or cultural imperialism. But, if the countries establish mutual understanding, reciprocal dialogue, interconnectivity and multi-dimensional cultural relations, this could be repair and reconstruct the relations. The governmental organizations should add new communication channels like new media to reach publics to improve cultural relations. Furthermore, getting feedback of different voices, values, opinions by new media can remove prejudices against different identities. As Cunningham (2010: 113) says, "strategic communication can be built by utilizing new media

accurately." If the communication means are used to support exchanging information and culture, thus the gap between publics may diminish.

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Moldova's Phenomenon: Can Foreign Investments Help Out of the Poverty Circle?

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Abstract

The aim of this paper is to further develop findings on the forces of globalization, which, in a positive and in a negative manner affect economic growth of various nations worldwide, both creating opportunities and posing challenges whilst deepening inequalities between developed and developing economies. The dilemma of global growth is pressing and especially relevant for the economies that currently lack economic quality, which makes them vulnerable to what this paper coins the 'vicious circle' of poverty. The findings in this study interpret changes in economic structure overtime based on the results of the analysis of quantitative and qualitative indicators of growth of national and international relevance. The case study of Moldova is expanded from author's previous contributions to demonstrate a few of the possible alternatives to create and sustain economic growth with quality, even in conditions of globalization obviously hazardous for this small economy. The paper shows how the emphasis on innovations and appropriate policies is supposed to make up for the lack of other key resources available to the developed industrial economies. It takes up an important instrument of foreign investments to demonstrate how and in what way those can be used for economic restructuring towards innovation-driven growth. It inquires how such approach will create competitive advantages helping the developing economies to break out of the 'poverty circle' towards qualitative economic growth. Among other considerations, the paper concludes on the importance of capturing the opportunities presented by the ongoing Fourth Industrial Wave, which, if approached correctly, may help many nations to 'leapfrog' through several stages of the structural ladder, enabling them to pursue qualitative economic growth. This article is interesting for businesses, including entrepreneurs and potential investors, as well as for the governmental organizations and public authorities. It provides both an evaluation of Moldova's position on the international socio-economic arena in context of globalization, and suggests action-points and recommendations potentially supporting the growth of the private sector, at the same time fighting poverty and enforcing sustainable economic growth.

Keywords: globalization, inequality, economic growth with the development, developing countries, "vicious circle of poverty", "structural ladder", investment, infrastructure, high-technology, technology, innovation **JEL Classification:** 011, 012, 038

Introduction

Economic growth is central to well-being of any nation. Modern world, in which progress is quick and poverty is continuously decreasing, still experiences the pressure of inequality gaps, meaning that the difference between rich and poor are still extremely wide. This is true both between the nations, but also within the nations. Part of the problem is caused by globalization, which in itself is a very positive trend. Globalization is one of the major driving forces of modern societies and economies. At the same time, as competition becomes more severe, globalization puts pressure of increased asymmetries and between economies worldwide, as well as within individual economies and nations.

The Nobel Prize winner Professor Joseph Stiglitz often mentions in his works that today's inequality indicators are at dangerous levels, and global instability is tightly related to the escalating levels of inequality [13]. Moreover, Stiglitz [13] adds, artificially-created market policies to a certain extent contribute to growing inequality. Lenzner adds that the top 0.1%, which is about 315 thousand out of 315 million people, makes about half of all capital gains on sales of shares or property after 1 year; and the capital gain is 60% of the income attributable to the business from the list of Forbes Top 400" [5]. Not contesting wealth generation as such, this fact puts an interesting perspective on the gap between extreme wealth, and extreme poverty, in conditions of which a family survives for less than a few dollars a day. Extreme wealth, however, should

not be taken as reference point for measurement of inequality. In today's reality, it is enough to consider the gap between ordinary working class and poorer layers of society in such countries as Moldova.

In this respect, counteractive measures against inequality globally are perhaps among today's most heated topics, and probably among world's greatest economic and social challenges causing conflicts and various disturbances among nations. Globalization, which is overall a positive trend, yet the one with the ability to create inequality, tends to increase the gap between rich and poor economies. The former gain further access to wealth creation, whilst the latter get dragged further backwards due to inability to reorient their economies towards growth, for various socio-economic and political reasons. In this context, developing economies, and Moldova in particular, find it difficult to catch up with the developed ones, and tend to lose rather than gain from most economic transactions in context of globalization in the long-run. This particular article discusses the position of the Republic of Moldova in this so-called vicious circle of poverty, addressing inequality, and presenting potential possibilities to leap-frog despite economic and other disadvantages towards wealth creation and qualitative economic growth.

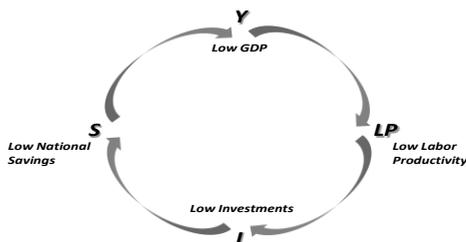
Inequality and Poverty's Vicious Circle

Keynes once noted that the best times to act are the times of growth, and not the fall of an economy. It's also hard to dispute Krugman's opinion that today, in some cases, the governments must spend more, not less, since the private sector is unable to push economic development forward to the necessary extent. However, as notes Paul Krugman, for some nations present reality is akin to the one in the 1930s, when, as Keynes described it, the economy was in a state of long-lasting decreased activity, demonstrating neither obvious signs of recovery nor of complete collapse [4]. However, it seems that in many developing countries the opposite economic policies can be observed, which are characterized with measures of austerity, and bear negative consequences to the labour market in the long-term. Yet, now is the time to act, and now is the time to fix some of world's most pressing economic problems, such as problems of inequality, since global inequality is growing inevitably and progressively, threatening to impose serious limitations to economic health, especially of the developing nations, which are the focus of this article.

Observing inequality growth one may note the following dynamics. In the 1990s, the gap in average income of the 20% richest and 20% poorest parts of the global population was at 30 to 1, whereas in 2000 that same gap was already at 78 to 1 levels [1]. In addition, according to World Bank (2014), there were over two thirds of the global GNP (gross national product) per capita generated per high-income economies in 2015, about one third per share of medium-income nations, and only about 0,5% of global income per share of the low-income economies [5]. This means that high-income countries generate proportionately more and more GNP, whereas low-income countries trend negatively, pointing to the growing gap in the share of possible contribution into the global GNP between the nations with high and low income. It is obvious that the growth of inequality in the past decades is becoming a serious hinder to global economic development, affecting economies and societies.

The asymmetry in the development of the global economies causes differentiation within various nations, dividing them onto 'winners and losers' of the world's globalization game. The losers are lacking the resources of capital accumulation, which obviously includes developing economies. As the result, those economies end up in the vicious circle of poverty, illustrated below.

Figure 1: The Vicious Circle of Poverty



Source: Compiled by author

What makes that poverty circle truly vicious is the relationship between low income and any growth potential. Low income ceases the opportunities of the population to save, thus, prevents any flow of internal investments from the population into the economy, or at least to the extent that makes growth possible. For instance, a low-income household is not likely to make any substantial savings, or any savings at all. This means that, a low income family will not 'invest' into the economy, simply will not buy substantial amount of products, necessary for an economy to achieve and sustain certain level of economic growth rate. Similarly, on the state level, low national savings and low GDP, couples with negative labor productivity, create lack of resources and unfavorable economic climate, usually making an economy an unattractive place to invest. Without investments, national savings remain low, and the circle continues all over again. As the result, the countries with low economic indicators are dependent on international infusions, otherwise finding it difficult to break through the vicious poverty circle. The "circle of poverty" is hard to break through. Part of it is due to the fact that poverty relates to other monetary variables in a non-linear, but circular manner, meaning that without one another cannot be secured. This makes the poverty cycle 'vicious'.

Context: Moldova’s Key Economic Indicators

Before exploring potential opportunities of Moldova’s growth, it is worth putting Moldova’s economy in context through exploring its main indicators. Firstly, the share of Moldova’s GDP (Gross Domestic Product) is about 0,01% of the global. During 1990-2015 that share decreased by 0,006% falling from 0,017% to 0,011% of the global economy. Consequently, this share fell by 009% lading from the level of 0,046% to 0,037% within the European economies, and by 0,22% among Eastern-European economies ending up at the level on 0,22% from 0,44%. This is summarized in Table 1 below:

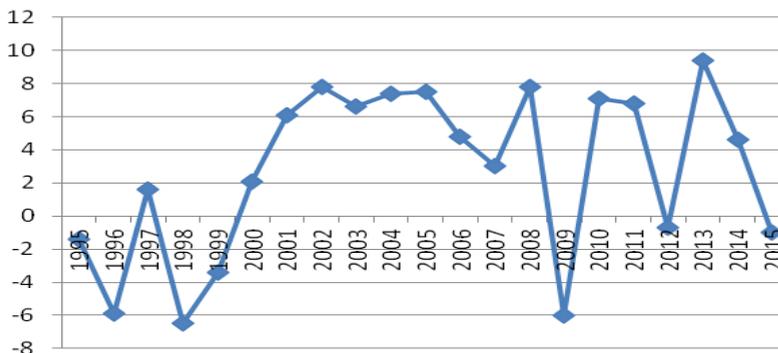
Table 1: The Share of Moldovan GDP in the world economy, in the European economy, in the Eastern European economy, %

| Share of Moldovan GDP in the | 1990 | 2015 | deviation |
|------------------------------|-------|-------|-----------|
| Global economy | 0,017 | 0,011 | - 0,006 |
| European economy | 0,046 | 0,037 | -0,009 |
| Eastern European economy | 0,44 | 0,22 | -0, 22 |

Compiled by author based on data from [12]

In 2015, Moldova’s nominal GDP (Gross Domestic Product) per capita landed at mere \$1740 a year. That is the 140th position out of 186 list of countries of the Global Monetary Fund. In 2013, Moldova’s nominal GDP per capita was at \$2214 a year, meaning a considerable decrease of \$474. The World Bank statistics (2013) shows similar dynamics. In addition, the same year Moldova’s GDP per capita was at \$2038, which means by \$298 higher than in 2015 (World Bank statistics). United Nations, in its turn, placed Moldova at \$2285 GDP per capita in 2013, meaning by \$545(!) higher than 2015 [16]. Graph 1 below shows the rates and the dynamics of GDP growth from 2005 to 2015:

Graph 1: Rate of GDP Growth of Moldova, %



Source: compiled by author based on [7].

In 2016, Moldova's GDP was valued at \$6,79 billion, GDP per capita was valued at \$2062, and trade openness at 91,9% [7] and [1]. According to the ranking of Human Development Index [10] Moldova is a country at medium levels of economic development. Notably, in 2015, Moldova was ranked at 114 out of 187 economies by the Index. In 2008, however, it was at 113th place out of 179 [18]. To compare, in 1990, Moldova was ranked 64th by the aforementioned Index, having the status of industrial-agrarian economy and in general being way ahead of its today's position on the so-called global structural ladder. Thus, the trend is not convincing of bright economic future.

In addition, today, Moldova is one of the leading (top 8 out of 10) nations when it comes to healthcare and education spending, landing at about 12% and 8-10% of GDP, respectively. This is a rather high level only affordable to a limited number of economies. However, average longevity in Moldova is 70 years, throwing it to the 142nd place in the world, and 120th and 130th places, respectively, in maternal and child death [16]. Thus, there is obviously a challenge in terms of social services that Moldova is able to offer to its citizens.

In addition, the so-called 'quality index', or the coefficient of the quality of growth, is applied to measure quality of the growth of Moldova's economy. This is, in short, a known index which measures the ratio of the difference of GDP growth index and GDP deflator to the growth rates of the GDP in absolute terms. According to this indicator, Moldova's economy has not been characterized in positive terms for the past several decades.

Assessing broader business environment, Table 2 below summarizes key indexes that demonstrate Moldova's position in various international rankings by international organizations such as World Bank, the World Economic Forum, the Heritage Foundation etc. From 2015 to 2016, the decrease may be noted in key positions, such as competitiveness and economic freedom, whereas innovation only slightly increases, so does global trade and 'doing business' as such.

Table 2: Moldova's Business Environment, Key Indexes, 2015, 2016

| Key Index Rating | 2015 | 2016 |
|------------------------------|------|------|
| Global Competitiveness Index | 82 | 84 |
| Index of Economic Freedom | 111 | 117 |
| Global Innovation Index | 46 | 44 |
| Logistics Performance Index | 93 | 96 |
| Global Enabling Trade Index | 92 | 79 |
| Doing Business | 63 | 44 |

Sources: Compiled on the basis of data in [14]-[17]; [19]-[27].

In this way, being one of the poorest European countries with median monthly income of \$250 and with the GDP per capita level being about 18 times lower than European Union average, the Republic of Moldova today finds itself in the vicious circle of poverty. The country finds itself in a shaky position balancing on the edge of economic prosperity. This uncovers deep challenges to Moldova's economy, and highlights the importance of an increase in the share of country-wide welfare-generating activity. Arguably, Moldova is in desperate need of an increase in high technology share in its infrastructure and its economy. This is developed in the section below that discusses the lack of innovation in the structure of Moldova's economy.

Structure of Moldova's Economy and The Vicious Circle

So, how does the structure of Moldova's economy look today?

Notably, the structure of an economy is one of the key factors in its potential for economic growth as well as behind the well-being of its population. In the 1960s and 1970s, the countries with the fastest rates of GDP growth (about 3,5% annually) were those with the largest share of machinery within their industry. Those with larger shares of natural and mineral resources grew by about 2%, finally, agrarian, or agricultural economies, grew by about 1,5%.

According to classification of the World Bank, the increase of well-being and growth of an economy takes place through three consecutive stages, from the first factor-driven to the second efficiency-driven, to the third innovation-driven stage of economic development [14]. This process of climbing the 'structural ladder' serves as a certain indicator of a nation's

economic state, as well as the quality of its economic growth [8]. Moldova, according to World Bank's classification, is somewhere between the first and the second stage of economic growth, and in some case placed at the second stage (for detailed analysis see [8], [10], [18]). Thus, the share of innovation in Moldova's economy is very low, and the trend is not positive. Let us consider the structure of Moldova's GDP in more detail.

The dynamics of the GDP structure is presented in the Table 3 below. It shows that Moldova's GDP structure changes in context of global economic tendencies. In this way, the main share of value added of the economy, 59,4%, is comprised of the Services sector, 14,1% generated by industry, and 12,8% through agriculture. The share of net taxes on products is 15,7%. It seems at first sight as if Moldova's structure of the economy is rather progressive as it seemingly reflects global development trends. For instance, the high share of the Services sector (compared to the global share of GDP of 64%) with simultaneous decrease of the share of industry and agriculture. Yet, importantly, since 2000s, the share of agriculture started to pick up again within the global GDP landing at approximately 32%.

Table 3: The Dynamics of the Structure of GDP of Moldova

| GDP Structure, % | 2000 | 2001 | 2002 | 2003 | 2004 | 2014 |
|-------------------------------------------------------|------|------|------|------|------|------|
| Gross value added | 87,5 | 88,0 | 87,3 | 85,6 | 85,0 | 84,3 |
| Agriculture | 25,4 | 22,4 | 21,0 | 19,3 | 17,1 | 12,8 |
| Industry | 16,3 | 18,7 | 17,3 | 17,8 | 18,2 | 14,1 |
| Services | 48,2 | 49,2 | 51,0 | 50,8 | 52,2 | 59,4 |
| Financial intermediation services measured indirectly | | | | | | |
| | -2,4 | -2,3 | -2,1 | -2,3 | -2,5 | -2,0 |
| Net taxes on products (taxes less subsidies) | | | | | | |
| | 12,5 | 12,0 | 12,7 | 14,4 | 15,0 | 15,7 |

Compiled by author based on data from [7], [11].

Thus, it is important to highlight the fact that even though the Services sector is prevailing in Moldova's economic value added, digging deeper into the Services sector itself allows to caution that the main contribution in this sector – through finance and trade – is merely a 'formal' value added, in contrast to real.

This means that its increase, in fact, reflects only a wage increase of individuals engaged in relevant business dimensions, and not of the economy as a whole. Moreover, the development of one of the key services – trade – is mostly dependent on import. High import dependency is risky for any economy, not least due to the exposure of high level of debt. Moldova's import dependence is high, and export is consistently lower than import, pointing to the challenges in its economic structure. For instance, in 2013, Moldova's GDP was at \$7,453 billion, while the share of import was at \$5,492 billion, or at 73,7%. In 2015, import was at \$5,3 billion. The export share, at the same time, was about two times smaller and landed at \$2,4 billion (see [7], [17]). This situation does not help Moldova to counteract its high external debt, which equals to about \$6,218 billion (in 2013), or more than 83% of GDP.

In addition, Moldova is highly dependent on its European Union partners, which since 2008 absorb about half of its external trade (46,4%), which naturally impacts Moldova's balance of payments. In 2015, Moldova's export to the EU shrunk by approximately 2,3% (to \$1,1 billion) versus 2014, and import decreased by about a quarter, to \$3,6 billion. The demand on imported products, however, is mainly covered by Moldovans working abroad. They contribute by about \$1,5 billion yearly. This is considerably higher than the contributions of the foreign investors.

Moreover, the interest of the developed economies to import finished industrial products from their less developed counterparts has decreased considerably. This evolution obviously triggered the asymmetry in foreign trade negatively affecting the rates and quality of economic growth in the peripheral economies. Thus, the gap between the 'post-industrial world' and other economies has now acquired qualitative character and is growing inevitably in its proportions. As the result, the possibilities to catch up in economic growth are currently very slim for the majority of the less developed and developing countries, having them more or less stuck in the "vicious circle of poverty".

Industry is unlikely to be the basis of high economic growth for Moldova. Agricultural products are the main source for Moldova's export, which is a challenge since they are labour and cost intensive, and lower in profitability and output than products of heavy industry or IT. In addition, labor productivity in one of the leading sectors of Moldovan economy – agriculture - is low. According to the World Bank, the value added per worker in agriculture in Moldova is approximately \$2,5 thousand. While, for example, in Spain the corresponding value is \$45-50 thousand. In Norway, that indicator goes up to \$70 thousand. On average, in European Union countries the corresponding value is approximately 20 times higher than in Moldova.

Additionally, in the GDP structure of Moldova the share of consumption accounts for about 87% of the total GDP. Such levels of consumption are considered to be exceptionally high, even for USA and other developed economies. At the same time, there is only 15% of own investments, which is rather low and inadequate.

Negative dynamics in the nominal GDP per capita in Moldova is tightly connected to economic and a bunch of other factors. Among economic factors, however, we highlight an absolute decrease in the key production factors – labour, capital, technologies as well as the erosion of the structure of the economy with the following decrease in the potential production volume. It is unlikely that an economy would develop positively and grow its labour productivity and its competitiveness within a structural environment where scientific and technological research and development accounts for less than 0,35% of GDP. For comparison, European Union spends on average 2 to 3% of GDP on similar activities, which facilitates high rates of technological development.

Globalization reformed the structure of many national economies with labour division in favour of the developed economies. Most obvious winners were those that emphasized the development of high-technologies within their economies. As the result, most or all of today's developed economies find themselves at post-industrial, information and high-technology stage of development, whilst peripheral economies have either not been able to fully complete the industrialization stage, or were thrown back, just as Moldova, to the lower development stage. So, is there a way out of that Circle for Moldova, and are there any positive dynamics in the development of Moldova's economy?

Moldova's Way out of the Poverty Circle?

The answer is yes. However, to break out of the negative trend there is a need for internal or external sources of investments into the economy. Investments and their qualitative share – which are innovations – comprise the true, or material, base of economic growth. Innovations impact the change in the sources, types and quality of economic growth.

High quality of economic growth has the ability to positively affect well-being of the population, to induce innovations in production methods, into goods and services, as well as into governance and management, and literally into all spheres of economic activity. Qualitative economic growth reflects positive and forward-looking dynamics of an economy, and its transition to the higher stages of economic development. Even though, presently, prerequisites for the number of the developing countries, including Moldova, to enter the innovative stage of development, and especially the stage driven by wealth of the economy, are not sufficient (see, for instance, EIU), it is absolutely necessary to start building various separate elements of innovation-driven growth into the structural ladder of the national economy.

In conditions of globalization integration, localisation and regionalization, the activities of international corporations penetrate national markets and economic structures, regardless of the structural stage of that given economy. This is a positive factor, which gives economies like Moldova the possibility to climb several levels in the structural ladder at the same time, in other words, to skip a few stages towards higher levels of economic development. To be able to introduce such growth areas, basics of the economy have to be rebuilt after years of unfortunate economic downward slope. There are a few instruments available in economic policy toolbox to sustain growth in real terms, especially in conditions of weak and sometimes inadequate credit and monetary policies.

Firstly, investments into infrastructure, especially for such economies like Moldova, are among more effective resources of qualitative economic growth. Infrastructure deficit, especially in low-income countries, is an obstacle of long-term economic growth. Infrastructure investments may also serve as a source of growth in aggregate demand. Investments into infrastructure secure growth in production capacity of various sectors of the economy. They are usually massive projects with multiple external effects with positive long-term socio-economic impact. Judging by the global experience, the biggest effect can be reached in interplay of public and private sectors. It should be based on partnerships uniting large corporations and businesses with smaller firms, as well as venture capital funds and 'angel' investors with direct support of the government of the investments associated with basic innovations, securing the evolution of innovations from the first stages

through commercialization. The inclusion of innovation factor into the process of investment in infrastructure can thus be viewed as a factor for the development of innovation-based economy.

Secondly, innovation-based type of economic growth is a type of economic growth adopted by most, if not all, of the developed economies, and is in itself a tool to support economic growth. It is based not on the production and consumption of material goods as such, but on creation and consumption of information-technology goods and services, in other words, high-technology products. Therefore, structural component of the investments is specifically important in this context.

There are at least two ways of approaching the formation of innovation-based economy proven through international practice (the problem was thoroughly described in [8, pp.128-163]).

The first one assumes orientation towards own innovations. As a rule, it is applicable to highly-developed economies. This particular approach was predominantly executed in context of American economy. The second approach is based on 'borrowing' and importing of innovations. Its effectiveness is proven by a number of global economies, including, for instance, Japan and even more so China. In order to form the necessary elements of innovations in its economy, Moldova can very well use the second approach, which is based on the concept of imitation and adaptation of the new technologies.

This is similar to the concept of technological 'leapfrogging' (see [3], [6]). An obvious example is the implementation of mobile networks and the spread of mobile telephones. By buying and using existing technology, late-industrializing countries are able to 'leapfrog', or jump over various inferior or more costly and less efficient technologies (that the first movers had to go through in the stages of development of those new technologies).

As the result, the 'leapfrogging' economies may get latest technologies cheaper and faster than the economy where this technology originates. Thus, it is valid to assume that if the mechanisms of innovative growth are in use, those growth areas where already existing innovations are actively used have a potential to increase competitiveness of the national economies and increase the quality of economic development.

This approach, however, should not be associated merely with consumption of already existing methods and technologies taking advantage of inventions of others. Moldova, in contrast to other examples of nations with comparatively lower levels of economic development, is a country with a lot of own potential in terms of research and development, as well as testing and implementation of the new technologies. Moldova preserved some of its highly skilled labour force and is capable to offer specialists and laboratories to receive but also to drive further innovation and new technologies in virtually all spheres from economy to physics and chemistry.

In this context, there is certainly a window of opportunities for Moldova which is opening at the moment. The roll-out of the Fourth Industrial Revolution which was solidified in Davos in January 2016 will last from five to ten years and will inevitably and radically further change global economic, social and other structures. Akin to the Third Industrial Revolution ignited by Microelectronics, this revolution will end up into goods and services previously unimagined, in the sphere of connected world and connected devices, from robotics to home appliances.

This revolution, in its turn, will open up new opportunities for smaller developing economies, such as Moldova, from being the testing ground to the economy for outsourcing the production of new technologies. Thus, Moldova could become a centre for outsourcing of the new products and therefore one of the economies that would be first to implement those innovations.

Global economy becomes less and less resource-intensive in the traditional sense, shifting from production to the intangible resources represented by the people, which are capital-intensive and less dependent on raw materials. In this context, reorientation towards high technologies is absolutely crucial. Moldova's IT specialists are considered to be among the better once in Eastern Europe, meaning that the country has the potential and the prerequisites for the creation of knowledge-based, innovation-driven economy based on the adoption and integration of innovations into its core structures.

Conclusions: From Vicious to Virtuous

This article addresses the challenges of globalization on developing economies on the example of the Republic of Moldova, a small European economy with developmental challenges, yet a large bank of opportunities. Globalization affects various nations in different ways. It can be an enabler of economic growth on the one hand, while on the other it can cause an increase in inequality gap between developed and developing economies. In this way, globalization limits the opportunities for qualitative economic growth for a number of developing countries, such as Republic of Moldova, that consequentially

are trapped into the 'vicious circle' of poverty. Developing economies must find a way to survive, to restructure towards growth and to remain competitive. To do so they must orient their efforts into technology, infrastructure, people and other sources of innovation, since they lack some of the crucial components of growth available to the developed industrial economies. The possibility to 'leapfrog' through several stages of the structural ladder at a time entering the path towards qualitative economic growth is an attainable goal. Thus, there is little time left to proactively address this issue on the national level, to enable the country's growth in qualitative economic terms. Summarizing key outcomes of this article, it is worth to note the following.

Quality of economic growth is determined by the qualitative component of investment resources – innovations, as well as the possibility for their adaptations into the economy. Therefore, for any country, including Moldova, it is important to create favourable conditions for activation of investment resources and capabilities.

One of the sources for qualitative economic growth are the investments into infrastructure. They have an ability to induce multiple and long term positive outcomes, to stimulate aggregate demand and positive socio-economic impact. We believe that the Republic of Moldova must create an infrastructure with higher qualitative share of innovations able to justify higher investments. Today, this justification comes mostly from relatively cheaper land and labour force. Moldova must be able to offer and promote what actually makes it qualitatively different from its neighbours: safety and stability, high connectivity, high-quality education and healthcare.

So far, Moldova managed to attract \$3,5 billion in investments. That is a relatively large amount – more than half of the GDP (with capital rate at 15-16%). Building on its potential, in the next five years, the country must be able to accumulate about 1,5 to twice as much capital in foreign investments. Thus, it is important to create necessary conditions to attract direct foreign investments.

Moldova's economy could act as an economy for outsourcing of production of high-technologies and high-tech products. Why is this possible? Moldova's sector of information technologies is an export sector with truly high potential. The products of IT companies operating in Moldova are highly competitive not only due to lower costs of the labour force, but also due to the fact that the quality of the end product is competitive with the global standards suggesting that there is a large amount of highly qualified labour force in this area.

It is important to increase the interplay between businesses and the government based on shared understanding of common needs. The biggest effect could be reached if that crucial partnership is in place and if large and smaller businesses, individual investors, investment funds, venture capitalists, as well as the government and other educational and research institutions work in interplay, through direct support by the government from the first stages through the commercialization phase of investments and innovations.

As shown in practice, the more globalization and the more stakeholders, the bigger the need for a clear strategy for the development of the country, including challenges of import substitution of goods and services, which would increase added value and would provide an opportunity to increase the budget and to provide new work places for Moldova's population. It is, of course necessary to create adequate fiscal, administrative and regulatory conditions for businesses to solve the problems related to consolidation and modernization of Moldova's business, as well as to increase competitiveness and capital intensity in the economy.

Moldova is left, among many, with one of the most challenging issues, to integrate effectively into the global context, while preserving national interests. There is a need for a thought-through and weighted integration policy into the global division of labour when export markets are limited for smaller and less developed economies. It is important to build effective horizontal touch-points with other regions, with the nations of EU and other strategic neighbours such as Russia.

This, in essence, should allow Moldova to break through the vicious circle of poverty into the virtuous circle of prosperity, which would help to secure stable and profitable levels of economic development in the long term.

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The Issue of the Didactic Aspect of the Activity of Play

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Abstract

The application of the activity of play for educational purposes has caused heated debates among the scientific audience. The content of the didactic games is mainly determined by the program, thus it takes up the shape of a task that should be solved. What is of great significance are the rules that the pupils should follow in order to achieve the desired goal, which is in fact solving the task and finishing the game. In every didactic game, there is the expected result, which on the one hand carries the feeling of satisfaction from the achieved success, while on the other hand, represents a marker of the degree of development. In the orientation of the didactic games, two extremes can be differentiated: The child's development is left fully to the children's spontaneous activities, which are most often the children's self-created games; Didactization of games – its complete transformation and inclination towards strictly directed and previously established educational goals. Hence, the question posed regards whether the activity of game can be freed from its didactic aspect or whether it can be interpreted more freely, in the holistic spirit of contemporary pedagogy. The subject of research in this work is directed towards the didactic aspect of the activity of play. The methods and techniques that were applied are the following: the method of analysis, the inductive, descriptive and the method of generalization, as well as the techniques of analysis of pedagogical documentation, observation and surveying. On the basis of the received results, it can be concluded that: The professional readiness of the teachers is of vital importance to the organization and the realization of the activities of play; Equivalents of the teaching programs are necessary for the realization of the activity of play in the first educational cycle; There is a need for respect towards children's interests, needs and previous knowledge as the foundation in the didactic-methodic preparation of the activity of play; There is need for creating a contemporary concept of didactic materials that shall be applied in the realization of the activity of play.

Keywords: didactic aspect, didactic games, activity of play, teaching.

1. Introduction

The views regarding the application of the activity of play are divided into 2 streams: on the one hand, there are those that limit the possibilities exclusively to didactic goals, basing play on the concept of traditional teaching; while on the other hand, there are those that interpret its application more widely, or through its influence in several areas, as part of the concept of contemporary teaching based on the active position of the pupil. Both opposing sides offer their own arguments that confirm each view. Didactic games, with such parameters, are not primarily focused on fun or satisfying the needs and interests of the pupils, but are directed rather towards problem solving and satisfying the needs of the program.

The breadth of views, beliefs and interpretations of the activity of play for the purpose of fulfilling didactic goals offers a possibility in the differentiation of the direction and the influence of the activity of play as a methodic concept. This is precisely the core of overcoming the issues in which the activity of play is placed between traditional and contemporary teaching.

This issue can be overcome through the conceptualization of the activity of play that, on the one hand, provides intellectual development, development of social skills, emotional stability and physical maturity, while on the other hand, provides freedom for the pupils in their active position that is not fully anarchic, but in itself contains a structure that is necessary for the process of systematic acquisition of knowledge and abilities, which represents teaching itself.

2. Didactic paradigm of the activity of play

It is thought that didactic games are subordinate to specific educational tasks that have been previously set and contain numerous elements of study. Such activities, with set parameters, do not have the primary function of providing fun for pupils or satisfying the needs and interests of pupils, but they are directed towards problem solving and satisfying the needs of the program.

The state of both tendencies, i.e. both extremes: of spontaneous children's activities of play and activities in which everything has to be determined, where children are not left with any freedom or initiative (Trnavac 1991: 12), are especially important for the pedagogical value of play and the activities of play because through their analysis it should be argued why they cannot be molded in the extreme of exceptional didacticization. The possibility to create a proper balance between the nature of the activity of play and the realization of the program is the core of this issue. The application of the activity of play for didactic purposes mainly aims at both satisfying and increasing pupils' interest in the teaching process, but it should not be the *only* activity through which the goals and tasks of different program fields are realized. The subtle difference between both courses of the activity of play for didactic purposes is the main reason why it still has not gained the position that it deserves in the teaching practice.

Supporters who doubt the implementation of the activity of play for didactic purposes also refer to this issue. There are two streams within this orientation: firstly, those who contradict the possibilities for didactic application, and secondly, those who more or less limit the didactic application. Denial of every possibility of the application of play and the activity of play for didactic purposes results from the opinion that play and didactics are two mutually contrasting terms. Play stands for freedom and a causeless activity, while didactics is a structure required for the development of a certain capability, skill, or knowledge, and therefore, play loses its primary function. "Games are considered to be something which cannot be connected to and are quite different from school activities: "a game is an activity which exhausts itself in its own activity, and which does not leave anything behind... On the contrary, a school activity is not selected, but imposed... and, contrary to a game, it leaves its results behind" (Kamenov 1977: 70). This point of view certainly takes an extreme approach to the severe interpretation of the basis upon which both play and didactics are set. The concept of the activity of play is the exact thing which offers the mean value of this point of view and also makes room for a compromise and an internal connection of the different elements of the play and didactics.

However, there are supporters who admit to the existence of certain developmental values of the activity of play for didactic purposes. The argument for this point of view on the part of these supporters is mainly focused towards the criticism of the exceptional impact only on certain features of the pupil.

Both logic and intellect are emphasized, or rather, they exceed the only impact of the intellectual development, which is to be replaced by the holistic approach in the development of the child.

The great distribution of opinions, definitions and interpretations of play and the activity of play for didactic purposes offers an opportunity in the differentiation of the stream and its impact. Hence, it raises the question of whether the activity of play can be free from the didactic prefix or whether it can be interpreted more freely in the holistic spirit of contemporary pedagogy. This is the essence of overcoming the gap which includes the activity of play torn between traditional and modern teaching.

Traditional teaching, in its overall structure, does not really "have faith" in play and the activity of play. The intellectual tendency of the traditional teaching sets play within its own criteria, paying attention only to the benefit from the intellectual developmental changes caused in pupils by the game. The high ranking that strict discipline enjoys in traditional teaching does not offer any opportunity for initiative, activity, creation, or satisfaction from the needs, requirements and opportunities of the pupils who are behind the shield of modern active teaching. Discipline in traditional teaching is both a passive and receptive relationship of the pupil. Discipline during play is a result of itself and has the function of a generator or regulator of the activities, hence leading to freedom of the rich and creative pupils' activities. This approach is typical of modern teaching where an active relationship of all of its subjects is promoted. Requirements and opportunities for the implementation of the activity of play in modern teaching is best explained as follows: "Activities of play are vital and have a significant application in active teaching." They feature this type of teaching and have the role of psychostimulants in the learning processes. The teacher should also use them as a means of a soothing approach to the tasks which should be done by the pupil. The components of the activities of play (task of play, content of play, rules of play) are of a highly purpose-built nature and do not always fit a certain program field" (Adamceska 1996: 83).

The activity of play as a methodic concept aims at promotion of the attitude that capabilities, skills and knowledge cannot be gained if there is underlying fear from the authority or if there are penalties, as is the case in traditional teaching. To have a successful teaching process, it is required that both the interest and enthusiasm of the pupils be triggered, which are undoubtedly provided by the activity of play. As the activity of play, along with its spontaneity and natural predisposition of the pupils, increases the intensity and desire to take part in it, it has an impact on pupils' desire for success, and it goes without saying that success leads to satisfaction. Satisfaction is a source of happiness and new motivation, which is realized completely spontaneously and without any imposition. The activity of play is also based on interest, which causes effort, and it is a fact that effort leads to development. Thus, all doubts that the activity of play is used to avoid effort and replace it with fun are confuted. The activity of play additionally provides a natural relationship with the syllabus, complementing it as a so-called artificial model of development and a personal program of the pupil, which appears as a result of the pupils' needs, opportunities and interests.

3.The importance of the methodic conceptualization of the activity of play

Activities of play are inherently defined as applicative and practically feasible. Their appropriate realization in the teaching process requires scientific and theoretical approach in the methodic setting, development and creation. To that end, all opportunities offered by didactics, methodology, developmental psychology and school pedagogy should be reviewed, and pupils' needs and natures, as well as the program concept of teaching, should be added to it. The connection between the theoretical placement and the practical implementation of the activity of play is realized through the following parameters: purpose and tasks, content, operations and rules, activities of the subjects, as well as the prospective results. Any activity of play based on a solid scientific and theoretical base shows high results in practice and thus it justifies its applicability. The value of the methodic conceptualization of the activity of play consists of the fact that it serves on the one hand, as a means which leads to the achievement of certain educational out results, and on the other hand, as a form through which pupils improve their knowledge, skills and capabilities. Through this approach, the activity of play is becoming the pupils' life practice more and more, which is also their way of learning. Methodically conceptualized activities of play are situated in the heart of the teaching process as significant movers of the active position of the pupil.

The Berlin school of structural theory offers a dateless model of formal structure of teaching based on the principles of didactics of teaching and learning. The main representative is Paul Hayman, who lists three dimensions of pedagogical intentionality in teaching process:

"pragmatic-dynamic pedagogical intention which should be used to affect the action, upon the pupil's wish (skills and habits);

b) cognitive-active pedagogical intentions, which are used to affect the pupil's opinion, and it relates to the receptive knowledge (simple information acquisition), intellectual/abstract (comprehending cause and effect relationships) and probability (the highest level of knowledge);

c) affective pedagogical intentions, used to act upon the emotions of the pupil, and these affect their wishes, experiences and assurance" (Vilotijevih 1999: 67).

This is the very pedagogical intentionality in the planning and realization of the teaching process offering a holistic approach in the development of the pupil's personality. The activity of play and its methodic conceptualization correspond to this definition. Its tendency is to create an array of activities of play, which will lead to an appropriate atmosphere for an appropriate development of all aspects of the pupil's personality. The activity of play is very frequently set in the same position as didactic plays. There are similarities and differences among them, but the main difference originates from the purpose towards which the purposes are aimed. The taxonomy of teaching units has a great contribution to solving this issue. According to Bloom, the taxonomy of teaching purposes, based on Guilford's Structure of Intellect Theory, has a great contribution to the scientific and theoretical foundation of the impact on the activity of play in the three fields: cognitive, affective, and psychomotor. A complementation of the structure and content of the syllabi in the first educational cycle as well as the opportunities which they offer as a first step in the process of implementation of the activity of play as a methodic concept are needed for this position. The basis created in the national documents should be upgraded with the concept of methodic articulation of the activity of play. The structure of the concept based on macro-methodic and micro-methodic singularities should be completely methodically differentiated and clear for both teacher and pupil as main doers. Singularities in certain program fields are reflected in the design of certain methodic components of the activity of play, which are complemented in the basic set. The teacher and their pedagogical and didactic competences, which should constantly be developed, modernized and perfected, has the main role in the connection and distribution of theory into

practice. All these components are mutually dependent and affect one another. They gain their place in teaching through an appropriate methodic conceptualization of the activity of play.

4. Methodology of the Research

The subject of this research aims at the analysis of the didactic prefix of the activity of play as a methodic concept in the first educational cycle in the Republic of Macedonia. The research has the character of an empiric research.

The purpose of the research is to test the didactic prefix based on methodic components in the organization and realization of the activity of play in the first educational cycle (1, 2, and 3 grade) of the compulsory 9-year primary education in the Republic of Macedonia.

4.1. Research Hypotheses

4.1.1. General Hypothesis

There is sufficient representation of methodic components in the organization and realization of the activity of play in the first educational cycle (1, 2, and 3 grade) of the compulsory 9-year primary education in the Republic of Macedonia.

4.1.2. Separate Hypotheses

The opinion that the professional preparation of the teachers for the organization and realization of activities of play is vital dominates among the respondents;

Most frequently, the contents of the syllabi of the first educational cycle of the primary education offer opportunities for creation of activities of play as a methodic concept in all program fields;

Methodic conceptualization and realization of the activity of play is in accordance with the pupils' developmental features as well as the syllabi;

A contemporary concept of the didactic materials which are applied in the realization of the activity of play needs to be created.

4.2. Research Methods, Techniques and Instruments

The methods of theoretical analysis, comprative and descriptive method are used in this research, and the following techniques are also applied: content analysis, monitoring and surveying.

4.3. Research Sample

The research was conducted on kindergarten educators and teachers from 16 primary schools in the Republic of Macedonia, so the collection and structure of the sample of respondents were easily supplied (kindergarten educators and teachers).

Table 1: Structure of the sample of primary schools

| Elementary School | Educators/Teachers | |
|---------------------|--------------------|-----|
| | f | % |
| Ljuben Lape | 4 | 2,6 |
| Vlado Tasevski | 15 | 9,9 |
| Dimo Hadzi-Dimov | 14 | 9,2 |
| Lazo Trpovski | 5 | 3,3 |
| Vera Ciriviri-Trena | 8 | 5,3 |
| Petar Pop-Arsov | 13 | 8,6 |
| Kole Nedelkovski | 13 | 8,6 |
| 11 Oktomvri | 14 | 9,2 |
| Kocho Racin | 10 | 6,6 |

| | | |
|--------------------|-----|-------|
| Brakja Miladinovci | 10 | 6,6 |
| Goce Delchev | 9 | 5,9 |
| Vuk Karadzikj | 3 | 1,9 |
| Malina Pop-Ivanova | 11 | 7,2 |
| Kiril i Metodij | 10 | 6,6 |
| Vasil Glavinov | 9 | 5,9 |
| Slavcho Stojmenski | 4 | 2,6 |
| Total | 152 | 100.0 |

4.4. Analysis of the Results

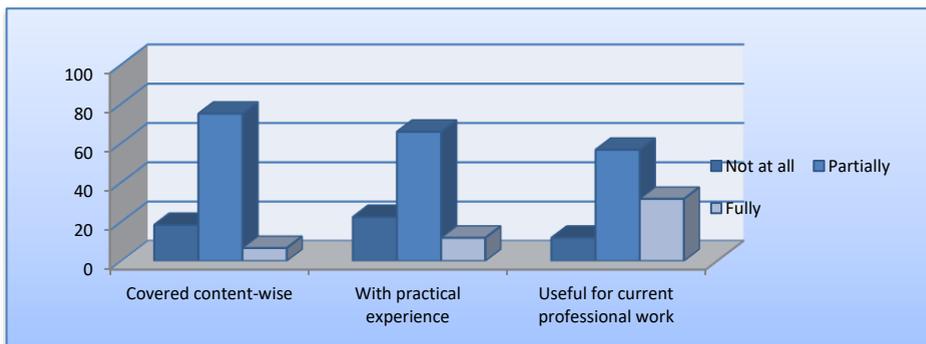
The importance of initial education for the organization and realization of the activity of play as a methodic concept

Certain prerequisites should be met for the requirements of the organization and realization of the activities of play. The initial education of the teaching staff from the first educational cycle refers to the representation of contents of this issue, the acquired practical experience as well as the application of the acquired knowledge during the professional engagement.

Table 2: Kindergarten educators' and teachers's attitudes regarding the importance of initial education for the organization and realization of activities of play as a methodic concept in the first educational cycle

| The methodic concept of the activity of play in the initial education was: | | Not at all | Partially | Fully | Total |
|----------------------------------------------------------------------------|---|------------|-----------|-------|-------|
| Covered content-wise | F | 28 | 114 | 10 | 152 |
| | % | 18.4 | 75.0 | 6.6 | 100.0 |
| With practical experience | F | 34 | 100 | 18 | 152 |
| | % | 22.4 | 65.8 | 11.8 | 100.0 |
| Useful for current professional work | F | 18 | 86 | 48 | 152 |
| | % | 11.8 | 56.6 | 31.6 | 100.0 |

Graph 1: Graphic representation of the percentage of kindergarten educators' and teachers' attitudes regarding the importance of the initial education for the organization and realization of activities of play as a methodic concept in the first educational cycle.



The results from Table 2 (Graph 1) show that in all three categories, the highest number of respondents believe that in the initial education there is partial content representation in the issue of the activities of play as a methodic concept. 18,4% of the respondents believe that there is no content representation of this topic during the initial education at all, and according to an insignificant number of respondents (6,6%), the content representation was fully established during initial education.

When it comes to practical experience, the highest percentage of respondents (65,8%) share the opinion that they have partially gained practical experience for the content, while 22,4% stated that they had not received any training during the initial education at all, and 11,8% of the respondents have been given compulsory practical experience from initial education.

In regards to the issue of the interdependence of initial education and current professional working, the greatest number of respondents (56,6%) believe that initial education partially affects their current professional working. A small percentage, i.e. 11,8%, believe that they have gained no practical experience during this period, but the rest of the respondents (31,6%), suggest that the contents of this topic during the initial education are fully beneficial for their current professional working.

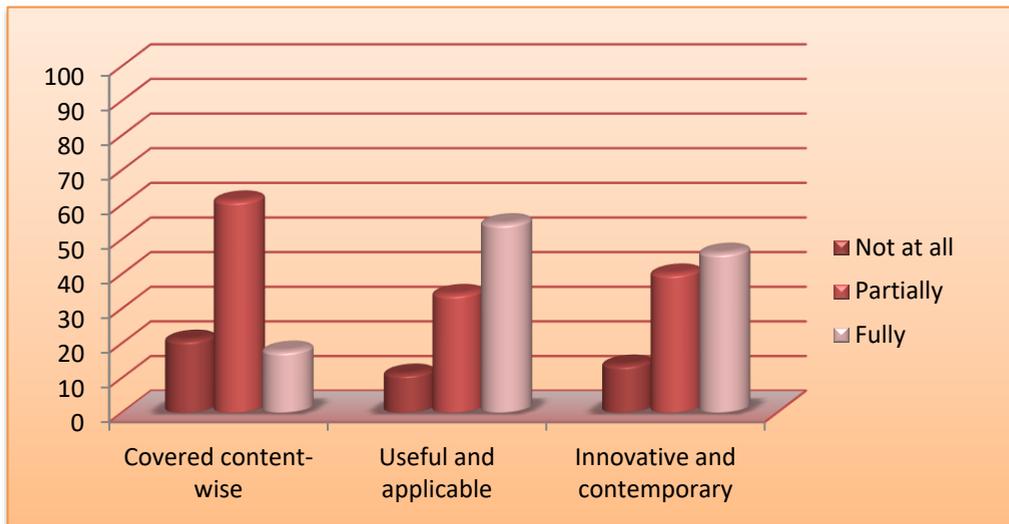
The importance of trainings for professional improvement, made for the organization, and realization of the activity of play as a methodic concept

The system of professional development aims at innovating the acquired knowledge by means of practical work and research activities, skills perfection, capabilities development and continuous teachers' development. The purpose of our research was also aimed at ascertaining the usefulness and application of teachers' trainings, as well as monitoring contemporary trends of these trainings in this field. In regards to the current situation about the trainings for teachers at the primary schools, the respondents answered as is shown in Table 3:

Table 3: Kindergarten educators' and teachers's attitudes regarding the importance of professional development trainings for the organization and realization of activities of play as a methodic concept

| Trainings for professional improvement | | Not at all | Partially | Fully | Total | \bar{X} |
|----------------------------------------|---|------------|-----------|-------|-------|-----------------|
| <i>Covered content-wise</i> | f | 32 | 93 | 27 | 152 | $\bar{X}_1=2$ |
| | % | 21.0 | 61.2 | 17.8 | 100.0 | |
| <i>Useful and applicable</i> | f | 17 | 52 | 83 | 152 | $\bar{X}_2=2.4$ |
| | % | 11.2 | 34.2 | 54.6 | 100.0 | |
| <i>Innovative and contemporary</i> | f | 21 | 61 | 70 | 152 | $\bar{X}_3=2.3$ |
| | % | 13.8 | 40.1 | 46.1 | 100.0 | |

Graph 2: A graphic representation of the percentage of kindergarten educators and teachers' regarding the importance of professional development trainings for the organization and realization of activities of play as a methodic concept in the first educational cycle.

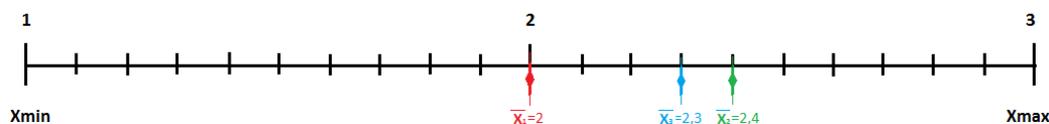


According to the data given in the table, the highest frequency of responses (93), i.e. 61,2% of the respondents, believe that professional development trainings for the organization and realization of activities of play as a methodic concept in the first educational cycle are partially represented. 21,1% of them share the opinion that trainings are not represented enough, and only 17,8% suggest complete representation of professional development trainings in this area.

According to more than a half of the total number of respondents, the professional development trainings are very useful and applicable in their teaching practice. 34,2% of the respondents share the opinion that these are partially useful and applicable, and only 11,2% of the respondents state that the trainings do not have any application in everyday work.

As far as the issue of innovativity and application of professional development trainings is concerned, 46,1% of the respondents stated that these were fully innovative and contemporary, 40,1% believe they are partially represented, and 13,8% believe that the trainings are not innovative or contemporary at all.

Graphic Scale 1



The analysis of data supplied by the calculated arithmetic mean of the three parts of the scale ($\bar{X}_1=2$) represented on the graphic scale 1 has shown that the respondents believe that professional development trainings for the organization and realization of the activity of play as a methodic concept in the first educational cycle are partially represented. According to the mean value given ($\bar{X}_2= 2.4$ i $\bar{X}_3= 2.3$), it can be concluded that the respondents believe that the trainings are partially useful and applicable as much as they are innovative and contemporary even though they need to be aimed at the improvement of the teaching practice.

Adequacy of the syllabi of the first educational cycle for the organization and realization of the activity of play as a methodic concept

The syllabi of the first educational cycle are of great importance in the realization of the activity of play in the teaching process. The structure of the syllabi leads to content, directions and examples which give ideas for creating activities of play. The importance of this issue, i.e. the adequacy of the syllabi in the teaching process, will be examined through the following question:

Table 3: Kindergarten educators' and teachers' attitudes regarding the adequacy of the syllabi of the first educational cycle for the organization and realization of the activity of play as a methodic concept

| The syllabi of the first educational cycle offer: | | Not true at all | Mostly false | Mostly true | Certainly true | Total |
|---------------------------------------------------|---|-----------------|--------------|-------------|----------------|-------|
| <i>Content opportunities</i> | f | 7 | 46 | 88 | 11 | 152 |
| | % | 4.6 | 30.3 | 57.9 | 7.2 | 100.0 |
| <i>Certain directions</i> | f | 6 | 65 | 71 | 10 | 152 |
| | % | 3.9 | 42.8 | 46.7 | 6.6 | 100.0 |
| <i>Prepared solutions and examples</i> | f | 25 | 45 | 75 | 7 | 152 |
| | % | 16.5 | 29.6 | 49.3 | 4.6 | 100.0 |

According to 57,9% of the respondents, what syllabi offer the most are content opportunities for the organization and realization of the activity of play in the first educational cycle, and according to a third of the respondents, 30,3%, they greatly offer the content opportunities which are needed. A very small percentage of respondents, 11,8%, have contrasting attitudes towards the content opportunities of the syllabi, i.e. 7,2% of them believe that it is fully true, and the rest of them, 4,6%, believe it is not true at all.

46,7% of the respondents believe that the syllabi in the first educational cycle offer a certain direction, whereas 42,8% have a contrasting attitude and believe the syllabi do not offer it. In regards to this issue, we come across a low percentage of respondents, 6,6%, who believe it is fully true, and 3,9% who have stated that the syllabi do not offer any directions.

A large percentage of the respondents (49,3%) share the opinion that the syllabi for this period mostly offer prepared solutions and examples of activities of play. On the other hand, the occurrence of 45 responses suggests that a third of the respondents believe that the syllabi do not offer prepared examples and solutions. Taking into account the low percentage of 16,5% and 4,6%, we can conclude that a part of the respondents do not agree with their attitudes on the existence of prepared solutions and examples of activities of play in the syllabi.

Didactic-methodic preparation of kindergarten educators and teachers in the process of creation and realization of the activity of play as a methodic concept

This type of preparation serves as a guide according to which the teaching staff realize their ideas. Didactic-methodic preparation includes more aspects, but for the needs of our research, we have focused on: the starting subject and the starting approach as well as didactic materials application.

Ranking, Table 4.1: Kindergarten educators' and teachers' attitudes on where they start from in the process of creating and realizing the activities of play as a methodic concept

| In the organization and realization of activities of play, they start from: | f | % | Ranking |
|-----------------------------------------------------------------------------|-----|-------|---------|
| <i>Syllabus</i> | 102 | 67.1 | 1 |
| <i>Pupils' interests</i> | 49 | 32.2 | 2 |
| <i>Current activities at the school</i> | 1 | 0.7 | 3 |
| <i>Total:</i> | 152 | 100.0 | 3 |

The ranking that we received based on the respondents' opinions about the starting point in the organization and realization of the activity of play shows that a high percentage of the respondents set off from the syllabus, while pupils' interests take

up the second place, and the final place is taken up by the current activities at the school, due to the insufficient frequency of responses. The data given leads to the conclusion that the syllabus is still the most significant phenomenon for the creation and realization of the activity of play in the teaching practice.

Table 4.2: Kindergarten educators' and teachers' attitudes regarding the types of didactic materials and devices applied in the realization of the activity of play as a methodic concept

| Didactic materials and devices which are most frequently applied in the activity of play: | | Not at all | Partially | Yes, fully | Total |
|-------------------------------------------------------------------------------------------|---|------------|-----------|------------|-------|
| <i>Didactic</i> | f | 4 | 93 | 55 | 152 |
| | % | 2.6 | 61.2 | 36.2 | 100.0 |
| <i>Natural</i> | f | 3 | 78 | 71 | 152 |
| | % | 2.0 | 51.3 | 46.7 | 100.0 |
| <i>Purposely prepared</i> | f | 1 | 56 | 95 | 152 |
| | % | .7 | 36.8 | 62.5 | 100.0 |
| <i>Combined</i> | f | 1 | 49 | 102 | 152 |
| | % | .7 | 32.2 | 67.1 | 100.0 |

The respondents could give answers to different questions regarding how often and which didactic materials and devices they use in their teaching practice, and most of them, 67,1%, use combined materials and devices which already consist of all the other offered categories of material types. It is especially important for the realization of the activity of play since the respondents have the opportunity to choose the most appropriate materials needed to meet the requirements of the nature of the content. However, in a combination of materials and devices, the teachers' and kindergarten educators' freedom is stressed, as well as their respect for their pupils' interests.

5. Concluding remarks

The analysis and interpretation of the data received from the research lead to several conclusions. In regards to the research for analyzing the views and beliefs of the educators and teachers, we received data that demonstrated the state and influence of the different aspects of the manner of organization and realization of the activity of play as a methodical concept. Those participants largely shared the views that they had been partially professionally trained for organizing and realizing the activity of play. The content offers, practical experience, as well as application in their present line of work, are not fully (i.e. partially) covered during their initial education, leading to the need for increased involvement of these aspects in the process of initial education of the future educators and teachers. This would all contribute towards more successful organizing and realizing of the activities of play in the first educational cycle of the mandatory nine-year primary education.

In regards to the issue of the trainings, the participants largely thought that they were partially covered, leading to the conclusion that they feel the need for their more frequent organization. In the analysis, the views of the teaching staff in regards to the appropriacy of the teaching programs demonstrate that the teaching programs largely offer content possibilities, defined directions and solutions/examples for the realization of the activity of play in a given subject. However, there is a need for clearer, more concise and specific recommendations for the realization of the activity of play. Kindergarten educators' and teachers' attitudes have emphasized didactic-methodic preparation as a significant question arising from this issue. This research has shown that in the preparation of the activity of play they mostly start from the syllabus, and even after they do so, they take into account pupils' interests and current happenings at the school. The data supplied in this research from the conducted questionnaire is aimed at proving the stated hypotheses, which are to verify the main hypothesis.

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The Social Responsiveness Scale (SRS) in the Valuation of Social Skills in Music and Music Therapy research: A literature review

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Abstract

This literature review seeks to find out, if the Social Responsiveness Scale (SRS) could be a useful instrument in an inclusive scholastic context when music therapy-based interventions are applied. The aim is to compare studies in which the SRS is used to measure the impact of music-based interventions, and to deduce its usability in an inclusive scholastic context. A literature research on the databases *RomaTreDiscovery*, *Science Direct*, *Google Scholar*, *PubMed*, and *Cochrane* is conducted the 28.07.2017 and the 08.08.2017 using the keywords “social responsiveness scale”, “autism”, and “music”. The following inclusion criteria are applied: the studies are either randomized controlled trials (RCT) or controlled trials (CT), use the SRS as outcome measure, utilize a music-based intervention, and target a population of children or adolescents with ASD. During the literature research 11 studies were identified, based on title and abstract. After studying the full articles 4 met the inclusion criteria (Bhatara et al., 2009; Geretsegger et al., 2012; La Gasse, 2014; Thompson, McFerran & Gold, 2013). An analysis aiming on the type of the music intervention, the population, and the frequency of interventions is conducted. Since the number of studies that met the inclusion criteria is rather small, there is only little evidence from this research. Since the SRS seems to be a useful tool confronting the influence of music on social skills in children and adolescents, it might be applicable to measure the impact of music therapy in an inclusive classroom.

Keywords: Social Responsiveness Scale, music intervention, music therapy, inclusion.

1. Introduction

This literature review seeks to find out, if the Social Responsiveness Scale (SRS) could be a useful instrument in an inclusive scholastic context when music therapy-based interventions are applied. Since the integration of children with ASD is of increasing importance, instruments to measure the success of interventions in this field are required. Therefore, this review compares studies which use the SRS to measure the impact of music-based interventions, and to deduce its usability in an inclusive scholastic context in which music therapy is utilized.

2. Background

Deficits in social and communications skills are characteristic for ASD. This includes problems with social interaction, non-verbal communication, understanding body language, and initiating and maintaining friendships. Since social skills and relationships play an important role in the whole life of a person, therapies and teaching methods are being developed and tested, to improve their social abilities and improve quality of life. Among these therapies is music therapy, that is already used in the work with children with ASD as an effective tool to improve social skills in children with ASD (Nordoff 1963; Alvin 1965; Berger 2002; Oldfield 2006; Bruscia 2014), because they seem to react well towards music (Hollander, Juhrs 1974) and when confronted with different stimuli tend to prefer an acoustic one (Thaut 1978; Kolko et al. 1980). Music therapy has shown to have a positive effect on verbal and non-verbal communication (Stull et al. 1979; Gold et al. 2006; Silverman 2008), language skills (Lim 2012), behavior (Shi, Lin & Xie 2016), and self-esteem (Oldfield 2006).

Moreover, the social skills of children with ASD have been shown to improve when in an inclusive context. During an inclusive summer camp for example, social skills increased in children with ASD, as measured through direct observation and counselor questionnaires (Maich et al. 2015). Also, behaviorally-based interventions help to improve social interaction in children with ASD in an inclusive context (Camargo et al. 2014).

3. The Social Responsiveness Scale

The SRS (Constantino & Gruber 2005) targets children and adolescents aged from 4 to 18, and measures their social skills based on the parents' and/or teachers' observations. It takes about 15-20 minutes to complete, and is a 65-item rating scale that defines the level of impairment based on repetitive behavior, interpersonal behavior, and communication. The SRS offers five Treatment Subscales: Receptive, Cognitive, Expressive, Motivational aspects, and Autistic Preoccupations. These subscales are not used for diagnosis, but could be helpful in the evaluation of treatment programs. A lower score is associated with better social skills. It has been standardized based on a sample of more than 1600 children from the general population. The SRS is currently the most commonly used parent-reported scale in studies on social behavior in children with ASD in which music therapy is applied: Three out of five studies utilize this tool, while the second frequent tool is interview (LaGasse 2017). The preschool version for 3 year old children, the SRS-PS (Constantino & Gruber 2005), is used in one of the studies analyzed in this paper (Thompson, McFerrin, & Gold 2013).

4. Method

4.1 Overview

A literature research on the databases *PubMed*, *Cochrane*, *Science Direct*, *Google Scholar*, *RomaTreDiscovery*, and ERIC is conducted the 28.07.2017 and the 08.08.2017 using the keywords "social responsiveness scale", "autism" and "music". The following inclusion criteria are applied: the studies are either randomized controlled trials (RCT) or controlled trials (CT), use the SRS as outcome measure, utilize a music-based intervention, and target a population of children or adolescents with ASD. During the literature research 11 studies were identified, based on title and abstract. After studying the full articles 4 met the inclusion criteria.

4.2 Studies

4.2.1 Bhatara et al. (2009)

The objective of this study is to examine how adolescents with ASD perceive animated abstract scenes with or without music, and therefore the effect of music on social attribution. The animations are designed by Abdell et al. (2000) and show interactions between two triangles. Some interactions are random (Rnd), others Goal-Directed (GD), and some Theory of Mind (ToM). Bhatara et al. (2009) describes them like this:

"In the random animations, two triangles moved in random fashion and did not affect each other's movement. In the GD animations, the two triangles appeared to respond to each other's behavior thereby demonstrating intentionality. However, their putative intentions were to perform physical actions (e.g., chasing, leading, fighting) and so did not involve 'mind-reading'. In the ToM animations, the two triangles interacted in more complex ways, with one triangle demonstrating an intention to influence the other triangle's mental state (e.g., coaxing, mocking, surprising)."

To each set of animation they added a soundtrack. This resulted in two conditions, a silent animation clip and a musical animation slip. There are 2 from the Rnd, 3 from the GD and 3 from the ToM category, resulting in 8 silent animations. The 10 music animations consist of 2 Rnd, 4 GD and 4 ToM animations. The participants watch the animations randomized in two blocks, and describe them afterwards. These descriptions are then given scores for intentionality, appropriateness, and length, and social attribution is valued.

It is expected that music will alter the interpretation of the animations in typically developing adolescents, and that the ToM animations will be the mostly influenced, followed by those from the GD category. The aim is to see, if social attribution is changed by music in the adolescents with ASD.

The results suggest that deficits in social attribution in the present context cannot be influenced by music in the ASD group. In fact, it had no differential effects on the ASD and TD groups. Music was shown to change the appropriateness scores in all participants and animation types. Intentionality scores, however, decreased in all participants' on the more socially complex animations. The study found hints of differences regarding the subgroups of the ASD in the parameters appropriateness and intentionality.

Regarding the SRS measures this study found a significant negative correlation between SRS scores and intentionality scores for the ToM animations, and intentionality scores showed relation to parental report of social behavior (SRS). This makes the SRS an indicator for the intentionality as measured in this study, as summarized in Tab. 1.

Tab. 1: Overview of Bhatara et al. (2009)

| | |
|----------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Experimental group | adolescents with HFASD aged 10-19 n = 26 f = 6; m = 20 diagnosed according to DSM-IV criteria: Autism (3), AS (13), PDD-NOS (10) |
| Control group | typically developing children/adolescents aged 8-18 n = 26 f = 14; m = 12 matched for VIQ, PIQ, FSIQ, years of musical training, number of instruments played, digit span, and letter-number sequencing. |
| Method | abstract animations with either music or no-music all participants saw and described all animations in 2 blocks and in random order dependent variables: Music Matching (how well the music matched the cartoon), Length of Description, Appropriateness of Description, and Presence of Intentionality. |
| Frequency of interventions | 2 blocks of 8/10 animations |
| Objective/Hypothesis | H1: deficits in social attribution are robust and cannot be influenced by the addition of music. H2: individuals with ASD are impaired in social attribution, but such deficits may show a shift in responses when music is added to the animations. |
| Outcome measures (SRS) | Significant negative correlation between SRS scores and intentionality scores for the ToM animations. Intentionality scores showed relation to parental report of social behavior (SRS) |
| Conclusion | deficits in social attribution in the present context cannot be influenced by music. music had no differential effects on the ASD and TD groups. Music altered appropriateness in all participants, and decreased intentionality scores of all participants' responses on the more socially complex animations. differences between subgroups within the autism spectrum in the effect music has on appropriateness and intentionality of descriptions. adolescents with ASD show no deficits in their ability to integrate music with moving visual displays or their ability to extract meaning from musical excerpts. |

HFASD = High-Functioning Autism Spectrum Disorder; VIQ = verbal IQ; PIQ = Performance IQ; FSIQ = Full Scale IQ

4.2.2 Geretsegger, Holck and Gold (2012), and Geretsegger et al. (2016)

Geretsegger, Holck and Gold (2012) presents the study design of a larger study on social ability in children with ASD, however the completed study not published yet. In 2016 the results of a pilot study were published, using the same design but a smaller sample size (Geretsegger et al. 2016). The design of Geretsegger, Holck, and Gold (2012) is shown in Tab. 2, whereas Tab. 3 lists the data of the completed pilot study.

The study aims to children aged 4 to 6, and compares a high intensity condition in which they receive three interventions per week to a low intensity condition with only one intervention per week. An additional control group does not get any music therapy intervention. The music therapy intervention is based on improvisational music therapy (Bruscia 1987; Wigram 2004), and the level of ASD is moderate-severe. Over the course of 5 months the children in the experimental conditions receive 30 minutes of music therapy in an individual setting. The results of the pilot study reveal low consistency between the outcome measures SRS and ADOS (Lord et al. 2000; Ruehl et al. 2005), there are different outcomes in 60% of the cases.

Tab. 2: Overview of Geretsegger, Holck, and Gold (2012)

| | |
|----------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Experimental group | Children with ASD aged 4;0-6;11 years n = approx. 235 f = tba ; m = tba |
| Control group | As above |
| Method | Improvisational music therapy interventions |
| Frequency of interventions | EG1: 3x week EG2: 1x week CG: no intervention 30 minutes 5 months |
| Objective/Hypothesis | children's social communicative ability will increase over time. social communication skills may be better in music therapy conditions than in the standard care condition. more frequent music therapy may intensify the improvement in the skills assessed. |
| Outcome measures (SRS) | tba |
| Conclusion | tba |

EG = experimental group; CG = control group

Tab. 3: Overview of Geretsegger et al. (2016)

| | |
|----------------------|--------------------------------------------------------|
| Experimental group 1 | Children with ASD aged 4;0-6;11 years n = 4 |
| Experimental group 2 | Children with ASD aged 4;0-6;11 years n = 3 |
| Control group | Children with ASD aged 4;0-6;11 years n = 8 |
| Method | individual improvisational music therapy interventions |

| | |
|----------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Frequency of interventions | EG1: 3x week EG2: 1x week CG: no intervention 5 months 30 minutes |
| Objective/Hypothesis | evaluate feasibility of study procedures, safety, document concomitant treatment, and report consistency of individuals' trends in chosen outcome measures over time. |
| Outcome measures (SRS) | low consistency between outcome measures (ADOS and SRS) different outcomes 60% of cases |
| Conclusion | need for reports on feasibility of study designs |

EG = experimental group; CG = control group ; ADOS = Autism Diagnostic Observation Schedule (Lord 2000)

4.2.4 LaGasse (2014)

This study compares the effect of both group music therapy (MTG) and social skill training (SSG) on the social abilities of children with ASD. In small groups of 3-4, the children join either the MTG or the SSG program twice a week for 5 weeks. The SRS is performed by the parents as a secondary measure.

The severity of the ASD is not specified in the text, however SRS scores ranging around 95 and 115 indicate a rather moderate form of impairment. The sample is very little, with a total of 17 children participating in the study. The music therapy interventions include exercises for cooperative play, sensory experience, turn taking and priming in the group music. A welcome and farewell song help structure the session.

On the SRS the study shows a significant effect for the interaction between time and group. There are significant differences for the MTG pretest and posttest. The SSG control group, however, showed no significant results.

The significant differences between MTG and SSG, with more improvement in the MTG, indicate that the learned behavior from the MTG has been transferred to the family situation. However, the sample size with a total of 17 participants is very small.

Tab. 4: Overview of LaGasse (2014)

| | |
|----------------------------|------------------------------------------------------------------------------------------------------------------------------------------|
| Experimental group 1 | ASD aged 6-9 n = 9 f = 2; m = 7 receive group-based music therapy (GMT) |
| Experimental group 2 | ASD n = 8 f = 2; m = 6 receive training in a social skill group (SSG) |
| Method | Group-based music therapy (MTG) is compared to training in a Social Skill Group (SSG) performed in small groups (3-4) |
| Frequency of interventions | 50 min. 10 sessions 2x week |
| Objective/Hypothesis | observe the effect of GMT on eye gaze, joint attention, and communication in children with ASD SRS and ATEC as secondary measurements |

Outcome measures (SRS) Significant interaction between time and group for SRS scores, with improvements for the MTG but not the SSG
Significant differences between MTG and SSG, more improvements for the MTG
Improvements in the GMT shown on the SRS, however not on the ATEC

Conclusion Promising results for the use of GMT to enhance social skills in children with ASD

HFASD = High-Functioning Autism Spectrum Disorder; ATEC = Autism Treatment Evaluation Checklist

4.2.5 Thompson, McFerran and Gold (2013)

The study is conducted with a sample of 23 children aged 3-6 with severe ASD, and limited or no verbal communication. Family-centered music therapy (FCMT) is applied in addition to early intervention programs. The children receive 30-40 minutes of FCMT once a week for a total of 16 weeks.

FCMT is a music therapeutical approach that is performed at the family's home. It follows family-centered principles, in which the collaboration between therapist and parent is emphasized. The therapist's role is to "provide support and guidance to enable the parent to interact with their child in music making activities" (Thompson, McFerran and Gold 2013). To structure the sessions an initial Hello-Song is applied, followed by a range of exercises targeting shared attention, eye contact, turn taking, initiation and response to joint attention.

Significant outcomes are reported for the *Vineland Social-Emotional Early Childhood Scales (VSEEC)* (Sparrow, Balla & Cicchetti 1998), but not for the SRS. The sample size with a total of 23 participants is very small.

Tab. 5: Overview of Thompson, McFerran, and Gold (2013)

| | |
|----------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Experimental group | Severe ASD Aged 3-6 years FCMT in addition to early intervention programs n = 12 limited or no functional verbal communication |
| Control group | severe ASD aged 3-6 years early intervention programmes only n = 11 limited or no functional verbal communication |
| Method | FCMT |
| Frequency of interventions | 16 weeks of FCMT 1x week 30-40 min. |
| Objective/Hypothesis | Examine the impacts of FCMT on social engagement abilities |
| Outcome measures (SRS) | there was no significant difference for the SRS-PS, indicating that broader social responsiveness in the children remained stable. Significant results for the VSEEC |
| Conclusion | FCMT improves social interactions in the home and community and the parent-child relationship, but not language skills or general social responsiveness. |

FCMT = family-centered music therapy; VSEEC = Vineland Social-Emotional Early Childhood Scales (VSEEC)

5. Analysis

5.1 Overview

An analysis aiming for the type of the music intervention, the sample, and the frequency of interventions is conducted. However, since the number of studies that met the inclusion criteria is rather small, there is only little evidence from this research.

5.2 Type of music intervention

Three studies base themselves on interventions of music therapy. The interventions, however, differ significantly. Even if all these interventions use music as key element, there are major differences. Improvisational music therapy uses musical, whereas MTG and FCMT use a predefined set of exercises that address problems in ASD specifically, such as eye contact. While MTG is performed in small groups of 3-4 children under guidance of the therapist, FCMT takes place in the family context. Therefore, only the interventions that are performed in groups(LaGasse 2014; Thompson, McFerran and Gold 2013), either a peer-group or family, show significant effects on parent-reported rating scales. Geretsegger et al. (2016), that uses an individual setting, does not show significant effects on any of the parent-reported scales. It could be that the skills learned within the therapeutic setting did not yet generalize to other areas of social life.

Tab. 6: Type of Music intervention

| Bhatara et al. (2009) | Geretsegger et al. (2016) | LaGasse (2014) | Thompson, McFerran and Gold (2013) |
|-----------------------|-------------------------------------|---------------------------|--------------------------------------|
| Background music | Improvisational music therapy (IMT) | Group music therapy (MTG) | Family-centered music therapy (FCMT) |

5.3 Sample

All studies target children with ASD. Only Bhatara et al. (2009) compares a adolescents with ASD to a normally developing control group. One study works on high-functioning autism, two focus on moderate and one on severe autism. The age groups are different, only Geretsegger et al. (2016) und Thompson, McFerran and Gold (2013) work on a similar range of age. Consequently, the studies are hardly comparable for their samples.

Tab. 7: Sample

| Bhatara et al. (2009) | Geretsegger et al. (2016) | LaGasse (2014) | Thompson, McFerran and Gold (2013) |
|----------------------------------------------------------------------------------------------|----------------------------------|----------------------------------|------------------------------------|
| Adolescents with high-functioning ASD (10-19) Typically developing adolescents (8-18) | Children with moderate ASD (4-6) | Children with moderate ASD (6-9) | Children with severe ASD (3-6) |

5.4 Frequency of Interventions

Among the music therapy studies one lasts 4 months, one 5 months and the last 5 weeks. The only study showing significant results on the SRS is the one lasting only 5 weeks, that also uses a much more time on each session (50 min.). Thompson, McFerran and Gold (2013) show significant results on the VSEEC.

Tab. 8: Frequency of Interventions

| Bhatara et al. (2009) | Geretsegger et al. (2016) | LaGasse (2014) | Thompson, McFerran and Gold (2013) |
|-----------------------------|--------------------------------------------|--------------------------------------------------------|----------------------------------------------------|
| 2 blocks of 8/10 animations | 1) 30 min.; 3x week 2) 30 min.; 1x week | 1) 50 min.; 2x week (MTG) 2) 50 min.; 2x week (SSG) | 1) 30-40 min.; 1x week 2) no music intervention |

| | | | |
|--|----------------------------------------|-----------|------------|
| | 3) no music intervention → 5 months | → 5 weeks | → 4 months |
|--|----------------------------------------|-----------|------------|

6. Results and Discussion

The number of studies that use both, music-based interventions and the SRS is small, as is the sample size in each study, which reduces the validity of this study. However, there is some data, that might hint towards possible challenges in the field. Individual music therapy has shown to have less effect on parent-based scales. The SRS usually measures the generalized social abilities of the child, meaning that skills learned in a therapy or teaching situation, such as individual music therapy, are transferred to another part of life, like family life, the playground or the classroom. A reason why achievements from music sessions do not translate into daily family life could be caused by the difficulties people with ASD with stimulus generalization. It can be difficult for them to convey abilities learned in a teaching situation to daily life activities that include different places or people (Plaisted 2001; Hundert, Rowe, & Harrison 2014). This can lead to the situation that skills learned during the therapy situation do not transfer to the family situation at home – and therefore cannot be measured by a scale that is based on parent report. Also, this is reflected by the fact that teacher and parent outcomes may differ on the SRS since one is performed in the school and the other one at home (Reszka et al. 2014), and might contribute to the diverging results in Geretsegger et al. (2016). Improvements that would have taken place in the individual music therapy session might not have been transferred to the family life situation and consequently have not been measured by the SRS or the ADOS.

Consequently, the application of a two-step-model might be useful when addressing the impact of music on social skills of children with ASD. In a first step the learning of the new skills could be addressed, whereas a second step aims to measure the level of generalization of the learned skills into other social situations. Instead of measuring the effect of an intervention only by a parent or teacher reported tool, it might be useful to add at least one measuring method that aims to the therapy or teaching situation as suggested by (Lopata et al., 2010; Lord et al., 2005), or to focus on either one or the other.

However, the outcomes can vary within two different parent report-based tests. LaGasse (2014) reports improvements on the SRS, but not on the ATEC, and Thompson, McFerran and Gold (2013) find results on the VSEEC, but not on the SRS-PS. A change of instrument might be a possible step. The *Childhood Autism Rating Scale* (Schopler et al. 2010) for instance has shown to be better at diagnosing children who are low functioning (Mayes et al. 2009).

Music therapy interventions are multilayered interventions, due to the wide nature of music and therapy (Bruscia 1998). So the identification of a factor that has in influence on the measuring instruments is accordingly difficult. However, maybe addressing the problem of generalization might help to explain the problem of differing outcomes.

7. Conclusion

The current research situation has shown to be still rather small. So, further research is needed in the area of parent report-based instruments for measuring the efficacy of music interventions on social abilities. More research is needed as well, for music interventions in an inclusive scholastic context, as well as for the process of generalization in the context of music therapy.

In an inclusive classroom the SRS might be a good choice, if performed by the teacher. Since the child will learn and exercise its skills in the classroom, there is no need to wait for generalization into another environment in this setting. For the context of children with ASD in an inclusive classroom, in which the music therapy intervention will take place including the whole class, the SRS – especially the teacher-based version – seems to be promising.

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Tables:

Tab. 1: Overview of Bhatara et al. (2009)

Tab. 2: Overview of Geretsegger, Holck, and Gold (2012)

Tab. 3: Overview of Geretsegger et al. (2016)

Tab. 4: Overview of LaGasse (2014)

Tab. 5: Overview of Thompson, McFerran, and Gold (2013)

Tab. 6: Type of Music intervention

Tab. 7: Sample

Tab. 8: Frequency of Interventions

Heat Waves in the City of Gaziantep in Turkey

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Abstract

In this study, the duration, frequency and the impact of heat waves on comfort conditions, experienced particularly in the summers, have been examined with the purpose of revealing how the annual and monthly temperatures in Gaziantep, a city located in the South Eastern district of Turkey, are affected by the global climate change. Initially, the data on minimum, maximum and average heat in the period from 1940 to 2015, retrieved from the Meteorological Station in the city center, were analyzed using the Mann-Kendall trend analysis, which is a non-parametric test, and the increase/decrease trends in temperature parameters were determined. Afterwards, the impact of heat waves on the comfort levels was demonstrated using the "Heat Index (apparent temperature)" method by Steadman (1979), analyzing the heat waves that are predicted to increase in rate and frequency with the climate change, even though the statistical distributions remain the same. According to the results produced by the Heat Index method, it is estimated that the temperatures in the region will shift towards a warmer climate in terms of thermal conditions. It is believed that this study will be highly instrumental in prompting necessary precautions to avert the heat waves reaching a disaster level in Gaziantep, which is located in a position susceptible to heat waves due to its latitude and geographical conditions.

Keywords: Heat Waves, Apparent Temperature, hot days, trend, Gaziantep climate

Introduction

The effects of climate change go beyond the changes in the average temperatures and comprise negative shifts (Trenberth et al., 2007). In the scenario of a 2° C warmer world, almost every future will be as hot or hotter than the hottest that people + material, spiritual and physical impact in a global context. The IPCC (2012) reports concluded that there was an increase in the number of heatwaves since the mid-20th century and that it was very likely that the length, frequency, and / or intensity of these events would increase over the land areas of the 21st century. According to the dynamic model projections, the fact that frequency, intensity and duration of extreme temperatures will augment at least over the next century necessitates the observation of extreme temperatures in different climates and scales (Perkins, 2013) (Opitz-Stapleton, 2016). Studies on Europe and the Mediterranean region predict that the number and duration of hot extremes will rise and the number of cold extremes will decline (Kostopoulou, 2005; Tebaldi, 2006; Jones, 2008; Kuglitsch, 2010; Christidis, 2012; IPCC, 2012; Tanarhte, 2012; IPCC, 2013). Also, the studies on extreme temperatures, heat waves and heat index for Turkey, which is in the Mediterranean basin, verify the potential increase in the number and severity of extreme events (Unal, 2013; Deniz, 2013; Erlüt, 2015; Bölük, 2013; Deniz, 2003; Gönencgil, 2016). A hot day is defined as a day where the daily temperature exceeds the long-term daily 95th percentile of daily temperature (Della-Marta, 2007). In order for heat waves to emerge, hot days meeting these conditions must continue for at least three days. Extreme temperature events are customarily connected to large-scale anticyclonic weather systems. Heat wave features include positive radiation anomalies due to adiabatic warming, hot air advection and reduced cloudlessness (Black, 2004; Meehl, 2004). The atmospheric conditions controlling the formation of hot weather and hot air waves in Turkey are due to the strengthened and long-circulating southern sector surface and boundary layer winds and southern sector hot air advectons which developed at a geopotential height of 850 hPa. This atmospheric circulation pattern results in the formation of much warmer weather conditions and warm weather waves, which can particularly be observed from June to the end of September (Erlat, 2015). The heat waves are formed by a ridge structure extending in the south-north direction. This structure carries warm air from Africa to the North (advection). Subsequently, adiabatic warming due to subsidence, which is one of the characteristics of high pressure systems, strengthens the effect of heat waves (Zittis, 2015). The annual variability of the heat waves arises from the lagged effects of ENSO (El-Nino-South Oscillation) due to the increased water vapor reaction with increasing extreme temperatures following the hot ENSO events (Boutheina, 2017).

2.Method

2.1. Data and Location: The daily maximum temperature (°C) and mean relative humidity (%) was collected from Turkish Meteorological Department for the period 196-2016 in order to calculate the heat waves (HW) and heat index (HI). Extreme events typically occur in mid-summer, although less intense heat waves are also experienced during spring and early autumn. In addition to the temporal tendency of the event, an extended summer season lasting 153 days (from May to September) was chosen in this study in order to reveal the spread of the event over the year. Gaziantep Meteorological Station, which is situated in an open and sensitive location to heat waves due to its climatic features, was chosen as the location of this study (Figure 1). It is forecasted that the effects of climate change on Turkey in the Mediterranean basin will increase in number and the duration of drought and extreme heat incidences (Erlat, 2015). In the city of Gaziantep, which shows the characteristics of Terrestrial Mediterranean Transition Climate in general (Turkes, 2010), it is observed that the maximum temperatures are high (average 38 °C), very low humidity (average 41%) and severe evaporation conditions prevail in the summer season. The Mediterranean characteristic is a result of the natural order that constitutes the climate conditions. This is particularly evident from the highly distinctive summer drought and the concurrence of maximum rainfall with the winter season (Erinç, 1980).



Figure 1: Location map of Gaziantep (37.0585 °N, 37.3510 °E and 854 m.)

Gaziantep is exposed to heat waves when it is under the effect of the Basra low pressure system. This phenomenon is also observed in the temperature parameters. Upon an examination of the summer temperature trends, it is evident that the impact of heat waves is intensified (Figure 2).

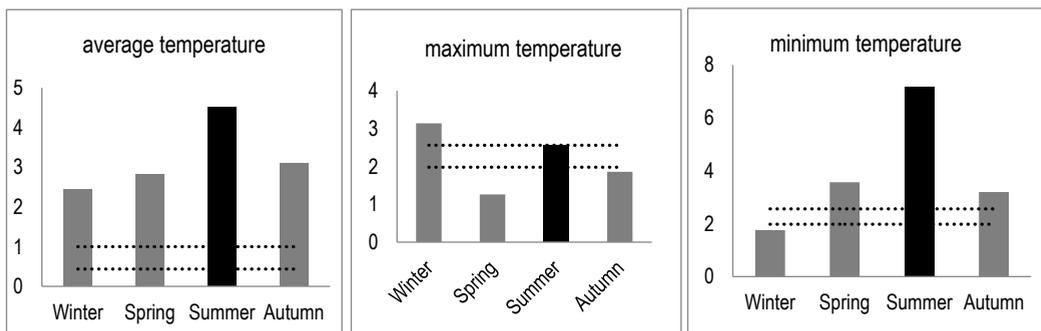


Figure 2: Seasonal trends of Gaziantep average, maximum and minimum temperature parameters.

2.2. Data Processing: The method includes a range of definitions that may be useful for a wide range of systems. Based on Fischer (2010) and Perkins (2012), a series of indices were calculated that characterize the persistence and severity of temperature wave events. The heat index was based on the works of Steadman (1984). The results were subjected to OLS and nonparametric Mann-Kendall test. The level of significance was calculated at 1% and 5%. In this way, trends in temperature fluctuations and comfort values were examined by determining the magnitude and direction of the possible trend in the parameters.

Heat Waves Metrics: A heat wave: is defined as a minimum 3-day row when the daily maximum temperature is equal to and above the 95th percentile of the control period. 95th percentile is calculated for a fifteen-day window centered on each calendar day of the control period (1960-2016). The four basic characteristics of the heat wave (HWF, HWN, HWA, HWD) have been found out.

HWF95 (frequency): The average frequency of days meeting the heatwave criterion. *HWN95 (number):* The average number of heatwaves per summer. *HWA95 (amplitude):* The average peak temperature of the hottest heatwave per summer (years without heatwaves are excluded from the analysis). *HWD95 (duration):* The average duration of the longest heatwave per summer (years without heatwaves are excluded from this analysis).

Combined hot days and tropical nights (CHT): In addition to the heat wave characteristics, CHT, which is a combination of tropical nights and hot days, was calculated. CHT refers to the days when the maximum temperature is above 35 ° C and the minimum temperature is above 20 ° C (Fischer, 2010) (Perkins S., 2015).

Heat Index (Apparent Temperature): In the context of Climatology, the recommended heat wave indices are quite high (Meehl, 2004; Fischer, 2010; Nairn, 2013; Stefanon, 2013; Schoetter, 2014; Vautard, 2013). Although there is some common ground covered by the Indices, no standard definition of heat waves has been available up until now (Suparta, 2017; Perkins, 2015). This makes it difficult to compare changes in heat waves, particularly at the regional scale (Perkins, 2015).

The heat wave varies relying on the length of consecutive days, the type of data temperature (minimum, average, maximum), the thresholds used to determine an extreme temperature, and whether humidity is taken into account (Perkins, 2012). In this study, the Apparent Temperature (T_a) developed by Steadman (1984) was used in order to reveal the change in comfort conditions (Steadman, 1984). The Heat Index (HI) or known as the "Apparent Temperature (T_a)" might also be considered when studying the heat wave event. The method was widely used in order to produce weather warnings in real-life situations. Steadman, translated combinations of relative humidity and temperature calculated in the same units as air temperature. As the impact of wind is ignored (indoor conditions), Apparent Temperature formula is expressed as

$$T_a(^{\circ}\text{C}) = -1.3 + 0.92T + 2.2e$$

where T is ambient air temperature ($^{\circ}\text{C}$) and e is saturation vapour pressure (kPa) (Steadman, 1984).

Relative humidity; as a percentage of the ratio of observed vapor pressure to the saturated vapor pressure at the same temperature and pressure, the vapor pressure can be calculated as a function of the relative humidity using the equation (WMO, 2008):

$$e = 6.112 * \exp\left[\frac{17.62t}{243.12+t}\right] * RH * 0,01$$

where t = air temperature (dry-bulb temperature)

e = saturation vapour pressure in the pure phase with regard to water at the dry-bulb temperature.

RH = relative humidity

3. Findings

3.1. Heat Waves metrics: A set of six heatwave metrics was computed in order to enable a comprehensive analysis of heat wave characteristics (Table 1). The level of significance in the trend analysis was determined as 5% and 1%. The maximum temperature thresholds (TX95pct) are above 30 °C (average 35.8) at the Gaziantep Meteorological Station. The TX95pct statistically shows a strong positive trend at the 1% level. The increase in the threshold values is connected to the increase in the maximum temperature averages, and, hence, to the formation of heat waves. Seasonal average frequency of days (HWF) meeting the heat wave criteria varies from 3 to 21 days in the location chosen for the study. The average is less than 5 days. No significant change in trend analysis of HWFs was observed. However, it is predicted that possible increases in the HWF will lead to an increase in the HWD and HWNs. There is an average of 1.3 heat waves per year (No heat wave was observed for 10 years in the control period). The highest number of heat waves was observed in 1979 with 5 incidences. The change of HWNs is not statistically significant.

HWA is the heat wave amplitude that refers to the hottest day of the warmest heat wave (the peak of the warmest heat wave). The index for Gaziantep varied between 32.2 and 44 °C between 1960 and 2016 with an average of 38.9 °C. This value is a result of Gaziantep's latitude and geographical features. According to the trend analysis, though the amplitude of the heat wave has a positive tendency in Gaziantep, it is not statistically significant. The average duration of heat waves in Gaziantep varies between 3 and 6 days. An average of about three days of heat waves is experienced each year. According to the trend analysis, the duration of heat waves does not show any significant change. In a study about the Mediterranean basin (Kuglitsch, 2010), it was determined that the Eastern Mediterranean was affected by shorter (less than 6 days) but more intense heat waves events in comparison to the previous decades (Kuglitsch, 2010). However, for example, CHT values, namely, the days with a combination of hot days and tropical nights, show a strong positive trend at 1% statistically. It is particularly noteworthy that the number of days meeting the CHT criteria in 1998, 2007, 2010 and 2016 is over 60. Similar results have been observed in the work of Barriopedro et.al.(2011) and Christiansen (2013). Christiansen found a generally upward trend in the same years (except in 2016) in his study on the changes in the summer period of high temperature extremes. Barriopedro et al.(2011), described 2003 and 2010 as "mega-temperature waves" because 50% of Europe exceeded the temperature records of about 500 years.

Table 1: Mean (min/max) Values and Trends of TX_{95pct}, HWF95, HWN95, HWA95 and HWD95 from 1960 to 2016 using the Mann-Kendall test.

| Metrics | Mean (min/max) | Z test | Significance |
|--------------------------|----------------|--------|--------------|
| TX _{95pct} (°C) | 35,8 (33,3/38) | 3,23 | ** |
| HWF95 (days) | 4,5 (3/21) | 0,17 | |
| HWN95 (days) | 1,3 (1/5) | 0,12 | |
| HWA95 (°C) | 38,9 (32,2/44) | 0,78 | |
| HWD95 (days) | 2,8 (3/6) | 0,10 | |
| CHT (days) | 34,3 (10/66) | 4,9 | *** |

3.2. Apparent Temperature (Heat Index):

The number of heat indexes per year was calculated according to average and maximum temperatures and trends were determined by OLS (not shown here) and Mann-Kendall test (Table 2). Since the average temperatures tend to increase in Gaziantep in general, this is also reflected in Ta values. The average temperature heat index Ta_(avg) statistically showed a strong positive trend at 1% level. Ta_(max) values calculated for maximum temperatures showed a positive trend at 5% level.

Table 2: Trends in the number of heat indexes per year in terms of average and maximum temperatures

| Parameters | Time range | n | Test Z | Sign. |
|-------------------------------|------------|----|--------|-------|
| Number of Ta _(avg) | 1960-2016 | 57 | 4,92 | *** |
| Number of Ta _(max) | 1960-2016 | 57 | 2,34 | * |

/ indicates positive/negative trends at the 1% significant level

* indicates positive/negative trends at the 5% significant level

According to the apparent temperature categories, T_{avg} values show a strong positive increase at 1% level in the temperature variability (Table 3) in terms of the "caution" category statistics. In T_{max} "caution" category, in contrast, strong negative significance is observed. This does not mean that the maximum temperatures tend to decrease; On the contrary, the temperatures (maximum and mean) tend to increase in general and show an upward shift through time (discomfort level) in terms of heat index. T_{max} values tend to increase strongly in the category of "extreme caution" by 1%. In a study conducted by Deniz (2013) on summer days (≥ 25 ° C) in Turkey about the trends in tropical days (≥ 30 ° C), long-term upward trends in summer temperatures, are quite evident in the south of Turkey. The rising trends in temperatures are evident due to the decreasing number of summer days during the summer season and the increasing numbers of tropical days in the Southeastern Turkey. In the same study, the number of tropical days in the Southeastern Anatolia Region was calculated over 90-110 days. T_{avg} values which may be included in the "danger" category are not observed and T_{max} values are in a tendency of positive increase which is not meaningful in the danger category.

Table 3: Temperature Trends According to Ta Categorizations Calculated Based on Maximum and Mean Temperature:

| Category | Time range | n | Test Z | Sign. |
|-----------------------------------------|------------|----|--------|-------|
| Caution (T_{avg}) (26-32°C) | 1960-2016 | 57 | 4,62 | *** |
| Extreme caution (T_{avg}) (32-40°C) | 1960-2016 | 26 | 0,94 | |
| Danger (T_{avg}) (40-55°C) | 1960-2016 | - | - | - |
| Caution (T_{max}) (26-32°C) | 1960-2016 | 57 | -3,59 | *** |
| Extreme caution (T_{max}) (32-40°C) | 1960-2016 | 57 | 4,31 | *** |
| Danger (T_{max}) (40-55°C) | 1960-2016 | 57 | 1,55 | |

/ indicates positive/negative trends at the 1% significant level

* indicates positive/negative trends at the 5% significant level

The distribution tendencies of the T_{max} values according to the categories are calculated and presented in Table 4. Tendency calculations show that T_{max} values tend to be strongly positive in the period from June to September, with June being very strong (1% level). This phenomenon indicates that the events of the heat wave predicted to happen during the summer season extend to the early autumn in Gaziantep. Therefore, it can be concluded that the synoptic conditions producing the heat wave in Gaziantep continues up until the beginning of autumn.

Table 4: Distribution trends of T_{max} values by categories (1960-2016)

| Months | Time range | n | Test Z | Sign. |
|-----------|------------|----|--------|-------|
| May | 1960-2016 | 57 | 0,43 | |
| June | 1960-2016 | 57 | 2,78 | ** |
| July | 1960-2016 | 57 | 2,45 | * |
| August | 1960-2016 | 57 | 2,0 | * |
| September | 1960-2016 | 57 | 2,12 | * |

/ indicates positive/negative trends at the 1% significant level

* indicates positive/negative trends at the 5% significant level

4.Results and Evaluations

Due to the geographical position of Gaziantep, it is situated in a sensitive location in terms of heat waves. With increasing migration in recent years, it has become one of the fastest growing cities in Turkey in terms of population (Sönmez, 2012). Accordingly, it is imperative to take precautions for the possible extremes of hot weather based on the changes in the climate. In this study, in which the characteristics of heat waves and comfort conditions in Gaziantep are presented, it is seen that the positive trends of heat waves as number, duration and frequency are not significant, but the threshold values used for heat waves show strong positive trends. CHT values demonstrate statistically positive significance levels. This shows that hot nights and tropical days have risen in number in Gaziantep based on the increase in minimum and maximum temperatures. The heat index (Ta) calculated on the basis of the relationship between average and maximum temperatures and relative humidity in terms of comfort levels has shown significant increases in both average and maximum Ta values.

Considering the seasonal distribution of the heat index, there is an increase in the tendency of negative comfort conditions from June to September. Therefore, the negative conditions spread over the summer period extending to the early autumn period. It is vital to develop a strategy to minimize the negative effects of hot waves on the country and especially for early warning and mitigation efforts. Considering that data from only one meteorological station has been studied, only the temporal changes of the heat waves are presented in this study. Other stations in the Southeastern Anatolian Region may also be included in the study and the spatial changes in the region may be revealed further in the prospective studies.

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State-Sponsored Doping System in Russia: the Largest Institutional Conspiracy in History of Sport and Its Motivation

Michael Kalinski, PhD

Abstract

We coined the term “*state-sponsored doping*” in our article published in USA in *Perspectives in Biology and Medicine* in 2003 and referred it to the 1970s events in the former Soviet Union. We demonstrated that doping in the former Soviet Union was “*state-sponsored*.” The information provided was substantial to prove the involvement of governmental authorities in sponsoring doping research in the former Soviet Union.

Keywords: State-Sponsored Doping System in Russia the Largest Institutional Conspiracy in History of Sport and Its Motivation.

Introduction

A culture of doping in Russian sport dates back to the Soviet Union. The current event in Russia are the repeat on the larger and more sophisticated scale of a Cold War era Communist subversion.

We published revelations about the involvement of state institutions in research on anabolic steroids in the former Soviet Union, which appeared in *Deutsche Zeitschrift für Sportmedizin* in 2002 (in German) and in our book *Ergogenic Aids: Performance-Enhancing Substances in Sport and Exercise* in 2008 (in English). We disclosed the classified doping report and this was the first significant break-up into the secrecy of doping in the former Soviet Union. We revealed, that in 1972, the State Central Institute of Physical Culture published 150 copies for a “limited use” among selected sport functionary and disseminated a classified document that outlined the secret Soviet research on steroids and recommendations for use steroids in sports. The author of this Editorial (Kalinski M.I.) was the first recipient of this document on December 15, 1972 as a chairman of the department of Sport Biochemistry at the Kiev State Institute of Physical Culture in the former Soviet Union. The Institute’s research vice president instructed me to pass the document to four other department chairs. I never did. To expose the document to the West was not an option at that time, because it would land me in Soviet Gulag in Siberia. Instead of disseminating and implementing the report, I concealed it and kept it in secret for 30 years. During the first decade after immigration to USA, I was hesitant to disclose it to the West, fearing KGB revenge. Also, my main goal was to re-establish my academic career in USA. Only after becoming US citizen in 2001 and by the strong encouragement of Professor of California State University in Chico, Dr. Thomas Fahey, after 30 years of receiving the document, I finally chose to reveal it content to the West. Dr. Fahey, one of the prominent American Sport Physiologists, spent a lot of effort to convince me how vitally important this classified report was for the possible rewriting of Olympic history, for shedding light on true history of doping in the Soviet Union.

The 1972 anabolic steroids document.

The document contains series of scientific reports providing the times and dosages for the administration of androgenic-anabolic steroids to human subjects (athletes) and data from experiments conducted at the Research Laboratory of Training Programming and Physiology of Sport Performance of the State Central Institute of Physical Culture in Moscow. It is important to note, that the editors of the classified research report, were important sport functionary appointed by the Russian government: the Director of the Research Institute of Physical Culture and Sports in Moscow, (a division of the Russia Sport Committee), Dr. V. Zatsiorsky and a prominent Soviet doping scientist, the Chair of the Department of Sport Biochemistry of the State Central Institute of Physical Culture in Moscow Dr. N. Volkov. Another new turn to this story took place in 2016. The leading author of the studies, described in the secret 1972 document, was Dr. Sergei Sarsania. In 2016, after 35 years of performing the secret studies, described in the discussed report, Dr. Sarsania, who is now 80 years old, came forward for the first time with a confirmation of his personal involvement in the doping process using anabolic steroids and the training of some of the former Soviet Union and Russia’s top athletes. Dr. Sarsania

made those acknowledgements in his interview to The Asahi Shimbun in 2016. When the Asahi Shimbun journalist asked Dr. Sarsania to show him a copy of the 1972 document, a big surprise came: Dr. Sarsania didn't have the copy of the document he prepared himself for the publication! This confirmed my deep suspicion that this evidence of a state-run Soviet doping program was purposely destroyed. The copy I smuggled to USA is the only existing copy in the world!

It is obvious from the State Central Institute of Physical Culture's report that experiments with anabolic-androgenic steroids using athletes as subjects had occurred in the former USSR by 1971–1972 or earlier. All orders to organize and finance such research were given in a highly centralized system. Research into the medical and biological aspects of sport was an integral part of the athletic agenda in the former Soviet Union. It was conducted in more than 28 State Institutes of Physical Education and State Research Institutes of Physical Culture. In the totalitarian country as Soviet Union was, all crucial decisions about financing and implementation of research programs on androgenic-anabolic steroids by the State Central Institute of Physical Culture in Moscow were made with the knowledge and consent of governmental officials. We conclude that all those clandestine research and secret dissemination of the recommendations for the Soviet athletes by its nature were state-directed, state-sponsored. There was no "private" doping research in the highly centralized Soviet system.

Dr. Volkov blood doping secret studies.

Further, in our article "State-sponsored research on creatine supplements and blood doping in elite Soviet sport", we presented previously restricted information regarding the development and use in elite Soviet sport another procedure - blood doping - in the former USSR. We exposed that the Soviet government supported the development of blood doping, which is banned by the International Olympic Committee. Our article documented the broad secret research program, which involved the highest levels in sports institutions of the USSR, including the Central Institute of Physical Culture in Moscow and the Central Institute of Hematology and Transfusiology, and was carried out over a number of years. It also involved many of the country's elite athletes, including Olympic competitors, from different sports disciplines. The results of this clandestine government-sponsored research—including information pertaining to the use of blood doping during the 1976 Olympic Games—were restricted from open publication. Only 14 years after blood doping was used at the Olympic Games were the results of this research finally allowed to be made public—and then only in the form of an abbreviated Ph.D. dissertation report of Russian scientist Dr. Nikolay Volkov in 1990. After our publication the Soviet government denials of the development and use of blood doping was recognized as a cover up. Blood doping was exposed as pervasive in the USSR in the 1970s and 1980s, and was used by many Soviet athletes in the 1976 and 1980 Olympic Games. Swimmers, cyclists, rowers, skiers, biathletes and skaters systematically were blood-doped, according to Volkov's research. Dr. Volkov was awarded a Gold Medal of Russia's Sport Committee for his research. When the Soviet Union came apart, sport biochemists and sport pharmacologists, like Dr. Volkov and Dr. Portugalov, "trained to drug" their athletes, remained in their positions in Russia until recently. For example, Dr. Volkov was a chair of the Department of Sport Biochemistry of the State Central Institute of Physical Culture in Moscow until his death in 2014.

Professor Richard H. McLaren's reports.

When the new biggest doping scandal in history, which started after the Sochi 2014 Winter Olympics in Russia, Professor Richard H. McLaren, the Independent Person ("IP") was appointed by the World Anti-Doping Agency ("WADA") President to investigate with his team a suspected rampant cheating across Russian sports. The IP was to conduct an investigation of the allegations made by the former Director of the Moscow Laboratory, Dr. Grigory Rodchenkov published in the New York Times on 12 May 2016 and aired as a segment of the 60 Minutes television program on 08 May 2016. Eventually, McLaren's team established a universal understanding how sport competitions had been virtually hijacked by the Russians through doping manipulations. One of the key findings of the McLaren's WADA IP Report was that an institutional conspiracy existed across summer and winter sports athletes who participated with Russian officials within the Ministry of Sport and its infrastructure, such as the Russian Anti-Doping Agency, Center of Sport Preparation of National Teams of Russia, and the Moscow Laboratory, along with the FSB (Russian Security Service) for the purposes of manipulating doping controls. The summer and winter sports athletes were not acting individually but within an organized infrastructure. The swapping of Russian athletes' urine samples was occurring at Sochi, and did not stop at the close of the Winter Olympics. The forensic testing, which is based on immutable facts, is conclusive. The results of the forensic and laboratory analysis initiated by the IP establish that the conspiracy was perpetrated between 2011 and 2015. Over 1000 Russian athletes competing in summer, winter and Paralympic sport, can be identified as being involved in or benefiting from manipulations to conceal positive doping tests.

In the Sochi Olympic Games in Russia in 2014, Russian athletes won 33 medals, including 13 golds, 10 more than at the previous Winter Olympics in Vancouver, Canada. Richard Pound, the former president of WADA, said Russia should be banned from the 2016 Olympics in Rio de Janeiro. WADA called on the Olympic Committee to bar the entire Russia team from the Rio Games. However, the Olympic Committee did not follow WADA's recommendations and refused to ban the Russia's team as a whole. Instead, it deferred to individual sport federations. As a result, most Russian athletes were allowed to compete at 2016 Summer Olympics. Only about 100 Russian athletes were barred from the Olympic Games in Rio de Janeiro. This decision favored Russia. The international sport federations (with only exception of track and field governing body, IAAF) actually found themselves disarmed against Russia's hybrid war with international sport. The rest of the world agreed to send their athletes to Rio de Janeiro to compete with the Russians "stuffed" by the Duchess cocktail of banned substances.

The real motivation to organize the insane state-controlled doping system in the former Soviet Union and in present day Russia.

The real reason rests deep within the Russia's collective ego with its extreme aggressiveness, manifested in Ribbentrop-Molotov pact with Nazi Germany, which started the World War II in 1939 against Poland. It was also manifested in the wars of Russia against Finland in 1939, Russia's aggressions against Hungary in 1956, occupation of Czechoslovakia in 1968, invasion into Afghanistan in 1979, as well as in Georgia in 2006, war against Ukraine and occupation of Crimea in 2014 and Russia's taking part in current conflict in Syria. The collective ego in the form existing in current Russia, is constantly in need of conflict and enemies, the need to be right against others who are wrong etc. The others, who are wrong, are of course the Western countries. One of the ways in which Russia's ego attempts to escape unhappiness of the selfhood, compared with the more successful West, is to strengthen its sense of self by identifying with success in sport. Sport always has been a useful propaganda tool to infuse the sense of sportive nationalism, national pride within egoic collective psychopathic unconsciousness in the communist regime in the former Soviet Union and in a present day authoritarian Russia. Since the old times of former Soviet Union, the government goal was outdoing the West, by winning medals by any price, reap the benefits from Olympic victories, and convince the world of the superiority of the Russian sport system to a decadent West. The former Soviet Union had mastered decades-long dominance in sport in the second half of the 20th century and after a devastating defeat at Vancouver Games in 2010, Putin mastered a new victory over the West at Sochi Olympic Game on Russia's soil just four years later in 2014. Russia's WADA accredited lab had substituted steroid-laced urine samples of Russian athletes and had evaded the detection of antidoping authorities. How much more brazen can it get when the notorious Federal Security Service of Russia played a central role in the doping scandal?

In order to get it right, there should be a different approach. As Max Cobb, executive director of U.S.A. Biathlon put it: "If you tell all Russian sports that they cannot compete internationally, things will change very fast."

Because doping transmits medical danger for athletes, sport medicine professionals are obligated to protect the athletes and not be silent when state-sponsored doping system in Russia, the largest institutional conspiracy in history of sport, is now available for the world to see.

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The Impact of War on Emergence of Depression and Posttraumatic Stress Disorder on Iranian Veterans of Iran-Iraq War

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Abstract

Iran has been involved in many wars throughout its ancient history, a vivid example is the Iran-Iraq war. This imposed war was ongoing during September 1980 – August 1988 (Mohsenian, 2008). The main goal of this study was to investigate differences depression and PTSD symptoms in veterans who participated in the Iran-Iraq compared to community sample. The objectives of this research were: 1. Comparing depression in soldiers who are PTSD patients and ordinary people. 2. Comparing PTSD symptoms in soldiers and ordinary people. The research hypotheses were formulated according to the defined objectives. The statistical population included the Iran-Iraq war veterans and the ordinary male individuals within the age range of 25-50 residing in Tehran. The data analysis for present research was done descriptively. The Foundation of Martyrs and Veterans' Affairs of the city of Tehran permitted the researcher to select the statistical samples through the families of martyrs and veterans in person. The related questionnaires were handed in to the testees in person. The research objectives and nondisclosure of information were explained to the testees prior to distribution of the questionnaire. The data was collected using a PTSD checklist by Weathers, Litz, Herman, Huska, Kean et al (1993) and the Beck depression inventory. The multivariate effect indicates a significant difference between the depression and PTSD in war veterans and ordinary individuals aged 25-50. Depression and PTSD in Iran-Iraq war veterans it was higher compared to ordinary individuals.

Keywords: Veterans, PTSD, Depression

1. Introduction

Iran has been involved in many wars throughout its ancient history and Iranians have been Subject to the results of war damage. A vivid example which readily comes to mind is the Iran-Iraq War. This imposed war was ongoing during September 1980 – August 1988 (Mohsenian, 2008). Great wars and their many victims did not bring about peace and mental security for humanity, rather they led to mental hospitals being full of patients whose number increased every day as more and more war veterans were being diagnosed with mental illnesses and disorders. In other words, one cannot ignore the direct and indirect outcomes of war on society although it has for long been over. Some of the negative outcomes of this war include many war veterans becoming martyred with so many getting wounded in action; To name some of the negative effects of war veterans, one can make mention of Post-traumatic Stress Disorder and the resultant depression in war veterans.

2. Statement of the Problem

Post-traumatic Stress Disorder (PTSD) is a psychiatric disorder caused by traumatic events Such as wars. This illness is considered to be a chronic anxiety disorder caused in response to one or more pathogenic stimuli. The disorder can be diagnosed as a result of re-experiencing symptoms and avoidance or emotional numbing and increased arousal which can cause significant clinical stress or performance disorder (Beck and Clark, 2010).

As stated in the fifth edition of the Diagnostic and Statistical Manual of Mental Disorders (American Psychiatric Association, 2013), PTSD is classified under anxiety disorders and is known as a post-traumatic stress disorder. In this type of disorder, illness symptoms occur as a result of a traumatic event and normally go beyond the tolerance of human being. The stimuli causing this syndrome lead to restlessness symptoms.

Mental traumatic events which may cause this syndrome include: war, flood, earthquake, car Accidents, bombardment, terror or living in concentration camps the possible reactions of the patient to these events include: excessive fear,

helplessness or fright. Therefore, the individual constantly avoids facing the stimuli which are somehow related to the damage. The individual usually makes a conscious effort to refrain from the thoughts, feelings or conversations about damaging events as well as activities, situations or individuals who bring back memories of that event. This act of avoidance may include any of the following: amnesia when it comes to an important aspect of the damaging event, a substantial decrease in participation in important activities, a lethargic feeling or hatred towards other people, limited scope of emotions, and a feeling that death is proximate. All of these symptoms are similar to the symptoms of depression. In line with this, some scholars have pointed out the similarities between PTSD and two other psychiatric disorders, i.e. major depressive disorder and panic disorder (ibid).

3. Review of Empirical Literature (research background)

PTSD is one of the very few psychiatric disorders defined based on causes. In fact, the this Disorder is not caused unless a stressor (harm*) is at work. Nonetheless, harmful event does not Suffice for diagnosis and many people who undergo stress, do not develop a disorder. Most probably, there is an interaction between the event and the victim. PTSD symptoms are affected by the degree of significance the victim attaches to the stressor. That is, how fearful the stressor seems to the victim truly matters. There is no direct relationship between severity of the stressor and PTSD symptoms. Those individuals are more prone to developing PTSD who feel nobody supports them or are featured with timidity, shyness, or feeling of guilt. PTSD has to be studied by taking some factors into consideration such as: biological condition, psychological and social factors prior to the harm, the specifications of the stressor, the time and place of the event, situational factors, personal features and the post-trauma conditions. Furthermore, the mental significance of the stressor is also of importance. The survivors of a traumatic event may feel guilty and PTSD can make them prone to depression or even augment stress (Ya'qubi, 2011).

According to the results of a research conducted by Shafiee Kamalabadi et al. (2014), titled "An investigation into PTSD and its coexistence with Personality Disorder among war veterans in Tehran", 39% percent of war veterans suffer from PTSD. If the wounded in action suffer from partial disability of less than 25% and his/her university degree is higher than Bachelor's degree, Then they are less likely to be afflicted with this disorder. The Borderline Personality Disorder is Recognized as the most common personality disorder accompanied with PTSD among the war Veterans (who also suffer from PTSD); i.e. some 17/9% of the war veterans who suffer from PTSD also suffer from Borderline Personality Disorder while 4.8% of those who have not been diagnosed with PTSD suffer from Borderline Personality Disorder. The frequency of Avoidant Personality Disorder was 10% as compared to 2%. Nonetheless, depression had not been studied in their research.

Another study by Zargar et al. (2011) titled "an investigation into mental health of Iranian War veterans: 30 years later" found that nearly 50% of the former war veterans suffer today from Mental disorders such as depression, anxiety, obsession (OCD), aggressive behavior, phobia, Psychosis and other mental disorders. However, the study does not specifically refer to PTSD.

Mohammadkhani et al. (2007) conducted a research on symptoms of PTSD and resultant depression, anxiety, anger and Dissociative Identity Disorder (DID) based on sexual segregation of two groups of male and female adolescents who were victims of Bam earthquake compared them to normal Tehrani adolescents. The findings indicate that more symptoms associated with depression, anxiety, anger and DID can be seen in the group of adolescents who have experienced traumatic events as compared to normal adolescents. As for the group diagnosed with PTSD, the female population. reportedly indicated all the symptoms of PTSD (except for anger) on a higher level compared to the male population; However, when PTSD symptoms (those truly symptomatic of illness, not based on the mean of all the points) were studied for both genders, it was revealed that the male population reportedly revealed more symptoms compared to the female population. Although the difference was not significant, at least it showed that girls do not become diagnosed with PTSD any more than boys. In fact, the factor that causes frequency of PTSD symptoms in girls to be more compared to boys is pertinent to dominant patterns of sexual roles. Nonetheless, the frequency of PTSD in the test group was 20%. According to the available literature, no research has to date studies both PTSD and depression in Iran-Iraq war veterans. Therefore, the significance of the proposed research is justified.

4 .Theoretical review of literature

Depression is a natural response to the pressures of life stemming from internal conflicts or in reaction to an external factor. Depression is an illness which causes changes in mood, behavior, thoughts, perceptions, and physiological performance; It is considered to be abnormal and is recognized as a disorder when its severity does not match the

causing event. Different studies show that minor mood swings are on the same continuum just like more severe disorders; i.e. the difference lies in severity rather than the type. These results have been acknowledged in other large scale research related to this issue. Nonetheless, these mood disorders differ in their revealing symptoms. Thus, unipolar and bipolar disorders have different micro-types While the causal factors and treatment of these micro-types is somewhat different. In fact, periods of depression are obviously the most common grounding reason leading to suicide (James et al., 2010).

Sadness, despondency and hopelessness about future are familiar feelings for most people. When we feel depressed, we also feel unhappy. However, the feeling normally wears off soon and after a few days/weeks or once it reaches a certain level of severity, it automatically wears off. In fact, mild and short-term depression may be natural and adaptable in the long run. It so appears that depression is mainly a result of facing fearful limiting thoughts and feelings the individual usually avoids. It is usually expected to see normal depression in people who experience unpleasant events such as interpersonal problems or financial failures (James et al., 2010).

Depression is an illness with mood swings as its primary and main feature; it includes a range of feelings from sadness caused by a mild hopelessness to severe frustration (fluctuations are possible). This noticeable change in behavior causes altered viewpoints, insights, thoughts, opinions and physiological performance. Depression may exist as a symptom of many mental or physical illnesses and function as a secondary part on a clinical manifestation. Depression can also be a natural feeling indicative of helplessness. Depression affects the entire body organism; it also affects all aspects of individual's life. The main symptom of depression is feeling uninterested about commonly enjoyable daily activities such as socializing, doing sports or leisure activities and eating food. All in all, depression depends on its symptoms and their gravity. In cases of mild depressions, a few symptoms are present. The most important symptom is failure to gain pleasure from things which used to be pleasurable for the individual before. Food loses its taste, sexual activity loses its appeal, working becomes boring, and the once significant socializing activities become meaningless (Moosavi et al., 2007). Normal types of depressions are almost always caused by stress. Two relatively common symptoms of depression are taken into account here: symptoms which are not normally considered mood disorders, except for the cases where they become abnormally severe or lengthy (Hashemi, 2011).

However, clinical depression (where the individual does not feel pleasure but experiences hopelessness) has other symptoms as follows: helplessness, reduced self-esteem, thought distraction, masochism, complaining about pain, breathing problems, digestive problems, headaches and physical problems. Other distinctive symptoms include: loss of appetite, loss of weight, insomnia, fear, and sleeping disorders (e.g. waking up early), reduced energy, fatigue, lack of attention to daily chores and loss of interest in sex, feeling guilty, suicidal thoughts and masochism. To sum up, depressed people mention that their brains are faulty. They fear that they may lose their senses or control over their feelings (Diagnostic and Statistical Manual of Mental Disorders, 2013).

Although there seems to be an obvious cause and effect relation between a stressful event and emergence of disorder, it is impossible to explain emergence of disorders like depression, Anxiety and PTSD. Although any trauma could affect individuals to different extents, such disorders are caused in few people. Researchers state three factors in their attempt to explain the causes of such disorders in some individuals: childhood experiences, personality type, and social support (Alipoor, 2007).

In addition, any type of disability can function as a source of mental pressure leading to depression. Obviously, a disabled family member with chronic disabilities can impact the family unity and bring about further mental and sociological disorders (Islaminasab, 2013). The most recent widespread cognitive results from research about simultaneous occurrence of a number of disorders indicate that prevalence of Major Depressive Disorder (MDD) also known as unipolar depression is 17% (the rate of 12month prevalence is almost 7%) in a lifetime span (Roussis and Wells, 2006). Furthermore, the rate of unipolar depression is by far higher in women (almost 2 to 1) as is the case with most anxiety disorders (James et al, 2010). Thus, emphasis on diagnosing different disorders and providing opportunities for learning about simultaneous occurrence of disorders can lead to changes to the external layers from a clinical perspective (clinic/practice). Nonetheless, the question remains: Are depression and PTSD different in those Iranian war veterans who have been diagnosed with PTSD? The proposed study is meant to answer this question

5. Depression

Depression is used to refer to a special state of feeling, reaction in a given situation and a behaviour style particular to a given individual. The feeling of depression is normally known as sadness or melancholy, likely to occur in a rainy cold

weather or after quarrelling with a friend. A situation which is expected to be delightful, most often puts an end to such feeling. People get this feeling most often after Christmas holiday, moving to a new house or birth of a newborn (Sarason and Sarason, 2011).

5.1. Prevalence of depression

Depression is one of the most common, detrimental and high-cost types of mental trauma (Luppa et al., 2007). Some 2025% of women and 1017% of men undergo depression within the course of their lifetime (Levinson, 2006).

As a matter of fact, depression affects one in every five individual while women are two to Three times more likely to succumb to depression in comparison to men (Sloan & Kornstein, 2003; Calvete, 2010). This type of disorder is very likely to affect the patient all over again. In addition, there is a high risk that one period of depression would be followed by other fits. Some 15% of individuals suffering from severe depression try to commit suicide (Kessler, 2002). According to the World Health Organization, depression will be the second leading type of illness to debilitate the world to the effect that some 121 million individuals would fall into it (WHO, 2010, as quoted by Berry and York, 2011).

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5.2. Depression signs and symptoms

Depression signs come in four different groups. In addition to the physical symptoms, physical, motivational and cognitive symptoms ought to be mentioned as well. An individual must not necessarily indicate all of these symptoms to be diagnosed with depression. Nevertheless, the more symptoms an individual presents and the more acute the symptoms reported in a constellation, the more accurate the diagnosis (Seligman and Rosenhan, 2012)

5.2.1 Mood Symptoms

Grief is the most frequent and apparent emotional symptom in depression. Such depressive feeling is most often associated with anxiety. Most depressed individuals suffer from anxiety as well. However, depression is not a prerequisite of depression (Barlow, 2009). Absence of the feelings of satisfaction and happiness are almost as prevalent as the feeling of sadness (sorrow/melancholy) in depression.

Those activities which used to bring about the feeling of satisfaction and content become Monotonous and boring. At the initial stages, the individual experiences lack of interest in merely a couple of activities.

5.2.2 Cognitive symptoms

The depressed individual has a negative attitude about him/herself. These negative beliefs and attitudes undermine the individual's feelings about him/herself and his/her future. A depressed individual has a low self esteem not to mention that s/he berates him/herself for his/her problems and feels guilty.

The individual feels responsible for his/her failure. Even Though the failure may not be definite, such individuals believe that it is apparent and s/he is the main reason for such failure (Seligman and Rosenhan, 2012). In addition to the negative feelings and the feeling of guilt, the depressed individual almost always thinks about a hopeless future mingled with pessimism. Such thoughts will result in ruining the interpersonal relations (Johnson & Jacob, 2009).

5.2.3 Motivational symptoms

Depressed individuals have serious problems in waking up every morning, going to work, starting a project and keeping themselves busy. Ambivalence and uncertainty in decision making are among the most common symptoms of depression. Decision making can be a paralyzing fear for the depressed individual. In cases of severe depression, the patient is unable to make decisions. Such state is known as "Paralysis of Will".

5.2.4 Somatic symptoms

In cases of major depression, all the biological and mental pleasures which add value to life fade away. Loss of appetite is very common between depressed individuals. In cases of severe or moderate depression, the individual loses weight while in cases of mild depression gaining weight is likely to occur as well. Sleep disorder is very common as well.

Depressed individuals are likely to experience many difficulties in falling asleep. Sleep disorder and weight loss lead to weakness and fatigue. The depressed individual may also lose his/her sexual desire. A great percentage of people who are diagnosed with depression also present somatic symptoms (Seligman & Rosenhan, 2012). Depressed individuals are more vulnerable to Physical illnesses since severe depression can debilitate the individual physically. Depression is most often one of the primary symptoms of infectious diseases, cancer and heart disease (Carney, Freedland & Jaffe, 1990).

5.3 Depression cycles' diagnostic criteria based on DSM-IV-TR

A- In the event that five or more of the following symptoms exist in a cycle of fortnight and indicate change compared to the previous level of performance; at least one of the symptoms is revealed as a 1) depressed mood or 2) loss of interest and feeling pleasure.

It is noteworthy that those symptoms which are indicative of a general medical disorder or the delusions and illusions inconsistent with mood must not be taken into account in this case.

Depressed mood most of the day according to the mental records or others' observations. It is noteworthy that in case of children and adolescents, it could be revealed as irritability.

Significant decrease in feeling joy and interest in all or almost all of the activities related to the major part of the day.

Significant decrease in weight without exerting control or being on diet; Increased weight or increase/decrease in appetite (Note that in case of children, one should beware of Increase below the expected).

Insomnia or hypersomnia on an almost daily basis

Mental stimulation or mental slowness on an almost daily basis

Fatigue or exhaustion on an almost daily basis

Baseless feeling of worthlessness and guilt

Reduced concentration and thinking abilities on an almost daily basis

Repetitive thoughts of death

B- The symptoms do not include criteria related to a mixed cycle

C- Symptoms related to significant clinical sadness disturbed social activity, professional Performance or other aspects

D- The symptoms do not stem from the physiological impact of a given substance or a general medical disorder

E-) Bereavement does not further explain the symptoms; i.e., after loss of a beloved one, the symptoms continue for more than two months and result in obvious performance impairment and obsession with feeling of worthlessness or slow mental and physical activity (Sadock and Sadock, 2005).

6 .Posttraumatic stress disorder (PTSD)

The history of posttraumatic stress disorder, reveals the long history and diversity of this

Disorder. Until 1980, this disorder was not officially considered to be a disorder under the Diagnostic and Statistical Manual of Mental Disorders published by American Psychiatric (April & Beck, 2000). However, during the American civil war, cardiac symptoms related to autonomic nervous system similar to what is called PTSD today, was seen among

soldiers fighting in the war and it was called the soldier's heart. Da Costa published an article in 1871, entitled "On irritable heart; a clinical study of a form of functional cardiac disorder and its consequences" describing this state of the soldiers. The main reason for this appellation (traumatic neurosis) was the influence of psychotherapists in 1900-1909 especially in the United States. Frederick Mort, the English pathologist, called the disorder traumatic psychological reactions. In his opinion, such reactions related to brain lesions were caused as a result of explosion. In the Second World War, traumatic reaction to war led to development of different names and classifications such as operational fatigue and traumatic neurosis. Finally, the psychiatric side effects on soldiers after the Vietnam War led to creation of the concept of posttraumatic stress disorder (PTSD). The disorder has still the same name today (Sadock and Sadock, 2007).

Symptoms of the wounded in action and the Iran-Iraq war: during the Iran-Iraq war, the ideological beliefs about war and the dominant sociocultural context impeded the veterans from expressing their feelings and concerns, especially those related to neurotic and psychological problems. Iran Mohajer was the first to publish an article in 1986 as the war was ongoing to discuss and emphasize neuroticism among Iranian combatants. After the war, several studies were carried out about the combatants, prisoners and victims of war. The expert attention was drawn to various symptoms about which chronic victims of war complained throughout years. However, these vague complaints were not resolved easily. Observations indicated that posttraumatic stress disorder symptoms like reexperiencing and avoidance was lower than expected in many of these wounded in action. Many of the wounded showed specific signs and symptoms due to injuries caused by blast waves and chemical weapons. An investigation into symptoms of those wounded in Iran-Iraq war gave rise to the soldier's heart syndrome. The symptoms related to this syndrome are emotional, e.g. outrage, reduced tolerance of acoustic stimuli, despair and depression, behavioural and social symptoms such as family conflict, work related problems, drug overdose, and physical symptoms such as sleep disorder, headaches, decreased libido or impotence, respectively (Mohajer, 1986; Momtazi, 2001).

7. Research Objectives

7.1 General objectives

The general objective of the present research is to study the impact of war on depression and PTSD development in Iranian male war veterans through comparison of the war veterans with Normal individuals. It is expected that the results of this study (e.g. depression and PTSD rates) could contribute to alleviation of depression and PTSD symptoms and also to solution of the related difficulties as far as the affected war veterans are concerned.

7.2 Specific Objectives

Comparison of depression in the war veterans suffering from PTSD and normal people
Comparison of PTSD symptoms in war veterans and normal people.

8. Methodology

This research is descriptive with an ex-post facto design where PTSD and depression are compared in Iran-Iraq war veterans and normal people. The research data is collected using field method and questionnaires. Furthermore, the data collection and theoretical framework design processes are carried out based on secondary research where reference is made to previously conducted available literature.

8.1. Statistical population, Sample, Sampling Method

The statistical population of the proposed research is made up of those war veterans diagnosed with PTSD who reside in Tehran. The sampling method used is purposive sampling. The qualification required to be included in the research sample is having PTSD and being male. Given the number of variables in the study (Depression and PTSD) and taking the table designed by Krejcie and Morgan (1970) into consideration, the sample size required for this study will be 100.

8.2 Research Tools

8.2.1 Beck's Depressive Inventory II (BDII) questionnaire

This questionnaire is one of the research tools meant to be used in this research. This questionnaire includes 21 items which measure physical, behavioural and cognitive symptoms of depression. Each item lists four statements on a four-point scale (from 0 to 3) based on increasing intensity. A value of 0-3 is given to each answer to the test. Afterwards, the

total score is compared to a key to determine the severity of depression. The cutoff scores used to measure depression severity range between 063 and determine different levels of depression from mild to severe. The 21 items of this questionnaire include: Sadness, Pessimism, Past failure, Loss of pleasure, Guilty feelings, Punishment feelings, Self-dislike, Self-criticalness, Suicidal thoughts or wishes, Crying, Agitation, Loss of interest, Indecisiveness, Worthlessness, Loss of energy, Changes in sleeping pattern, Irritability, Changes in appetite, Concentration difficulty, Tiredness or fatigue, Loss of interest in sex. The general results of the depression test can be interpreted based on the BDIII cutoffs. None of the cutoffs explains absence of depression. This questionnaire is designed for individuals aged 13 and over.

8.2.2. PTSD checklist:

The PTSD checklist (Weathers, Litz, Herman, Huska, Kean et al., 1993) was developed for the National Center for PTSD in the United States. The checklist includes 17 items 5 of which are pertinent to the signs and symptoms of re-experiencing the traumatic event, 7 items are related to signs and symptoms of avoidance and emotional numbing, and 5 other items of the checklist are related to the signs and symptoms of increased arousal. The checklist is scored as follows:

Summation of all the scores gained from answering to each of the 17 questions based on a five point Likert scale (with 1 = not at all, 2 = a little bit, 3 = moderately, 4 = quite a bit, 5 = extremely). The total score can range between 1785. The cutoff for military forces is determined to be 50 and only reliable in their case.

8.3 Research Hypotheses

1-War impacts outbreak of depression and PTSD in Iran-Iraq war veterans.

2-War impacts outbreak of depression in Iran-Iraq war veterans.

3-War impacts outbreak of PTSD in Iran-Iraq war veterans.

8.4 Research Procedure

The related permit was obtained from the Foundation of Martyrs and Veterans' Affairs of the city of Tehran to select the statistical sample by going to the families of martyrs and veterans in person. The related questionnaires were handed in to the testees in person. The details about the research objectives and nondisclosure of information were explained to the testees prior to distribution of the questionnaire. The testees were afterwards asked to answer all the questions carefully.

8.5 Data Analysis Method

The data in question includes the scores obtained by each participant on the general depression and PTSD scales. To analyze the data and report the results, descriptive statistics indices (mean, standard deviation, minimum score, maximum score, range, skewness, kurtosis) and inferential statistics (t-Test for independent groups and multivariate analysis of variance) will be used. In addition, variance analysis will be used for simultaneous comparison of the research variables.

8.6 Information Analysis Method

The information analysis in the current study is done using the t-Test for independent groups. In addition, variance analysis will be used for simultaneous comparison of the research variables.

9. Research questions and Interpretation of result

The present study was mainly conducted to answer the following question:

Does war impact outbreak of depression and PTSD in Iran-Iraq war veterans?

Given that the main research question is an investigation into the impacts of war and how it has possibly resulted in outbreak of depression and PTSD in Iran-Iraq war veterans and also considering the fact that many studies confirm there is a correlation between the mentioned variables, this section includes information related to assessment of the intercorrelation of variables (depression and PTSD) based on the studies sample.

The related results have been included in Table 1.

Table1.

Correlation Matrix of Variables Related to Level of Education

(Depression and PTSD)

| Variables | Depression | PTSD |
|------------|------------|------|
| Depression | 1 | |
| PTSD | 0.89** | 1 |

**sig<0.01 *sig<0.05 n=765

As detailed in Table 1, depression and PTSD have meaningful intercorrelation. Given the intercorrelation of these two dependent variables (depression and PTSD) and with respect to the fact that the main research question was meant to make a comparison between the Iran-Iraq war veterans and ordinary individuals aged 25-50 residing in Tehran, multivariate analysis of variance (MANOVA) was used for statistical analysis of the variables.

Table 2

MANOVA Results on Depression and PTSD in War Veterans and Ordinary Individuals

| Change sources | Wilk's Lambda | F | Degree of freedom | Degrees of freedom error | Significance | Effect size (%) |
|----------------|---------------|-------|-------------------|--------------------------|--------------|-----------------|
| Group | 0.89 | 47.22 | 2 | 762 | 0.0001 | 0.11 |

Table .2 indicates the results of multivariate analysis of variance test results of depression and PTSD in two groups: war veterans and ordinary individuals within the age range of 2550. As detailed in Table 2 the results are indicative of a significant multivariate effect for "Group". This multivariate effect confirms that war affects outbreak of depression and PTSD and there is significant difference between the war veterans and ordinary individuals within the age range of 25-50 (Wilk's Lambda result = 0.89 and FC = 47.22 and P < 0.000).

Independent tTest were conducted for each group, i.e. war veterans and ordinary individuals considering dependent variables in order to test the subhypotheses of the study as follows:

Does war impact outbreak of depression in Iran-Iraq war veterans?

To study the impact of war on outbreak of depression, a comparison was made between the means resultant from depression in IranIraq war veterans vs. ordinary individuals with both groups being within the age range of 25-50 and residing in Tehran. The comparison was made using t-Test for independent groups as detailed in T able 3

Table 3

T-Test Results Comparing Depression in War Veterans vs. Ordinary Individuals within the Age Range of

25-50

| Variable | Iran-Iraq war veterans | | Ordinary people aged 25-50 | | df | t | sig |
|--------------------------|------------------------|--------------------|----------------------------|--------------------|--------|------|--------|
| Homogeneity of variances | Mean | Standard deviation | Mean | Standard deviation | 763 | 8.50 | 0.0001 |
| | 25.39 | 10.53 | 19.04 | 10.13 | | | |
| Heteroscedasticity | | | | | 760.99 | 8.50 | 0.0001 |

At first Levene's test for equality of variances was conducted. The test results indicated that variances of the two groups differed with one another on a general scale since the significance was more than 0.05. Therefore, the null hypothesis (H0), which states that the variances are equal, was confirmed. Accordingly, t-statistic was used for homogeneous variances and the calculated t was 8.50 and significant in this sense (sig<0.01). Therefore, the depression mean is higher in Iran-Iraq war veterans in comparison to ordinary individuals (with both groups within the age range of 2550 and residing in Tehran). Thus, war impacts the development and outbreak of depression.

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The next sub-hypothesis was as follows:

2. Does war impact outbreak of PTSD in Iran-Iraq war veterans?

To study the impact of war on outbreak of PTSD, a comparison was made between the means resultant from PTSD in Iran-Iraq war veterans vs. ordinary individuals with both groups being within the age range of 2550 and residing in Tehran. The comparison was made using tTest

For independent groups as detailed in T able .4.

Table 4

T-Test

Results Comparing PTSD in War Veterans vs. Ordinary Individuals Within the Age Range of 25-50

| Variable | Iran-Iraq war veterans | | Ordinary people aged 25-50 | | df | t | sig |
|--------------------------|------------------------|--------------------|----------------------------|--------------------|--------|------|--------|
| Homogeneity of variances | Mean | Standard deviation | Mean | Standard deviation | 763 | 9.71 | 0.0001 |
| Heteroscedasticity | 47.73 | 15.43 | 37.98 | 12.13 | 718.53 | 9.72 | 0.0001 |

At first Levene's test for equality of variances was conducted. The test results indicated that variances of the two groups differed with one another on a general scale since the significance was less than 0.05. Therefore, the null hypothesis (H0), which states that the variances are equal, was not confirmed. Accordingly, t-statistic was used for heterogeneous variances; The calculated *t* was 9.71 and significant in this sense (sig<0.01). Therefore, the PTSD mean is higher in Iran-Iraq war veterans in comparison to ordinary individuals (with both groups within the age range of 2550 and residing in Tehran). Thus, war impacts the development and outbreak of depression.

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The Mistakes of a Public Communication in the Ebola Crisis in Spain

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Abstract

This work analyzes the impact of the outbreak of hemorrhagic fever caused by the Ebola virus in Spain in the field of communication. The communication of such a crisis entails an interaction of information between individuals and institutions. Accuracy in the messages that are disseminated is key to the good resolution of the crisis. In this case of the Ebola crisis the impact in the Spanish media was very remarkable not only of the evolution of the crisis but also of the public information that were being made known by the authorities. The errors committed in this public communication, especially in the first institutional appearance, will be analyzed and possible solutions will be provided for future crises. In addition, the information behavior that was given in social networks by the authorities will be analyzed. To perform this work, bibliographical sources, data analysis and the media have been used.

Keywords: crisis - communication - public - ebola – media

Introduction

Chronology

When referring to the Ebola virus in Spain is August 7th, 2014 when the first case appears. On that date the religious Miguel Pajares is admitted to Hospital Carlos III after being repatriated from Liberia and dies on the 12th of that same month.

Later, in September, the priest Manuel García Viejo arrives infected to Hospital Carlos III and days later, also passes away.

Later, nursing assistant Teresa Romero becomes the first person to be infected with Ebola beyond Africa. She is transferred on October 6th to the Hospital Carlos III. That day is the first crisis of public communication, which will be analyzed in this work. He was discharged a month later, on November 6th.

The crisis and its communication

With the term crisis we can refer to a "natural or provoked, predictable or sudden situation, own or others, that threatens the image of the organization and jeopardizes its future actions; in addition, it alters internal and / or external relationships between itself and its publics or between itself and its members, and needs the execution of communication strategies to avoid that impact on the image or, if it occurs, to minimize the damage and try to reverse it as a positive asset" (Túñez, 2005).

In this particular case, some of the keys that characterize crises were given in a certain way. Thus, there was an alteration in the normal functioning of an organization -in this case, the Administration- by the surprise factor. There was also an emergency situation. And it also caused negative news streams to be resolved quickly. Organizations, instead of taking the initiative, are forced to react (Fita, 1999).

The emergence of this crisis, as well as a health problem for the Spanish population, posed a delicate situation for public institutions when it came to providing accurate information on what was happening. During the Ebola crisis the news that the citizens and the media were looking for were not the same. While the main interest of the former was the risk of

infection they could have, in the second case they wanted to know if there had been foresight, if the established protocols had been fulfilled, etc.

When communicating in situations of risk, Suzanne Zoda made these recommendations in "Communication World" (in Wilcox et alii, 2007):

- 1.- Begin the dialogue with the public that may be affected as soon as possible. It is vital to build trust in the first contacts with anyone who is likely to be involved in the crisis.
- 2.- Investigate and actively identify what is of concern to people. Informal discussions, surveys, interviews and discussion groups are effective tools for assessing these issues.
- 3.- Recognize the public as a legitimate part of the process. Involve stakeholder groups in two-way communication and engage opinion leaders.
- 4.- Address issues of interest, even if they are not directly part of the project being developed.
5. Anticipate and prepare for hostility. It is necessary to identify those areas where agreements can be reached to work towards a common goal.
- 6.- Understand the needs of the media. You need to provide accurate information on time and respond to all requests.
- 7.- You have to be honored.

Moment and context of communication

When communicating a crisis situation, one of the main objectives is to inform the public in order to regain confidence. The lack of this can have serious consequences because if society is afraid of who should protect it, fear will increase. In addition, transparency must be given, that is, that the communication is truthful, complete, that it refers to the facts and that it is well understood. This transparency provides important advantages and can serve as an incentive to make decisions in a responsible manner. And, as for planning, if done properly, you get better results. "Risk communication should be incorporated into the planning of preparations for major events and in all aspects of a response to outbreaks."¹

The communication becomes more necessary in the first moments so that the different publics know the situation and can make decisions that lead to reduce the consequences. The first few hours are critical and if you do a bad management at that time can cause problems difficult to overcome. The proliferation of social networks makes that if the one in front of a crisis does not give fast explanations the social media will transfer doubts and questions to the society. The public shows a tendency to overestimate the risk if it lacks information.

When a crisis such as Ebola is reported, a number of rules exist, some of which have already been pointed out by Zoda, which must be taken into account according to the experts (Covello and Allen, 1998).

First, the public should be accepted as a partner. We must involve the parties with some interest in the matter. Decisions taken should be based on the magnitude of the risk but also on the concerns of the public.

Second, listen to the audience. It is important to find out the ideas of the public. Different techniques can be used for this purpose.

Thirdly, the communication must be honest, frank and open. Trust and credibility are basic to having good results. Risks should not be minimized or exaggerated.

Fourth, coordinate with other credible sources. It is important to communicate with other organizations that serve as allies. Employing time in coordination with other entities can be effective.

Fifth, the needs of all the media must be taken into account. They are the first to know and transmit information.

In the sixth place we must speak clearly and with compassion. Empathy in language is key. Data and risk information can be made available using examples that personalize them.

¹ In http://apps.who.int/iris/bitstream/10665/69370/1/WHO_CDS_2005_28_spa.pdf. Retrieved on July 29th, 2017.

And, seventh, plan and evaluate efforts. The strategies are different according to the media, the objectives that are intended and the target audiences.

A key issue in communicating a crisis is knowing how to do it, because, as has been pointed out, the alterations involved mean that from the outset negative perceptions. "It is true, in any case, that the same causes do not have to create the same effects but it is also clear that they cause concern. For this reason communication is more effective if it is done when the crisis arises because the greater the knowledge of the facts, the greater the trust of the public"(Barberá and Cuesta, 2015).

As for the context, in the autumn of 2014 the Spanish sociopolitical situation was complex due to variables that are not the object of this study. In each relevant decision to be made by the administration there was a political component.

The case of the Ebola was no stranger. There were a few hours with a certain consensus to not politicize, but shortly after that generated a controversy in which all kinds of factors, beyond the strictly sanitary ones, entered. In the opinion of Professor Nombela, "the image of scientists and health care has been strengthened, while various policy makers have not been able to convey something fundamental: the success that means that the person infected with Ebola has overcome the infection" (Nombela, 2014).

Methodology

In this paper we analyze the repercussion of the contagion of the nursing assistant Teresa Romero from the field of institutional communication.

Different milestones have been chosen within the aforementioned communication to check whether or not errors occur when transmitting the information. They are mostly done by the Administrations.

It is part of the first press conference in which it is at the top of the authorities in the field of Spanish health. Not all the interventions are detailed but we do not focus on the Ana Mato ministry given that she was the most authoritative person in the comparison.

It also analyzes what has been done on social networks, especially on Twitter, since the creation of the first official account. Other studies address the typology of messages received by users but in this work it is preferred to value the initiative in communication through this network.

The Special Committee for the management of Ebola is also considered as a tool in the management of this crisis not so much from the strict sense of its usefulness as from the appropriate, or not, temporary moment of its creation.

The information provided to healthcare professionals and help for all audiences has been chosen as an element of analysis, in addition to warning messages to prevent the spread of bullshit.

The chosen period is the period of the first days since the arrival of the auxiliary Teresa Romero. Although it was a month in the hospital the initial days were key to determine the management of the communication object of this study. The content of the different actions is observed from an eminently qualitative and temporal point of view, regardless of how many were put into action.

Analysis

Press conference

On October 6, the Minister of Health, Ana Mato, attends a press conference together with the director general of Public Health, director general of Primary Care of the Community of Madrid and health professionals to explain that nursing assistant Teresa Romero is a health technician who cared for the patient Manuel García Viejo. After detecting the symptoms and confirming the contagion, she was admitted to isolation in the La Paz Carlos III Hospital Complex.

The minister wanted to highlight three aspects: "First, the absolute coordination that exists at both the national and international levels with the competent health authorities ... Secondly, Spain actively collaborates following all WHO recommendations, especially since the past August 8th was declared the Ebola virus as a public health emergency of international importance ... Thirdly, most importantly, to convey a message of tranquility to all citizens of our country. We

have health professionals superbly trained to deal with such situations and with the technical and organizational capacity to deal with them"¹.

This first press conference did not comply with what establishes any basic manual in crisis situations, which indicate as solutions that:

1. There must be a single spokesperson, qualified and credible. In this case seven people appeared.
2. There must be an information protocol. On that day, as the audience was heard, there was improvisation.
3. A crisis committee should be set up with a spokesperson. By the time of the press conference the crisis committee had not been formed. In addition this committee should have all the information about the crisis to make it known to the public.
4. The information must be transferred periodically and daily. This happened but later.

The management of the first days, including the appearance, was criticized by numerous experts. Some point out that: "During the first week (from October 6th to October 12th), the health authorities did the opposite of what was reasonable in a crisis: there was not a single spokesperson ..., it took a whole week to create a committee of crisis; the dispersion of information sources was evident ... "(Jurado and Jurado, 2015). Others point out that "although it was a success to convene the press conference quickly and, by extension, taking the initiative; due to the mistakes made, the appropriate knowledge in situations of institutional crisis was not transmitted either by the Minister or by the partners of the Ministry of Health and the Spanish Government "(Micaletto and Gallardo, 2015). And there are those who point out that of the 17 questions that were made at the press conference, the minister only responded to one, related to the resignations, and insistence of the journalist. "The role played by the minister Ana Mato seemed more that of a moderator, staying at all times in the background" (Monjas and Gil-Torres, 2017).

Twitter

In October 2014 the government of Spain created a Twitter account to, from that moment, inform all the public about Ebola. In addition to using it to point out precautions and point out recommendations would serve as an additional channel of communication. It was launched with the user @Info_Ebola_Es and in his first tweet could read "Welcome to the Twitter account of the Special Committee for the management of the disease by Ebola virus".



¹ See the press conference at: <http://www.elmundo.es/salud/2014/10/06/5432f21aca4741ad6e8b4574.html>

In the Ebola crisis that is addressed in this work this account on Twitter was created late. Social networks can be very useful if you make quick use of them.

In those first days, during the week of 6th to 12th October, however, several hashtags appeared, for example, #ebolaenespana, #ebolaenespaña, #salvemosaeaxcalibur, #anamatotdimision, #JavierRodriguezDimision, #teresaromero, #TodosSomosTeresa and #vamosamoritodos. And some of them, according to Pirendo, a company that analyzes social networks professionally, became a trend on Twitter worldwide¹.

As indicated by teachers Díaz Cerveró and Vázquez Barrio the messages published in this official account appeared when the crisis was at a very advanced stage. On the first day, on 14th, eleven messages were published, four on 15th, twenty on 16th, nine on 17th, four on 18th, three on 19th, six on 20th, ten on 21st, six on 22nd, five on 23rd, one on every day between 24th and 28th, two on 30th, one on November 1st and another on 5th. "In this case, the Government did not communicate the facts at the press conference it convened on that day, nor did it take advantage of the opportunity offered by social networks to respond quickly and effectively to the demand for information that existed. The official Twitter account was launched very late" (Díaz Cerveró and Vázquez Barrio, 2015).

Special Committee for the Management of Ebola

On October 10th, the Spanish government created the Special Committee for the Management of Ebola.

The screenshot shows the website 'COMITÉ ESPECIAL PARA LA GESTIÓN DEL ÉBOLA' with a header in Spanish and English. The navigation menu includes: ¿QUÉ ES EL ÉBOLA?, TRANSMISIÓN, EL ÉBOLA EN ESPAÑA, EL ÉBOLA EN EL MUNDO, PARA PROFESIONALES, and EL COMITÉ. The main content area features a section titled '¿Qué es el Ébola?' with a microscopic image of the virus and a text description. Below this are two news articles: 'Spanish aid worker repatriated from Mali at risk of Ebola discharged' and 'Recibe el alta la cooperante española repatriada desde Mali por riesgo de Ébola'. A right-hand sidebar contains a search bar and a '¿Qué es el Ébola?' section with links to symptoms, diagnosis, and frequent questions.

This Committee had among its main objectives the following:

¹ In <http://pirendo.com/2014/10/14/ebolaenespana-analisis-twitter/>. Retrieved on August 17th, 2017.

- 1.- To monitor permanently the health of the infected person and of the cases of risk.
- 2.- Coordinate the mobilization of the necessary resources and resources so that Health professionals can do their work with the necessary support of the Administration.
- 3.- Promote inter-institutional and international cooperation.
- 4.- Establish information policy protocols for maximum transparency to Spanish society and information professionals.
- 5.- Analyze both the existing planning and all European and international action in the field of Ebola virus control.

Associated to this Committee was created another one of scientific character integrated by experts with the mission of assisting the Government in the making of decisions.

Audiences could find information on symptoms and diagnosis of Ebola on this page. In addition, data were provided on its possible transmission, such as how it could be spread, what the risks of exposure were, or anything related to vaccines and treatment. Users also had Ebola figures available in Spain and in the world, and lastly, there was a section dedicated to professionals.

Many experts believe that the creation of this Committee was a success but was slow to start. "Established the special committee for the management of Ebola, the distrust of health authorities was created ... The result was evident in the alarmism of some news and in the lack of information in depth" (Almendral, 2016).

Once again, the need for faster communication to help build a relationship of trust between affected parties is highlighted.

Information for professionals

From the Ministry of Health, Social Services and Equality, information and documents were sent mainly to health professionals. On its website, under the heading 'Information on the outbreak of Ebola virus disease (EVE)', these protocols and reports were announced, among many others:

Evaluation of the risk to Spain of importation and transmission of Ebola virus disease from survivors of the epidemic in West Africa

Protocol of Action against suspected cases of Ebola Virus Disease (EVE)

Protocol of Action to an Aeroevacuation of cases of Illness by Ebola Virus

Procedure for handling cadavers of suspected Ebola virus cases

Action procedure to monitor displaced persons in countries affected by the Ebola outbreak

In this case, the information provided was complete and detailed, although it was directed almost exclusively to health professionals. The documents were revised as the authorities had new information.

Help information and recommendations

Both the profiles in the social networks of the National Police and of some Autonomous Community released the numbers of attention for the information on the Ebola, as well as making recommendations not to transmit unjustified alarms on this crisis. (Cortés, 2017).



Seguir

Por favor, no generes o transmitas alarma injustificada: atiende solo fuentes oficiales #ebola msssi.gob.es/profesionales/...

¿CÓMO NO SE TRANSMITE LA ENFERMEDAD?

- El **Ébola no se contagia** por el aire ni por la picadura de insectos o mosquitos, tampoco se transmite por vía aérea, como la gripe.
- No hay riesgo por estar al lado de una persona infectada o viajar en el mismo avión.

SE TRANSMITE POR

| | | | | | | | | |
|--------|-------|---------|-------|----------|--------|----------------|-----------------------|---------|
| SANGRE | ORINA | SECRETO | SUDOR | LÁGRIMAS | VÍCIOS | FLUIDO SINUSAL | SUPURACIONES CUTÁNEAS | ESPELME |
|--------|-------|---------|-------|----------|--------|----------------|-----------------------|---------|

A TRAVÉS DE

| | | | |
|---------|-----------------|---------------------|------------------------|
| HERIDAS | PIEL NO INTACTA | CONTACTO DE MUCOSAS | INOCULACIÓN PERCUTÁNEA |
|---------|-----------------|---------------------|------------------------|

NO SE TRANSMITE POR

| | |
|-----------------------|-------------|
| PICADURAS DE INSECTOS | VÍAS AEREAS |
|-----------------------|-------------|

MEDIDAS PREVENTIVAS

- Reducir el riesgo de transmisión de persona a persona como consecuencia del contacto di-

12:34 - 6 oct. 2014



Seguir

Teléfono de información sobre el #Ébola: 91 400 00 01. E-mail: sanidadinforma@salud.madrid.org

TELÉFONO DE INFORMACIÓN SOBRE EL ÉBOLA

91 400 00 01

E-MAIL
sanidadinforma@salud.madrid.org

4:48 - 8 oct. 2014

276 Retweets 58 Me gusta

11 276 58

In order to counteract the possible existence of inaccurate data or information on the Ebola crisis in social networks, the authorities made a call through their profiles so that audiences come to seek information from official sources.

From some media were given recommendations to avoid contributing to the bulo:

- 1.- Find information in official sources
- 2.- Do not contribute to bullies by sharing alarmist information that is not confirmed. If you get a bulo and you detect it informs who sent it to you
- 3.- If an image is received with the news of a means of communication you can go to the website itself to verify the truth or to do that search in Google1

However, despite the efforts, loops appeared in the nets. "The state security forces had to raise the alarm:" You get whatsapp, tuit or mail from a security or health information course: Ignore it! Only official sources, such as @Info_Ebola_Es # ebola "by the National Police or" Circular x #Whatsapp #bulos attaching FALSE media websites with FALSE # Ebola alerts #NODIFUNDAS "Civil Guard" (Calleja, 2016).

Again, as stated above, if the Administration had made early communication through social networks, these blunders could have been minimized.

Conclusions

- 1.- The outbreak of the Ebola was a fact of remarkable repercussion for all the publics. They demanded a lot of information not only through the media but also, and especially in the first moments, through the public authorities.
- 2.- The actions carried out by the administrations emphasize that, for the most part, they were taken when the crisis had already advanced. They were more actions of reaction than of anticipation. In the first hours and in the first days, crucial in every crisis, public communication was scarce and deficient.

¹ https://verne.elpais.com/verne/2014/10/08/articulo/1412780742_000158.html. Retrieved on August 17th, 2017.

3.- In the first press conference major errors were made. Among them stands out that one person is not identified as a spokesperson. In addition, it was not clear what the first actions to be taken from the Administration would be. And the messages that were sent did not serve to reassure the citizens.

4.- For the communication to have been effective, a management team for this crisis should have been formed from the outset. The agility to transmit information both in public appearances and in social networks would have been a fundamental tool in the resolution of this crisis. This would have avoided speculation on the part of the different publics.

5.- The success of Spanish health teams in this case was not accompanied by a good communication of institutional crisis. The delay in sending the messages made the perception of risk greater in the public.

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The System of Temporal Adverbs in the French, German and Croatian Language

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Abstract

This paper aims to determine the typology and to compare the systems of temporal adverbs in the French, German and Croatian language. The approach proposed by Klum (1961) for the French language is used for the analysis of all three languages, in order to show the microstructure of the adverbs now and today. We argue that all three languages have developed very stable and very similar paradigms of temporal adverbs, which can be easily compared using Klum's approach. It will be shown that the paradigms differ only to some extent in the systematization of the representation of the period of the action.

Keywords: temporal adverbs, French, German, Croatian, system, time of the action

Introduction

The language system resides on three parameters/categories: person, time and space. Each of those three parameters has developed its own construction, paradigm and system. For example, most (Indo-European) languages have the paradigm of six persons (three for singular and three for plural). They all stand in relation to the first person (*I, Me, Myself*). Every person is defined to its relation to the first person, i.e. the second person would be the person that the first person talks to, the third person would be the person that the first (and the second person) talks about and so on.

The category of space has developed its own system that resides on the notion of "closeness" (to the first person). Therefore, the relation between the notion in space and the first person would be defined by the adverbs of space (*here – there*).

The category of time is probably the most developed category of all.¹ It marks the time when the action of the verb takes place. It can also mark the other notions such as repetition, duration, beginning of the action or frequency. However, the basic function of marking the time of the action is related to a person (the first person) and his/her position in time regarding the time of an action. Events are situated in time, and according to Klein (2009a: 32-33), can show the following relations: deictic (derived from the speech situation), anaphoric (mentioned in the preceding context), and calendar (given by some important event in history).

In this paper, we will compare the basic systems of temporal adverbs in French, German and Croatian, which denote the period of time² of the action. It will be shown that adverbs, just like verbs, have a well elaborated system of temporal relations and that they are affected by the transposition of the action in the past or in the future. This will be visible in the analysis of different lexemes that indicate the time of the action. Each system rests on two main principles: firstly, it must have a certain number of mutually connected structures, and secondly, it must have a neutral starting point.

Temporal adverbs

Temporal adverbs are, according to Klein (2009b: 40), "by far the richest class of temporal expressions, and in contrast to tense and aspect, they are found in all languages". They can be simple, like *now, soon, often*, morphologically compound like *today, afterwards*, and syntactically compound like *long ago*.

¹ For more on concepts of time throughout history cf. Klein (2009a: 5-38).

² In his book *Verbe et Adverbe*, Arne Klum uses French word *époque* which we translated as *period* (of the action).

Temporal adverbs are traditionally divided according to logic and semantic criteria (time of action, duration of action, repetition of action, simultaneity, anteriority, posteriority)..¹ Such a division has a positive side in detailed description but also a great drawback in the lack of systematics.

A slightly different approach was shown in the beginning of 1960 by the Swedish linguist Arne Klum. In his book on *Verb and adverb (Verbe et adverbe)* Arne Klum describes the system of the adverbs in French, that mark the time period (present, past and future). At the centre of this system is the adverb *now (maintenant, jetzt, sada)*. This adverb represents the starting point of the system, and all other temporal relations for the periods are compared to this adverb.

In order to mark the different periods of time Arne Klum introduced the notion of the “vector” which directs the action towards the past or the future. In his theory, there are three types of vectors: PP0V (zero vector of the point of present), PP-V (negative vector of the point of present) and PP+V (positive vector of the point of present). 0V represents the present, the other two respectively represent the past and the future. PP0V regroups all three parameters of the language mentioned above (person – space – time): *me – here – now (ego – hic – nunc; moi – ici – maintenant; ich – hier – jetzt; ja – sada – ovdje)*.

Furthermore, Arne Klum claimed and showed that there is another system of temporal adverbs which is parallel to this one, where the central point is the adverb now. He therefore set a new adverb that represents the mirror point of the adverb *now* in the past or in the future, i.e. *then (alors, dann, onda)*.² Their starting point is the adverb *then*, and the vectors which direct the action from that adverb are PA-V, PA+V and PA0V (zero vector of the point of anteriority, which can be considered as an allocentric point because it refers to the adverb *then* which represents the transformation of *now* in the past or in the future).

2.1 Temporal adverbs in French

Temporal adverb system according to Arne Klum (adverbs representing the periods of time) is shown on French examples.

PP: now (*maintenant*)

| PP-V | PP0V | PP+V |
|-------------|--------------------|---------------|
| Past | Present | Future |
| | <i>maintenant</i> | |
| <i>hier</i> | <i>aujourd'hui</i> | <i>demain</i> |

PA: then (*alors*)

| PA-V | PA0V | PA+V |
|------------------|-------------------|---------------------|
| Past | Present | Future |
| | <i>alors</i> | |
| <i>la veille</i> | <i>ce jour-là</i> | <i>le lendemain</i> |

These two basic tables representing the periods of time, differ only in their point of view of the time of the action. In the first table the moment of the action is related to the adverb *maintenant (now, jetzt, sada)* and represents “the moment of speaking” (*le moment de la parole*). The other table represents “the moment of (re)telling” (*le moment du récit*) i.e. the moment of the action that turns around the adverb *alors (then, dann, onda)*.

From these basic parallel tables, all other relations in time can be set. Thus, Klum develops the relations including the days, weeks, months and years to show how the parallel systems work.

¹ Klein (2009b: 65-67) gives four types of adverbs according to their function: temporal adverbs of position (they express relations BEFORE, AFTER, SIMULTANEOUS), temporal adverbs of duration, temporal adverbials of frequency, and temporal adverbials of contrast (*still, already, again*).

² *Now* is together with *then* time deictics because they both „convey a relationship between the time at which a proposition is assumed to be true, and the time at which it is presented in an utterance. In other words, *now* and *then* are deictic because their meaning depends on a parameter of the speech situation (time of speaking).“ (Schiffrin 1987: 228).

PP: now (*maintenant*)

| PP-V | PP0V | PA+V |
|----------------------------|-------------------|-----------------------------|
| Past | Present | Future |
| | <i>maintenant</i> | |
| hier | aujourd'hui | demain |
| la semaine dernière | en ce moment | la semaine prochaine |
| le mois dernier | | le mois prochain |
| l'année dernière | | l'année prochaine |

PA: then (*alors*)

| PA-V | PA0V | PA+V |
|------------------------------|-------------------|----------------------------|
| Past | Present | Future |
| | <i>alors</i> | |
| la veille | ce jour-là | le lendemain |
| la semaine précédente | à ce moment (-là) | la semaine suivante |
| le mois précédent | | le mois suivant |
| l'année précédente | | l'année suivante |

These tables show the perfect parallelism and the coexistence of two paradigms of adverbs in the system of the French temporal adverbs.

Several things are to be noted:

Firstly, there is no lexeme that represents *aujourd'hui* in the PA. Instead, the explicative syntagm “demonstrative determiner + *jour* + *là*” is used.

Secondly, the difference in adjectives (*dernier – précédent*; *prochain – suivant*) represents the different point of departure: PP or PA, not the different time relation. Their relations in time are perfectly equal.

Thirdly, there is a small difference in usage of the preposition for indicating the present moment (*en ce moment*) and that same moment in the past (*à ce moment(-là)*). That difference (en vs. à) resides on the kinetic value of the prepositions. The preposition *à* refers to the point of arrival, the preposition *de* (non-mentioned here but completes the kinetic parallel structure together with the preposition *à*) refers to the point of departure, and the preposition *en* lacks the kinetic value, which makes it very suitable for expressing the present state (the state of non-movement).

This approach to the adverbs of time has its advantage in its systematics. It also shows the parallel systems, and the paradigms used to denote those systems.

Temporal adverbs in Croatian and German

In this chapter, the tables above are compared with Croatian and German.. The following results are obtained.

Croatian

PP: now (*sada*)

| PP-V | PP0V | PA+V |
|-----------------------------|---------------------------------|----------------------------|
| Past | Present | Future |
| | <i>sada</i> | |
| jučer | danas | sutra |
| prošlog tjedna ¹ | u ovom trenutku / ovog trenutka | idućeg tjedna ² |
| prošlog mjeseca | | idućeg mjeseca |
| prošle godine | | iduće godine |

¹ There is a possibility to indicate the time with the adverb that is expressed with the noun in accusative, not only in genitive (*prošli tjedan, prošli mjesec, prošlu godinu*) which doesn't influence the meaning.

² See the footnote 6 (*idućí tjedan, idućí mjesec, iduću godinu*). There is also a synonym for *idućí – sljedeći*.

PA: then (*onda*)

| PA-V | PA0V | PA+V |
|--------------|--------------------------|------------------------|
| Past | Present | Future |
| | <i>onda</i> ¹ | |
| dan prije | onog dana | sutradan (dan poslije) |
| tjedan prije | u onom trenutku | tjedan poslije |
| mjesec prije | | mjesec poslije |
| godinu prije | | godinu poslije |

Related to German, Klein (2001: 575-590) describes adverbs *heute*, *gestern*, *morgen*, which refer to a time interval, and vary in the art of reference to the time of speech. In the given context, *heute* refers to the day of speech, *gestern* refers to the day which precedes the day of speech, and *morgen* refers to the day following the day of speech. This is described by the „canonical meaning“ of these three adverbs, which includes two components: a deictic one and a lexical one. Ehrich (1992: 108) describes temporal deixis as situative deixis (anteriority, posteriority and simultaneously; *Vorzeitigkeit*, *Nachzeitigkeit* and *Gleichzeitigkeit*) and calendarity (e.g. *gestern*, *heute* and *morgen* are calendarly, whereas *vorhin*, *momentan* and *gleich* are not). Further on, Ehrich (1992: 110-117) discusses *now* (*jetzt*), which can refer to various periods of time. *Jetzt* can denote short-range actions, those which are recurrent or non-recurrent (*Hans putzt sich die Zähne*, *Hans war jetzt beim Bäcker*, *Ich bringe Ihnen jetzt die Speisekarte*), as well as those which are inevitable results of some processes (*Meine Mutter ist jetzt alt*. *Bernstein und Karajan sind jetzt tot*).

PP: now (*jetzt*)

| PP-V | PP0V | PA+V |
|------------------------------------------|------------------|---------------------|
| Past | Present | Future |
| | <i>jetzt</i> | |
| gestern | heute | morgen ² |
| letzte Woche ³ , vorige Woche | in diesem Moment | nächste Woche |
| letzten Monat, vorigen Monat | | nächsten Monat |
| letztes Jahr, voriges Jahr | | nächstes Jahr |

PA: then (*dann*)

| PA-V | PA0V | PA+V |
|-----------------------------------------------------------|---------------------------|------------------------------------------------------------------------------------|
| Past | Present | Future |
| | <i>dann</i> | |
| am Vortag, den Tag zuvor/vorher | an dem Tag; an diesem Tag | am Tag darauf, am darauffolgenden Tag, am nächsten Tag |
| in der Vorwoche, eine Woche zuvor/vorher; vorherige Woche | in dem Moment | die Woche nachher, die darauffolgende Woche, die kommende Woche, die nächste Woche |

¹ It is possible to replace the adverb *onda* with *tada*.

² Some German adverbs can be understood in the context, e.g. *Morgens* (jeden Morgen/every morning) *war/ist er müde*. *Morgens* (am Morgen des besagten Tages/on the morning of the day in question) *fühlte er sich noch ganz gesund*. (Duden Grammatik, 2016: 588).

³ As Duden Grammatik (2016: 848) points out, adverbs of the type *gestern*, *heute*, *morgen* can be used with a noun as an adverb phrase, e.g. *Der neue Staatspräsident will heute (Abend) eine Rede halten*. *Der Generalsekretär trifft morgen (Vormittag) in der Hauptstadt ein*.

| | | | |
|-------------------------------------------------------------------|--|--|------------------------------------------------------------------------------------------------|
| im Vormonat, einen Monat zuvor/vorher, den vorherigen Monat | | | den Monat nachher, den nächsten Monat, den darauffolgenden Monat, den kommenden Monat |
| im Vorjahr, ein Jahr zuvor/vorher; das vorherige Jahr | | | das Jahr nachher, das daruffolgende Jahr, das nächste Jahr, das kommende Jahr |

Discussion: now

The tables show that the three compared languages have developed very similar mechanisms in describing the system of temporal adverbs.

It can be seen that all three languages have two different lexemes that indicate PP and PA (*maintenant – alors; sada – onda*¹; *jetzt – dann*) and that the lexeme that indicates the PA has a temporal meaning, whereas in context it can also obtain a conclusive meaning (“therefore”) in the context. There are three different lexemes that indicate the present, the past and the future in all three languages (*hier – aujourd’hui – demain; jučer – danas – sutra; gestern – heute – morgen*).

Furthermore, it is visible that only French uses different adjectives to express the same time relation (one week ago, one month ago, one year ago) which refer to a different point of departure (PP or PA): *dernier – précédent; prochain – suivant*; while in Croatian and German there is an adjective in PP and an adverb in PA: *prošli – idući vs. prije – poslije; letzte – nächste vs. zuvor – nachher*.

It is to be noticed that only German has the possibility of expressing the preceding day/month/year with derivations containing the prefix *Vor-* (before, preceding). French has a different lexeme (a noun) in the PA – *la veille* for expressing “the day before”. In Croatian there are explicative syntagms such as *dan prije* (lit. “the day before”). It is also possible to say in French *le jour d’avant*, which also means “the day before”.

In PA+V we find that French and Croatian have a special lexeme to say “the day after”: *le lendemain, sutradan*, while in German, there are several explicative constructions *am Tag darauf, am darauffolgenden Tag, am nächsten Tag* but without the possibility of using one single lexeme.

German uses several different constructions to express the past or the next week, month or year. French and Croatian are limited only to one or two: *la semaine dernière/passée; prošli/prethodni tjedan*.

All three languages use systematically the same lexemes to transpose the action two days before or after the starting point: *l’avant-veille, prekjucher, vorgestern* („two days before“), *le surlendemain, preksutra, übermorgen* („two days after“).

3. Temporal adverb today

If we apply the same approach to another paradigm of temporal adverbs, in which the starting point will be the adverb *aujourd’hui* (“today”) instead of *maintenant*, we will obtain another list of systematically organized adverbs:

PP: *aujourd’hui* (“today”)

| PP-V | PP0V | PA+V |
|---------------------|--------------|-------------------------------------------|
| Past | Present | Future |
| | (maintenant) | |
| (avant-hier) - hier | aujourd’hui | demain – (après demain / le surlendemain) |
| hier matin | ce matin | demain matin |
| hier soir | ce soir | demain soir |
| hier dans la nuit | cette nuit | demain dans la nuit |

¹ In Croatian, there is a three-dimensional repartition of space and time (*ovdje – tu – ondje; sada (ovda) – tada – onda*) and in general of all relations expressed by any kind of deictic (*ovakav – takav – onakav* “this/that kind”, *ovuda – tuda – onuda* “this/that way”).

PA: *ce jour-là* ("that day")

| PA-V | PA0V | PA+V |
|------------------------|------------------------|----------------------|
| Past | Present | Future |
| | (alors) | |
| le jour d'avant | ce jour-là | le jour d'après |
| la veille au matin | le matin de ce jour-là | le lendemain matin |
| la veille au soir | le soir de ce jour-là | le lendemain soir |
| la veille dans la nuit | la nuit de ce jour-là | la nuit du lendemain |

Again, some conclusions can be made based on the data from the table: there is a well-defined paradigm for temporal adverbs in the PP0. In this case the paradigm is not expressed by different lexemes but with the use of the demonstrative determiner – *ce (cette)* which means "this". The particularity lies in the fact that the determiner *ce* refers to the present day (today) only by leaving out the space adverb – *là* ("there"). If we use the space adverb *là*, the action is transposed to PA. Another particularity is that the day starts and ends with the night. So the adverb *cette nuit* ("this night") can mean both "last night" and "the night that is coming (at the end of today)". The only way to make a difference is to use a different tense: *passé composé* (past tense) for last night and present or future for the night that is coming.

In the PP-V and PP+V, there is the simple juxtaposition of the nouns *matin* and *soir* for indicating the part of the day. However, this does not apply to the noun *night*, which could be used in a prepositional group (*dans/pendant la nuit*) but it is not very likely that the good francophone will use such an expression to indicate that something happened yesterday during the night. It is more likely that *hier soir* ("yesterday evening") or some other explicative expression accompanied by a preposition will be used.¹

The lack of the possibility to use **hier nuit* (*yesterday night) could be the consequence of the "two nights" that surround the day.

When other points PA0V, PA-V and PA+V are analyzed, it can be seen that the further we go from the PP, the more explicative constructions we use.

There are differences in Croatian, at least for the PP0V.

PP: *danas* ("today")

| PP-V | PP0V | PA+V |
|------------------------------|--------------------------------|------------------------|
| Past | Present | Future |
| | (sada) | |
| (prekjučer) - jučer | danas | sutra – (preksutra) |
| jučer ujutro | jutros / danas ujutro | sutra ujutro |
| jučer navečer | večeras /danas navečer | sutra navečer |
| sinoć/jučer na noć / po noći | noćas / danas na noć / po noći | sutra na noć / po noći |

PA: *onog dana* ("that day")

| PA-V | PA0V | PA+V |
|-----------|-----------|-------------|
| Past | Present | Future |
| | (onda) | |
| dan prije | onog dana | dan poslije |

¹ The famous movie *Saturday night fever* is translated into French: *La fièvre du samedi soir*.

| | | |
|----------------------------|----------------------------|---------------------------|
| dan prije ujutro | onog dana ujutro | sutradan ujutro |
| dan prije navečer | onog dana navečer | sutradan navečer |
| dan prije na noć / po noći | onog dana na noć / po noći | sutradan na noć / po noći |

In the paradigm of the starting point (PPOV) *danas* ("today"), it is clearly visible that we deal with the systematic use of the Old Slavic demonstrative pronoun *sb, si, se* (m/f/n sg.),¹ which is added as a suffix on all parts of the day in order to represent exactly "the morning, the evening or the night of the present day". That suffix is not possible in the PP-0 nor in the PP+V, as well as it is not possible in the PA. It means that the demonstrative pronoun was systematically used only for PPOV which is in the closest relation to the first person and the present moment.

It is also possible to use the explicative form with the indication of today (*danas*) and the agglutinated adverbs (preposition + noun) that mean "in the morning" (*ujutro*) or "in the evening" (*navečer*).

As in French, the further we go from the PP, the more explicative construction will be found in developing the time relations such as already mentioned: *ujutro* ("in the morning"), *navečer* ("in the evening").

In German, the adverbs related to *heute* and *dann* are the following.

PP: *heute* ("today")

| PP-V | PPOV | PA+V |
|--------------------------------------------|-------------------------------------|------------------------------------------|
| Past | Present | Future |
| | (<i>jetzt</i>) | |
| (<i>vorgestern</i>) - <i>gestern</i> | <i>heute</i> | <i>morgen</i> – (<i>übermorgen</i>) |
| <i>gestern Morgen</i> | <i>heute Morgen, diesen Morgen</i> | <i>morgen früh / morgen</i> ² |
| <i>gestern Abend</i> | <i>heute Abend</i> | <i>morgen Abend</i> |
| <i>gestern Nacht/ gestern in der Nacht</i> | <i>heute Nacht</i> | <i>morgen Nacht</i> |
| - | <i>gestern Abend / letzte Nacht</i> | - |

PA: *dann* ("then"), *an dem Tag* ("that day")

| PA-V | PAOV | PA+V |
|-------------------------|------------------------------------|---------------------------------------------|
| Past | Present | Future |
| | <i>dann</i> | |
| den Tag vorher | <i>an dem Tag</i> | |
| den Tag zuvor am Morgen | <i>an dem Morgen</i> | (am) <i>nächsten/folgenden Morgen</i> |
| den Tag zuvor am Abend | <i>an dem Abend</i> | (am) <i>nächsten/folgenden Abend</i> |
| die Nacht zuvor | <i>in der Nacht</i> | <i>nächste Nacht, in der nächsten Nacht</i> |
| - | <i>gestern Abend, letzte Nacht</i> | - |

In German, the paradigm of the adverbs referring to the time of the day stands between the two analyzed systems (French and Croatian). It did not develop any special adverbs that mean "this morning or this evening". It rather uses a kind of an explicative syntagm that binds the adverb *heute* and the noun *Morgen* ("today morning"). The same construction is used for all other parts of the day. This way of marking various parts of the day resembles the Croatian

¹ For more information on the Old Slavic demonstrative pronoun see: Matasović (2016) s.v. *danas*, or in Gluhak (1993) s.v. *dan*.

² It is not possible to apply the same principle of the construction as in *heute Morgen* because of cacophony (**morgen Morgen*), so the solution is to simply use *morgen* or, more frequently, *morgen früh* ("tomorrow early (in the morning)").

system with the difference, that the Croatian uses the adverb *danas* (*heute*) and the agglutinated adverb *ujutro* (*danas ujutro - heute Morgen*).

The other possibility *diesen Morgen* reflects the only possibility in French (*ce matin*), also found in Croatian with the same elements (*ovog jutra*). All of them mean "this morning".

Once again, the further we go from the PP0V, the more explicative forms with the adjectives: *last, passed, before* are found.

Conclusion

The analysis shows that all three languages use very similar constructions to express the period of the action. They use either lexemes (*aujourd'hui, danas, heute*) or syntagms composed of noun/adverb and adjective or another adverb (*la semaine dernière, le jour d'avant, prošli tjedan, dan prije, heute Abend*). It is clearly visible that they all developed the same or at least very similar mechanism in denoting the relations in time.

Combinations vary from one language to another. In French adjectives (*dernier, prochain*) are used in marking the past or the future, while the present is expressed with the demonstrative (*ce, cet, cette*). French also shows the perfect mini-system of adverbs that turn around two main points: PP and PA (*avant-hier - hier - aujourd'hui - demain - après-demain; l'avant-veille - la veille - ce jour-là - le lendemain - le surlendemain*).

Croatian uses adjectives with adverbs to express the past or the future (*prošli/dući tjedan*) and shows almost the same systematics as French in transposing the moment of speaking to the moment of retelling with some explicative syntagms in PA (*prekjučer - jučer - danas - sutra - preksutra; dva dana prije - dan prije - onaj dan - sutradan - dva dana poslije*). On the other side, Croatian has a perfectly developed system in denoting the parts of the present day for PP0V (*noćas - jutros - danas - večeras - noćas*). This micro-system is due to the systematic use of the Old Slavic demonstrative pronoun *sb, si, se*, which is added as the suffix to a part of the present day: *dan-as, jutro-s, večer-as, noć-as*. This suffix works also for the seasons: *ljetos, jesenas, zimus, proljetos* ("last summer, autumn, winter, spring).

German partly follows the French model in the way that it has *Vortag* as the expression for "the day before", whereas it uses explicative syntagms in denoting the future in both PP and PA. On the other hand, German has a possibility to directly bind adverb and noun in order to express the part of the day (*heute Morgen, gestern Abend*).

Finally, two parallels can be drawn for all three languages. Firstly, all three languages have developed different lexemes to denote the present, the past and the future of the PP (*aujourd'hui, danas, heute; hier, jučer, gestern; demain, sutra, morgen*). Secondly, they all have the possibility to use the demonstrative pronoun/determiner to mark the specific part of the present day: *ce matin, ovo jutro, diesen Morgen*.

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Art, the Artist and Ethics in Wilde's Picture of Dorian Gray

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Abstract

This paper examines ideological and philosophical premises of aestheticism, presented in Wilde's critical essays (*The Critic as Artist* and *The Decay of Lying*), and epigrams in the preface to the novel *The Picture of Dorian Gray*, which both offer a philosophical context to the novel. Aestheticism emphasized that art can not be subordinated to moral, social, religious and didactic goals, because its ultimate goal is art itself, *l'art pour l'art* (art for art's sake). „Art never expresses anything but itself.“ „All bad art comes from returning to Life and Nature, and elevating them into ideals.“ „Life imitates Art far more than Art imitates Life.“ „Lying, the telling of beautiful untrue things, is the proper aim of Art.“ (Wilde, 1891). The relations between art and reality (concealment of reality) and art and ethics (an ethical function of art) have been explored through the interaction of the characters of Basil Hallward and Sibyl Vane with Dorian Gray. The paper also examines the role of the artist, his morality in the process of creating and experiencing the work, and the influence of the work of art on the artist himself/herself.

Keywords: aestheticism, Dorian Gray, art, ethics, beauty, artist

1. Introduction

Oscar (Fingal O'Flahertie Wills) Wilde (1854-1900) is a prominent representative of aestheticism in English literature. Aestheticism¹ emphasized that art can not be subordinated to moral, social, religious and didactic goals, since its ultimate goal is art itself, *l'art pour l'art* (art for art's sake).

Wilde's aesthetics is best reflected in his critical essays *The Critic as Artist*, *The Decay of Lying*, *Pen, Pencil and Poison* and *The Truth of Masks*, published in the collection *Intentions* (1891), his epigrams in comedies and prefaces.

In his essay *The Decay of Lying* Wilde puts forward four principles which advocate larpurlartism and offer a philosophical context to his only novel *The Picture of Dorian Gray* (1891) and other works: „Art never expresses anything but itself.“ „All bad art comes from returning to Life and Nature, and elevating them into ideals.“ „Life imitates Art far more than Art imitates Life.“ „Lying, the telling of beautiful untrue things, is the proper aim of Art.“ (Wilde, 1891)².

Wilde's perception of the artist and the work of art itself have been best portrayed in the first sentence of the introduction to the novel: „The artist is the creator of beautiful things.“ (Dorian Gray: 3).

This approach fits in with the general philosophy of aestheticism according to which the work of art (Beautiful) arouses sensual delights in the audience, develops a cult of beauty and justifies its existence by expressing and embodying beauty.

2. Beauty and Ethics

G. E. Moore criticizes such a subjective approach and says that beauty can not be explained as something that exacerbates certain effects on our feelings since judgments of taste are subjective. Therefore he defines Beautiful: „...the beautiful should be *defined* as that of which the admiring contemplation is good in itself. That is to say: to assert that a thing is beautiful is to assert that the cognition of it is an essential element in one of the intrinsically valuable wholes we have been discussing; so that the question whether it is *truly* beautiful or not depends upon the *objective* question whether the whole in question is or is not truly good, and does not depend upon the question whether it would or would not excite particular

¹ Aestheticism opposed to Victorian Puritanism which advocated the idea that art should have utilitarian and social value.

² Wilde, O. (1891). *The Decay of Lying*. (www.online-literature.com/wilde/1307/). September 4th 2017.

feelings in particular persons. (...) In short, on this view, to say that the thing is beautiful is to say, not indeed that it is *itself* good, but that it is a necessary element in something which is: to prove that a thing is truly beautiful is to prove that a whole, to which it bears a particular relation as a part, is truly good.¹

In Wilde's novel *The Picture of Dorian Gray* Beauty takes over an ethical function. The narrator equalizes (Dorian's) Beauty with goodness but at the same time he conceals (Dorian's) ugly reality and immorality with (his) Beauty. „For the wonderful beauty... seemed never to leave him. Even those who had heard the most evil things against him (...) could not believe anything to his dishonour when they saw him. (...) They wondered how one so charming and graceful as he was could have escaped the stain of an age that was at once sordid and sensual.“ (Dorian Gray: 141-142). Lady Narborough tells Dorian: „...but you are made to be good – you look so good, ...“ (Dorian Gray: 197). Lord Henry Wotton doesn't trust Dorian when Dorian gives him a hint that maybe he (Dorian Gray) killed Basil Hallward, a painter. Lord Henry said: „It is not in you, Dorian, to commit a murder“ (Dorian Gray: 234), alluding to Dorian's beautiful appearance which doesn't allow him to contaminate himself with something so vulgar as a murder.

3. The artist and Ethics

The artist, Basil Hallward, plays an important role in concealing reality and in its embellishment. Basil is a painter who, in keeping with Wilde's views of art, represents the ideal of beauty and is clearly opposed to Victorian concept of art. However, Hallward is torn between the cult of beauty, which is imposed on him by his own artistic views, and moral principles of the time in which he lives.² He meets Dorian Gray, a young man of exceptional beauty who serves to him as a model in his paintings. He cherishes special feelings towards him because Dorian represents to him the pictorial ideal, an inspiration which enables him to realize himself fully in his works. Therefore, he keeps him away from the influence of others. But, on the occasion of completing the work on Dorian's portrait, Dorian meets Lord Henry Wotton, whose life philosophy is pervaded by "new hedonism." Basil was most afraid of Lord Henry's encounter with Dorian because he knew that the way of life represented by Lord Henry would intrigue Dorian and that he would remain without his ideal model.

When Dorian abandons Basil and accepts the life philosophy of Lord Henry, Basil anticipates that he will lose a special artistic flame which he possessed while creating his best works of art. Basil anticipates that he will lose the inherent power of artistic creation: „The painter was silent and preoccupied. There was a gloom over him. (...) A strange sense of loss came over him. He felt that Dorian Gray would never again be to him all that he had been in the past. Life had come between them... (...) When the cab drew up at the theatre, it seemed to him that he had grown years older.“ (Dorian Gray: 90). His premonition proved to be correct. While Basil had Dorian for his painting model, his works were the ultimate art achievements. „It is your best work, Basil, the best thing you have ever done“ (Dorian Gray: 6). Lord Henry commented on the Dorian's portrait. When the intense companionship between Basil and Dorian ceased, Lord Henry notes: „During the last ten years his painting had gone off very much. [...] Since then, his work was that curious mixture of bad painting and good intentions“ (Dorian Gray: 234-235). Even Basil himself admits to Dorian: „I can't get on without you.“ (Dorian Gray: 123). Basil is aware that without Dorian as his painting model, his artistic life is failing.

Basil's moral principles are just as well as his artistic ideal closely related to Dorian Gray. Although Carroll (2005: 298) calls Basil a moralist, alluding to his will to return Dorian to the „right path“, we believe that Basil's morality as well as his artistic creation can be divided into two periods: Basil's morality and artistic creation during and after hanging out with Dorian. In both cases his morality is very questionable.

As he meets with Dorian, he keeps him selfishly from the influence of others. But he does this not to protect Dorian from a bad society, but to protect his own artistic ideal. „I grew jealous of everyone to whom you spoke. I wanted to have you all to myself. I was only happy when I was with you. When you were away from me you were still present in my art...“ (Dorian Gray: 126).

But after Dorian had stopped hanging out with Basil, Basil repeatedly tried to direct Dorian onto the right path, concealing in his intentions a wish to have a Dorian as a painting model again. After the death of actress Sibyl Vane, with whom Dorian was engaged, Basil comes to console him. But when he sees that Dorian doesn't want to talk about death, Basil uses the opportunity to hypocritically call him to become his model again. Accepting Dorian's request to draw Sibyl Vane, Basil, in turn, seeks a favor from Dorian, that is, he wants him to pose again. If Basil had been sincerely concerned about a young

¹ G. E. Moore, *Principia Ethica*, taken from Patricia Waugh (ed.), 1997, *Revolutions of the word*, p. 225. Italics in the original.

² „Basil is a moralist, not a wit, but he is also a true artist. For Wilde, the central enigma of personal identity is that the creative spirit, as it is embodied in Basil, is fundamentally divided against itself.“ (Carroll, 2005: 298).

friend and had had true morality, his reaction to Dorian's behavior on the occasion of the death of Sibyl Vane would have been quite different. Carroll also notes (2005: 301-302): „Given Basil's temperament and values, one would anticipate that he would be profoundly shocked and alienated by this speech¹, but Dorian appeals to his friendship, and the painter felt strangely moved. (...) Basil's fascination with Dorian compromises his moral judgment.“

All Basil's attempts to moralize Dorian were in the function of rewinning his artistic ideal. Basil's morality is driven by a selfish impetus and the desire to relive his art again. But, failing to bring back Dorian, he is experiencing artistic death. His art is no longer supreme, and he becomes a mediocre artist, a mannerist, whom Lord Henry ironically calls *the representative English artist*.

4. The Aim of Art

By experiencing Dorian essentially as an object⁶ which enables him to achieve artistic pathos, Basil in the painting portrays only his superficial side i.e. Dorian's exceptional beauty. Basil skilfully conceals Dorian's personality underneath that beautiful mask, and he is almost not interested in it while making his art. However, in conversation with Lord Henry Basil gives a hint that under that mask of Greek beauty lies ruthlessness and vanity: „Now and then, however, he is horribly thoughtless, and seems to take a real delight in giving me pain. Then I feel, Harry, that I have given away my whole soul to someone who treats it as if it were a flower to put in his coat, a bit of decoration to charm his vanity, an ornament for a summer's day.“ (Dorian Gray: 16). Basil in his works offers a false image of Dorian Gray and in that way justifies Wilde's claim that the true goal of art is to produce lies: „Lying, the telling of beautiful untrue things, is the proper aim of Art.“ (Wilde, 1891).

Basil is interested in what Dorian is really like only when he ends up losing his ideal and when he completely gives up on him and decides to go to Paris to find a new inspiration in his artistic life. Only in that moment, shocked with the rumors and stories circulating about Dorian, and not wanting to believe in what his ideal turned, Basil expresses the desire to truly see what lies underneath that beautiful mask: „I wonder do I know you? Before I could answer that, I should have to see your soul.“ (Dorian Gray: 168).

5. The Artist's Destiny

Sibyl Vane, an artist, experiences the same artistic destiny as Basil. Sibyl is a young, talented actress whom Dorian accidentally sees in a shabby, third-rate theater. Watching with admiration her performance of Juliet, and later of other Shakespeare's heroines, Dorian falls in love with actress Sibyl: „She is all the great heroines of the world in one. She is more than an individual. You laugh, but I tell you she has genius. I love her, and I must make her love me.“ (Dorian Gray: 62).

Sibyl is poor. Her life is far from luxury which Basil meets as he moves in the company of rich and eminent people. But as being a true artist, the poverty doesn't hinder her from giving brilliant performances on the stage. „She is simply a born artist.“ (Dorian Gray: 85). Dorian says when he describes her to Basil and Lord Henry. Sibyl, just like Basil, lives her art until it depicts her ideal. When the ideal disappears, her art also disappears.

Sibyl, like Basil, ends tragically, both in the sense of art and life. Her tragedy stems from the fact that she can not live her life ideal on the stage. She experiences love in real life. But her love for Dorian is sincere and pure, fuller and more meaningful than the one she presented on the stage. This makes her understand the fallacy of fictional love and the falsehood of emotions on the stage. All this leads to her loss of acting ability and kills her performing arts and she, as an actress, eventually dies. Her love towards Dorian is stronger than the love she lives and feels while playing the roles of Shakespeare's heroines. That love fills her up so much that nothing of her talent no longer lives in her performance. Elevation of life and natural things to the level of ideals, which true love certainly is, necessarily leads to bad art, as Wilde himself claims in his epigram. „...the staginess of her acting was unbearable, and grew worse as she went on. Her gestures became absurdly artificial. She over-emphasized everything that she had to say.“ (Dorian Gray: 93-94). Lane (1994: 941) says that Sibyl Vane with the bad performance „destroys the seamless illusion of her personality“ and that „Wilde does not

¹ We think of Dorian's conversation with Basil when Basil comes to comfort him, and in which Dorian, quite contrary to Basil's expectations, doesn't show that he is in deep grief or that he is moved with the way Sibyl Vane ended her life. In that conversation Dorian expresses his disgust towards ugly and vulgar things such as death and dying. One shouldn't talk about them („What is past is past,“ Dorian Gray says) or one should look upon them, if it is possible, as upon works of art. (compare Dorian Gray: 120).

⁶ Basil says about the model: „every portrait that is painted with feeling is a portrait of the artist, not of the sitter. The sitter is merely the accident, the occasion.“ (Dorian Gray: 9).

indict Sibyl for being superficial or inauthentic; he argues that a wooden and inexpressive performance spoils her artistry.“ (ibid).

Her death by poisoning paradoxically reminds of deaths of many heroines she embodied during her artistic career and thus indirectly gives rise to Lord Henry to interpret her death as „her last role“ and to conclude that he is happy to live in „a century when such wonders happen. They make one believe in the reality of the things we all play with, such as romance, passion, and love.“ (Dorian Gray: 114). According to Lord Henry the death of Sibyl Vane represents a proof that she really lived while acting the life and death of literary heroines, and that, therefore, she was neither more nor less real than them.

6. Conclusion

Although Basil and Sibyl Vane are secondary characters in the novel, their relationship with the main character reveals much about the perception of the artist in Wilde's philosophy of aesthetics. Wilde perceives the artist as the creator of something beautiful which is deprived of any moral burden and which realizes itself in all its fullness while presenting us reality which we would like to see. In other words, the artist produces a lie in its works.

As long as the artist manages to live his/her art, as long as he/she is in his/her world of lies and concealment, he/she will be creating masterpieces. While Basil was inspired by Dorian Gray, he lived his most prolific artistic days. While she was living the lives of her characters and experiencing their feelings, Sibyl Vane achieved high-profile roles and performances. But when the artist, for the first time, has doubts about the truthfulness of his/her creation, his/her art acquires characteristics of mediocrity. Both Basil and Sibyl Vane, everyone in their own way, lose links with art which ultimately results in their artistic death. Basil has failed to retain his artistic ideal, and Sibyl Vane discovers love outside the theatre.

In order to revive his art at all costs, Basil, by moralizing, tries to return Dorian to the „right path“, and conceals his true intention: to bring him back. As a true artist, he is interested only in the outward appearance of his model. Only when he realizes that his ideal is lost forever and when he goes looking for a new one, he wants to look at what lies behind the mask.

Sibyl Vane fails to be happy when she discovers true love in real life. She raises it and surrenders completely to it. Such real life feelings destroy those which she lived in her acting, and she, just like Basil, can not achieve anything more than mediocrity in her performance. Both artists lose themselves in inability to live their art because they become victims of their own real life.

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Compliance with International Education Standards of Accounting in European Union Countries, the Case of Albania as An Official Candidate for Accession to The EU

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Abstract

The accountancy profession is based on standards, rests on their adoption and successful implementation, and is governed by the overarching principle of serving the public interest. These are complex sets of variables made even more difficult with sovereign interests and multiple stakeholders playing out on a global stage. The Evaluation of the status of accountancy education with its components of qualification, education and training in selected countries and Ballcan compared with the requirements of the IES. Nevertheless, the capital markets, in the aftermath of the 2008 financial crisis, are demanding a single set of high quality internationally accepted accountancy standards where transparency, comparability and reliability of financial information is paramount. The importance of adoption and implementation of IES and the use of benchmarking in identifying country accomplishments and gaps from these standards. To enhance comparability a distinction is made between the four competency sub-pillars of accountancy education: *personal development, professional accountancy education, professional development, and competence requirements for auditors*. Together the sub-pillars cover all IES in a comprehensive approach that strengthens the statistical analysis of the results. Country overviews contain information about the adoption and implementation of International Education Standards (IES). The discussion of the regions includes country information, regional characteristics, adoption and implementation of IES, and recognition of qualifications.

Keywords: Accountants and auditors, personal development, professional accountancy education **Disciplines** Accounting

JEL classification: M40, M41, M48, I22, I23, I24, A23

Introduction

This paper focuses on the importance of adoption and implementation of IES and the use of benchmarking in identifying country accomplishments and gaps from these standards. To enhance comparability a distinction is made between the four competency sub-pillars of accountancy education which are: 1. personal development, 2. professional accountancy education, 3. professional development, and 4. competence requirements for auditors. Together the sub-pillars cover all IES in a comprehensive approach that strengthens the statistical analysis of the results. Using a self-assessment survey together with third party expert validation compiled with interesting results. Highlights include graphical representations of the adoption and implementation of the separate IES in diferente countries, in countries distinguished by level of development, and of countries distinguished by region. In addition to the overall analysis, graphical results for each country are presented in the separate country overviews that are attached to this paper.

Literature Review

There have been a number of studies investigating the various models of accounting education (Needles and Powers, 1990; Karreman, 2002; Phelps and Karreman, 2005; Ahern et al., 2007; Peek et al., 2007; Stainbank and Ramatho, 2007). Needles and Powers (1990) compared and analyzed the trend in 17 models for accounting education in the United States (US) and found that the development of analytical and communication skills had been neglected. Karreman (2002) examined the impact of globalization on accounting education in 25 countries. His study attempted to establish a connection between

The influence of differences in cultural background ('power distance' and 'uncertainty avoidance');

The present economic position (industrialized or in transition/emerging) of the countries involved;

The effect of the legal system (common law or civil law) on accounting education; and

The contribution of higher education to the qualification of accountants on the regulation of the accounting profession,

The orientation of the final examination, professional education and practical experience, education background and development of international of accounting standards was then established. His results established a link between the elements of accounting education and the country characteristics, although important differences occur (Karreman, 2002, p. 139). Karreman (2002, p. 92) included European Union countries. Other studies have attempted to validate the Karreman (2002) results by using his methodology. For example, Stainbank and Ramatho (2007), benchmarked the professional accounting education programs in seven countries of the Eastern, Central and Southern African Federation of Accountants (ECSAFA) to the IES confirming the Karreman (2002, p. 139, 141) findings that professional bodies in common law countries tend towards self-regulation as opposed to government regulation in civil law countries; that practical experience was more important in common law countries compared to civil law countries; and that developing and in transition countries tend towards a theoretical approach. In 2005, Phelps and Karreman (2005) benchmarked the countries comprising the Southern Eastern European Partnership on Accountancy Development (SEEPAD).

The above studies indicate that information on professional accountancy programs is useful as it provides new information which may further the development of accounting education, helps accounting bodies work towards international standards, assists with regional co-operation where gaps or strengths are identified, and, if weaknesses are identified and acted upon, may result in a strengthening of the professional accounting education system which could result in a better informed market. It may also help with ensuring that skills become more transportable across borders. It is important to note that countries can take individual approaches to complying with the IES and that it is not a case of "one size fits all". For example, Velayutham and Perera (2005, p. 32) note that there are differences between the US and United Kingdom (UK) in their approaches to accounting education.

They propose two reasons for this: (1) unlike in the US, the UK professional accounting bodies do not insist on completing an accounting major degree as pre-requisite to entry into the profession, hence the need to examine more extensively at the professional stage, and (2) there is competition among professional bodies in the UK where more than one professional body certifies members working in different areas of professional practice.

Competency sub-pillars of accountancy education

The accountancy profession is based on standards, rests on their adoption and successful implementation, and is governed by the overarching principle of serving the public interest. These are complex sets of variables made even more difficult with sovereign interests and multiple stakeholders playing out on a global stage. Nevertheless, the capital markets, in the aftermath of the 2008 financial crisis, are demanding a single set of high quality internationally accepted accountancy standards where transparency, comparability and reliability of financial information is paramount.

Naturally the stakeholders to financial reporting are now, more than ever, focused not only on adoption but also on successful implementation of internationally recognized accountancy standards. The IES¹ of the International Accounting Education Standards Board (IAESB) are no exception. It is not a question of whether gaps or conversely accomplishments exist in adoption and/or implementation but rather the nature and size of the gaps and the speed of convergence. The results of this study surprisingly show a high level of achievement that far exceeds the gaps. Gaps do exist and are highlighted later in this paper.

It is important to make a distinction between adoption and implementation. Adoption refers to a formal requirement in law or regulation to include a component in the program. Implementation as discussed below addresses actual compliance with the requirement. Accelerating adoption and implementation requires measuring the gaps; formulating action plans, energizing advocacy for action and allocating resources. International accountancy standards have been promulgated and are widely known; nevertheless many problems exist including:

¹ IFAC, International Federation of Accountants, Education, Handbook of International Education Pronouncements 2017 Edition (Current edition), www.ifac.org

no enabling legislation to formally adopt these standards;
 current legislation does not fully embrace the totality of the international standards;
 existing legislation is confusing or contradictory;
 regulations or the will for enforcement are weak;
 institutions involved in accountancy lack the resources for implementation and enforcement; and,
 No reliable measurement exists.

General country characteristics define the context in which accountancy education takes place. Attention is given to overall country characteristics (legal system, economic position, region), professional characteristics (professional regulation and recognition), and qualification characteristics (practice rights of accountants and auditors; international recognition of qualifications). Standards for accountancy education are formulated in the IES of the IAESB.

A distinction is made between pre-qualification requirements for accountants (IES 1–6) and post-qualification requirements for CPD (IES 7) and for auditors (IES 8). Additional standards for the qualification of auditors have been formulated by the EU (EU, 1984). The IES are published by the IAESB as standards for professional accountancy organizations that are members or associate members of International Federation of Accountants (IFAC). In the GAE 2012 global accountancy research study the IES are used as country benchmarks for adoption and implementation. This is widely accepted. A recent example is the United Nations Conference on Trade and Development UNCTAD-ISAR Accounting Development Tool (ADT)¹.

Figure 1: Competency sub-pillars of accountancy education

| Competency Sub-pillars | |
|----------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <i>Personal Development</i> | University Entrance & Exit Level (IES 1 and IES 2) Professional Skills & General Education (IES 3) Professional Values, Ethics & Attitudes (IES 4) |
| <i>Professional Accountancy Education</i> | Accountancy, Finance & Related Knowledge (IES 2) Organizational & Business Knowledge (IES 2) Information Technology (IES 2) |
| <i>Professional Development</i> | Practical Experience Requirements (IES 5) Assessment of Professional Capabilities & Competence (IES 6) Continuing Professional Development (IES 7) |
| <i>Competence for Auditors Professionals</i> | Advanced Professional Knowledge (IES 8) Advanced Professional Skills, Values, Ethics & Attitudes (IES 8) Advanced Practical Experience, Assessment & CPD (IES 8) |

Source: GAE 2012, *Dynamics of Global Accountancy Education*

Competency pillars for accountants and auditors can help in the analysis of their qualifications. A distinction is made between personal development, professional accountancy education, professional development, and competency requirements for auditors.

Sub-pillar 1, personal development, combines elements that in many countries are achieved through university education. Sub-pillar 2, professional accountancy education, emphasises competences in accounting, finance & related knowledge; in organizational & business knowledge; and in information technology. Normally courses are provided by universities and/or professional accountancy organizations.

¹ UNCTAD, United Nations Conference on Trade and Development, ISAR, www.unctad.org/isar

Sub-pillar 3, professional development, combines practical experience, assessment of professional competence, and CPD. Normally the accountancy profession is leading in these areas.

Sub-pillar 4, competency for audit professionals, includes higher level requirements for licensed accountants and auditors.

According to the IAESB the IES “prescribe standards of generally accepted ‘good practice’ in the education and development of professional accountants. IES are intended to advance the profession of accountancy by establishing benchmarks for the minimum learning requirements of qualified accountants, including education, practical experience and continuing professional development”. The overview in this paragraph is based on the Handbook of International Education Pronouncements (IFAC, 2010a). The goal of accounting education is to produce competent professional accountants capable of making a positive contribution over their lifetimes to the profession and society in which they work. The IAESB recognizes that IES may be complied with in a variety of different ways.

The entry requirement to begin a program of professional accounting education leading to membership of an IFAC member body should be at least equivalent to that for admission into a recognized university degree program or its equivalent (IES 1). Professional accounting study should be long and intensive enough to permit candidates to gain the professional knowledge required for professional accountants (IES 2).

As part of their pre-qualification education, all professional accountants are expected to participate in at least one of the roles of manager, designer or evaluator of information systems, or, a cluster of these roles (IES 2). Technical and functional skills consist of general skills as well as skills specific to accountancy. Personal skills relate to the attitudes and behavior of professional accountants. Interpersonal and communication skills enable a professional accountant to work with others, receive and transmit information, form reasoned judgments and make decisions effectively. Organizational and business management skills have become increasingly important to professional accountants (IES 3).

The coverage of values, ethics and attitudes should lead to a commitment to the public interest; continual improvement and lifelong learning; reliability and responsibility; and laws and regulation (IES 4). The period of practical experience should be long enough and intensive enough to permit candidates to demonstrate they have gained the professional knowledge, professional skills, and professional values, ethics and attitudes required for performing their work with professional competence (IES 5).

The professional capabilities and competence of candidates should be formally assessed before the qualification of professional accountant is awarded. The assessments need to be appropriate for the professional knowledge, professional skills and professional values, ethics and attitudes being evaluated. The final assessment of capabilities and competence is normally in addition to purely academic qualifications and is beyond undergraduate degree level (IES 6).

IFAC member bodies should implement a CPD requirement as an integral component of a professional accountant's continued membership. According to the CPD requirement all professional accountants have to develop and maintain competence relevant and appropriate to their work and professional responsibilities (IES 7). Advanced requirements for audit professionals are necessary not only because of the specialist knowledge and skills required for competent performance in this area, but also because of the reliance the public and other third parties place on the audit of historical financial information.

Audit professionals are required to qualify as a professional accountant, hold an undergraduate degree or comparable, and satisfy advanced program requirements, professional skills, values, ethics and attitudes, as well as practical experience before qualification, and CPD for auditors after qualification (IES 8).

An overview of the IES is presented in figure 2.

Figure 2: International Education Standards¹

¹ IFAC, International Federation of Accountants, Education, Handbook of International Education Pronouncements 2010 Edition (Current edition), www.ifac.org

Pre-Qualification Standards

Entry Requirements for Professional Accounting Education Programs (IES 1)

IES 1 requires an entry level that is equivalent to that for admission in a recognized university degree program.

Content of Professional Accounting Education (IES 2, 3 and 4)

IES 2, Content of Professional Accounting Education, is divided in Accounting, Finance & Related Knowledge, Organizational & Business Knowledge, and Information Technology.

IES 3, Professional Skills and General Education, distinguishes five major areas: intellectual skills, technical and functional skills, personal skills, interpersonal and communication skills, organizational and business management skills.

IES 4, Professional Values, Ethics and Attitudes, that are necessary to function as a professional accountant.

Practical Experience (IES 5)

IES 5 requires a minimum period of three years for certification, one of which can be covered by theoretical education.

Assessment (IES 6)

IES 6 requires a formal assessment before the qualification of professional accountant is awarded.

Post-Qualification Standards

Continuing Professional Development (IES 7)

IES 7 describes a CPD requirement as an integral component of a professional accountant's continued membership.

Specialization for Auditors (IES 8)

IES 8, Competence Requirements for Audit Professionals, requires audit professionals to qualify as a professional accountant, to hold an undergraduate degree or its equivalent, and to satisfy specialization requirements for auditors.

Source: Global Accountancy Education Recognition Study 2012 (NASBA 2013)¹

SMO 2 is comprehensive which naturally covers the multidisciplinary requirements of accountancy education. Over 100 questions were presented in the questionnaire which resulted in data that is in depth purposely to assist in removing, as much as possible, ambiguities from the respondents view point. But more importantly, questions cover both adoption and implementation. **Table1:Sub-pillar Outline**

| Box 8: Sub-pillar Outline | | |
|----------------------------------------------------|----------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Sub-pillars | Milestones | Questionnaire |
| Sub-pillar 1 Personal Development | 1.1 Academic Entry & Exit Level 1.2 Intellectual & Technical Skills 1.3 Values, Ethics & Attitudes | 2.1 University Entry Level (IES 1) 2.2.1 Academic Level (IES 2) 2.3 Professional Skills (IES 3) 2.0.2 IFAC Code of Ethics 2.4 Professional Values, Ethics & Attitudes (IES 4) |
| Sub-pillar 2 Professional Accountancy Education | 2.1 Accounting, Finance & related Knowledge 2.2 Organizational & Business Knowledge 2.3 Information Technology | 2.2.2 Accounting, Finance & related Knowledge (IES 2) 2.2.3 Organizational & Business Knowledge (IES 2) 2.2.4 Information Technology (IES 2) |
| Sub-pillar 3 Professional Development | 3.1 Practical Experience 3.2 Assessment 3.3 Continuing Professional Development | 2.5 Practical Experience (IES 5) 2.6 Assessment of Professional Capabilities and Competence (IES 6) 2.7 Continuing Professional Development (IES 7) |
| Sub-pillar 4 Competence for Audit Professionals | 4.1 Advanced Audit Program 4.2 Advanced Audit Skills & Ethics 4.3 Advanced Audit Professional Requirements | 2.8.1 Advanced Audit Program (IES 8) 2.8.2 Advanced Audit Skills (IES 8) 2.8.4 Practical Experience in an Audit Environment (IES 8) 2.8.5 Advanced Assessment for Audit Professionals (IES 8) 2.8.6 CPD Requirements for Audit Professionals (IES 8) |

Source: Global Accountancy Education Recognition Study 2012 (NASBA 2013)²

¹Global Accountancy Education Recognition Study 2012 (NASBA 2013)Professor Dr Gert H. KarremanProfessor Belverd E. Needles Ph.D., CPA, CMA, page 20

²Global Accountancy Education Recognition Study 2012 (NASBA 2013)Professor Dr Gert H. KarremanProfessor Belverd E. Needles Ph.D., CPA, CMA, page 20

The time table of IES, In 2009, the International Accounting Education Standards Board (IAESB) agreed that all eight standards should be revised with the aim of improving clarity, ensuring consistency with concepts of the Framework for International Education Standards for Professional Accountants (the Framework), clarifying issues resulting from changes in the environment of accounting education and the experience gained from implementation of the IES by IFAC member bodies. Like IFRS, the IAESB is adopting a principles-based approach to develop the IES using the educational concepts and principles of the Framework. As of November 2012 the IAESB has approved the following IES: IES 1, Entry Requirements to Professional Accounting Education Programs (Revised) (IES 1 prescribes the principles to be used when setting and communicating educational requirements for entry to professional accounting education programs.) This IES is effective from 1 July 2014. IES 6, Initial Professional Development – Assessment of Professional Competence (Revised) (IES 6 prescribes the requirements for the assessment of professional competence of aspiring professional accountants that need to be achieved by the end of Initial Professional Development.) This IES is effective from 1 July 2015. IES 7, Continuing Professional Development (Redrafted) (IES 7 prescribes the continuing professional development (CPD) required for professional accountants to develop and maintain the professional competence necessary to provide high quality services to clients, employers, and other stakeholders, and thereby to strengthen public trust in the profession.) This IES is effective from 1 January 2014.

Albania as an official candidate for accession to the EU

Since 1947, together with the establishing of the command economy and nationalizing the property rights on all kinds of property, the need to establish an accounting system, to reflect and report on relationships of the individual entities to the communist government, became evident. The first accounting system was copied by the former Soviet Union and then translated in accordance with the needs and mentality of Albanian accountants. There was also an influence from the Italian school, because most of the accountants and academics involved in accountancy field, especially during the first years of communist regime, were coming from that school. Based on the laid down objectives of the command economy, the primary goal of accounting was “to follow up step by step” the accomplishment of planned numbers. So, the basic task of accounting information was to produce periodically relevant actual data for each of the planned indices and serve for analyzing of the economic performance. Another task of accounting was to serve to the safeguarding and use of enterprises’ assets. The former accountancy system constituted by a simplified Chart of Accounts and the application of the rule of the Civil Code. The Chart of Accounts was used for the planning process and reconciling the National Public Accounts. The main aim of financial reporting was to present information on the financial position of the enterprises during financial periods for their limited range of users. Amongst the users of the financial statements were the Government agencies direct responsible for the respective industries, Bank of Albania, on which was laid the responsibility of the payments system and the settlement agency among different entities. User of the financial statements was also the National Planning Commission (a kind of Ministry of Planning Economy).

In Albania there was not any basis to design or to invent our own original system. The only way in our post-communist environment was the selection, adaptation and implementation of a model that would be in line with EU Directives and EU practices. Taking into the consideration our country integration goals, and the former legal and professional traditions, any model selected has to be one that could be implemented easily in practice.

At that time, while working to install a new accountancy profession and new accounting standards, the experts involved, along side the model they chosen for implementation, also they have taken into account the international benchmarks reflected in the IASs and ISAs, so the new legislation included most of the principles and policies arising by these benchmarks. Requirements arising from other related laws and regulations, law “On commercial companies” provided to some extent for the selection of EU model of continental accounting system. Regulation for commercial companies requires the preparation and presentation of financial statements in a format and methodology that reflect the true and fair view of the financial position of the entities and their cash flows during the accounting period.

Development and Enhancement of Accountancy Professions

Part of the accounting reform was the development of the independent accountancy professions that will be able to provide relevant services to the business entities independently, practices that were not known until now. Even in this area, there was no need for any invention. EU models already exist, so the main focus of the work would be on adopting a model

relevant to our conditions and to our accounting system chosen. Here below is described briefly the development and actual situation of the two independent accounting professions (certified accountant and chartered auditor).

Albania like other southeastern European countries must increase both domestic and foreign investments in order to achieve the expected levels of economy growth. However, at present foreign and domestic investors often presume that the financial reporting provides limited information about the real financial conditions of the enterprise. This is especially true for small and medium sized enterprises that need to establish confidence of potential lenders and investors. Although, during the last decade has been made a considerable progress, major reform of accounting practice still need to take place, because while is not evidenced a sufficiently high level of commitment on the fundamental accounting principles applicable in a market economy, a significant priority were given to auditing, despite the fact that there was very little scope for a real auditing due to lack of proper accounts.

The standard setters are the International Federation of Accountants (IFAC), the International Accounting Education Standards Board (IAESB), the European Union (EU)¹ and the International Auditing and Assurance Standards Board (IAASB).

IFAC and IAESB: The IFAC Statements of Membership Obligations (SMOs) summarize the requirements for IFAC member bodies. SMO 2 requires compliance with IAESB International Education Standards (IES) but this is only mandatory if the IFAC member body is directly responsible. According to IFAC "globally accepted standards should minimize differences between countries and jurisdictions, thus reducing international differences in the requirements to qualify and work as a professional accountant". IFAC does not address responsibility for qualifications and accepts differences between countries. The IES are promoted as benchmarks; recognition of qualifications between countries is not considered as a specific subject.

European Union: Qualification requirements for auditors are included in the EU 8th Directive; EU Member States must include the requirements in national law. The requirements cover university entrance level, program subjects relevant for auditors, practical experience in an auditing environment, assessment at university final examination level, and CPD. The EU only regulates auditors in view of their public function; there is no regulation for accountants in the 8th Directive. Each Member State has to establish procedures for the approval of statutory auditors from other Member States. At present an aptitude test is required that is limited to national law and professional rules relevant for auditors. In future it may also be possible for candidates to choose an adaptation period.

IFAC and IAASB: The IAASB is responsible for the ISA. According to ISA 600 a group engagement team has, among others, to obtain an understanding of the component auditor's professional competence. ISA 600 does not refer to applicable international standards on the qualification, education and training of local experts. It can be argued that this creates uncertainty for the selection of benchmarks that can ensure that ISA 600 requirements are met.

There are two major differences between IFAC and EU regulation. The IFAC IES cover competence requirements for accountants and auditors; although the IES are increasingly used as country benchmarks, they are only mandatory when a professional accountancy organization is responsible. The EU 8th Directive (EU, 1984) is mandatory for auditors, the position of accountants is not considered; the requirements are implemented in national law for each country in the EU. For consideration outside the EU it is necessary to consider that EU auditor qualifications are considered to be equivalent. The requirements of the 8th Directive are so general that actually major differences between EU countries still exist. This has to be taken into account when recognition of auditor qualifications between EU countries and countries outside the EU is considered. The review of the component auditor's competence required by ISA 600 is not based on consideration of any international standard.

Our country, as many reforms undertaken by countries in transition, has started the reforms in accounting field in cooperation with the World Bank, which was first finalised with the creation of the full National Accounting Standards set, which was first implemented in Albania in 2008. These reforms didn't stop but continued to fit EU requirements and directives by improving NAS² and suitability with IFRS³ for SME⁴ which started to be implemented immediately.

¹ EU, European Union, europa.eu/Information_en.htm

² National Accounting Standards in Albania

³ International Financial Reporting Standards

⁴ Small and Medium Enterprise

Certainly that the cooperation of Albanian regulatory institutions is in its continuity with the World Bank project where actually the cooperation field is accounting education as well.

Conclusion

It is of interest to consider how some major players approach the recognition of qualifications and whether their conclusions are based on applicable international standards for professional qualifications of accountants and auditors. In the analysis three standard setters are considered and three professional conglomerates and one global organization.

Albania like other southeastern European countries must increase both domestic and foreign investments in order to achieve the expected levels of economy growth. However, at present foreign and domestic investors often presume that the financial reporting provides limited information about the real financial conditions of the enterprise.

During the last decade has been made a considerable progress, major reform of accounting practice still need to take place, because while is not evidenced a sufficiently high level of commitment on the fundamental accounting principles applicable in a market economy, a significant priority were given to auditing, despite the fact that there was very little scope for a real auditing due to lack of proper accounts.

There are two major differences between IFAC and EU regulation. The IFAC IES cover competence requirements for accountants and auditors; although the IES are increasingly used as country benchmarks, they are only mandatory when a professional accountancy organization is responsible. The EU 8th Directive (EU, 1984) is mandatory for auditors, the position of accountants is not considered; the requirements are implemented in national law for each country in the EU. Albania needs more work with the implementation of International Education Standards.

For consideration outside the EU it is necessary to consider that EU auditor qualifications are considered to be equivalent. The requirements of the 8th Directive are so general that actually major differences between EU countries still exist. This has to be taken into account when recognition of auditor qualifications between EU countries and countries outside the EU is considered. The review of the component auditor's competence required by ISA 600 is not based on consideration of any international standard.

Our country, as many reforms undertaken by countries in transition, has started the reforms in accounting field in cooperation with the World Bank, which was first finalised with the creation of the full National Accounting Standards set, which was first implemented in Albania in 2008.

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Accountancy Performance and Achievement (Accountancy Development Index), Case of Albania

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Abstract

The transparency and quality of audits performed by professional accountants and auditors are of crucial importance for the functioning of the global financial infrastructure. Over the last decade, more and more auditors were confronted with the globalization of their clients and became so-called group auditors responsible for the overall quality of the audit engagement even if other auditors in other jurisdictions may be involved. It goes without saying that auditors around the globe do not work in the same environment, do not have to comply with the same rules and regulations and do not have the same level of education before they can apply for an audit license. The qualification, education, training and experience of professional accountants and auditors are of crucial importance for the functioning of the global financial infrastructure. A wide range of stakeholders, including regulators and standard setters, professional accountancy organizations and accountancy firms as well as issuers of financial reports and users of accounting services depend on their professional expertise. The Evaluation of the situation of accountancy education with its components of qualification, education and training in selected countries and Balkan compared with the requirements of the IES. The status of accountancy education with its components of qualification, education and training in Albania (Accountancy Development Index). The (ADI) illustrates how adoption and implementation of international standards can be visualized for all pillars of the global financial infrastructure and how separate pillar scores can be used to clarify results at the sub-pillar or milestone level.

Keywords: Accounting Performance, Accountants and Auditors, Professional Education. **Disciplines** Accounting **JEL classification:** M41, M48, I22, I23, I25, A23

Introduction

The transparency and quality of audits performed by professional accountants and auditors are of crucial importance for the functioning of the global financial infrastructure. A wide range of stakeholders, including regulators and standard setters, professional accountancy organizations and accountancy firms as well as issuers of financial reports and users of accounting services depend on their professional expertise. Global financial markets are asking for global financial statements with an opinion of an independent auditor. Over the last decade, more and more auditors were confronted with the globalization of their clients and became so-called group auditor. Still the group auditor remains responsible for the overall quality of the audit engagement the group auditor is assigned to even if other auditors may be involved. It goes without saying that auditors around the globe do not work in the same environment, do not have to comply with the same rules and regulations and do not have the same level of education before they can apply for an audit license. That's even in the case of audit firms with global connections, strict or loose organized in networks. So as a consequence of globalization a very important question arises namely:

To what extent can an auditor rely on the work performed or an opinion issued by another auditor in another jurisdiction?

This question of globalization was discussed in the International Auditing and Assurance Standards Board (IAASB) of the International Federation of Accountants (IFAC) during the clarity project. At the same time some cases related to this question were taken to court. The question became one of the leading principles in redrafting the International Standard on

Auditing (ISA) 600: Special Considerations-Audits of Group Financial Statements (Including the Work of Component Auditors).

In foreign jurisdictions there might be a situation of unusual governmental intervention in areas such as trade and fiscal policy, or restrictions on currency. How sure can the group auditor be that the component auditor is knowledgeable of that situation? To rely on the work of the component auditor the group-auditor has to have enough knowledge about the quality of the work of the component auditor. To get those knowledge he should have among others an understanding of the environment the component auditor is working in, the relevant rules and regulations that apply in that jurisdiction and the education required to get a license in that jurisdiction. The last couple of years the accountancy profession stands in the middle of the spotlights when it comes on performing a quality audit. Time after time the group auditor is running the risk to issue his auditor's opinion whiteout the appropriate high quality audit evidence as a basis.

The need to "Restoring the trust"

As we all know, we are living in a time frame in which boundaries disappear and globalization is the key word. Business is driven by global markets. Global financial markets are asking for global financial statements with an auditor's opinion. Over the last decade, more and more auditors were confronted with the globalization of their clients and had to rely on the work of other auditors in other jurisdictions than their own. To rely on the work of those auditors the group-auditor has to have enough knowledge about the quality of the work of the other auditor, called the component auditor. To get those knowledge the group auditor should have among others an understanding of the environment the component auditor is working in, the relevant rules and regulations that apply in that jurisdiction and the education required to get a license in that jurisdiction. The predecessors of the Global Accountancy Development Institute started in 1999 to bring together information about the global professional education of accountants and auditors, resulting in 2002 in the first publication. Global Accountancy Transparency Information (GATI) is an innovative look and proxy for the condition of the accountancy development in a country. GATI will be data rich, allows the user to drill down on compliance gaps and will help to inform future actions. GATI will collect relevant data, will maintain the data and will make the data available for auditors in practice to comply with ISA 600 and for all other interested parties. GATI measures eight aspects of a country transparency and accountancy infrastructure, called Pillars, divided into Subpillars, Milestones and Indicators if applicable. Through a quantitative approach the complex, multidimensional economic and social phenomena indices are per Pillar reduced to a level of adoption and implementation in regard to applicable international standards. After all the Pillar data are processed per country an overall level of compliance will be available.

The eight mentioned not independent but interrelated Pillars are:

Pillar 1, Legal, Regulatory and Institutional Framework

Pillar 2, Audit, Assurance and Quality Control

Pillar 3, Professional Accountancy Education

Pillar 4, International Public Sector Accounting Standards

Pillar 5, International Financial Reporting Standards

Pillar 6, Ethics & Discipline

Pillar 7, Corporate Governance – Integrated Reporting

Pillar 8, Professional Accountancy Association Institutional Capacity

To facilitate more disaggregated analysis, each pillar can be considered separately. This approach is intended to be useful as an aid to decision-making and as an important element of accountancy and transparency, created for the purpose of assisting future change and progress.

Monitoring Country Progress,

Monitoring country progress to meet development goals stands as one of the fundamental processes of evaluation leading to program design and implementation. Performance indicators may be grouped into convenient categories such as economic growth, economic reforms, democratic reforms, etc. At the heart of these indicators are quantitative

measurements, frequently using indices, to measure achievement within the realm of adoption and implementation of pre-determined benchmarks such as internationally recognized standards and best practices.

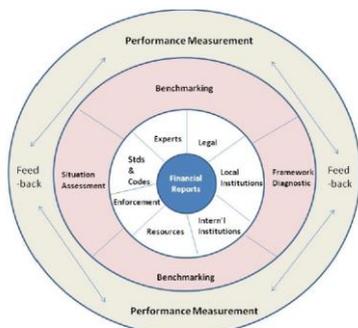
Incentives for the international community of donors to support development are based on an objective measurement of progress. Critics of development assistance frequently site the diffuse, uncoordinated and unsustainable aspects of many reform projects. These same critics suggest that better situation assessments be made, more comprehensive monitoring and evaluation tools be developed and proactive measures taken during projects to adjust for new realities. Measurement can be a tool that quantifies and documents capacity building progress over time, which is a key feature of sustained economic development. Ideally, performance measurement can be used to develop results frameworks and a set of performance indicators at the project level. An action-oriented, results framework that links project level indicators to intermediate and higher level indicators of country progress in building sustainable capacity are imperative in today's resource allocation decisions.

Accountancy Infrastructure

Integral to sustained economic growth is a trusted, reliable financial architecture, and integral to this architecture is an accountancy infrastructure that serves the public interest. It is against this backdrop that the Accountancy Development Index (ADI) was developed. It is an innovative look and a proxy for the condition of the accountancy development in a country. It measures many aspects of a country's transparency and accountability infrastructure through a quantitative composite index. A balance sheet of a country's accountancy development- its assets (achievements) and its liabilities (compliance gaps) summarized into its net worth (index). A balance sheet is a "snapshot" in time. The ADI would use this date in time to measure progress as future updates are solicited. It can be used to recognize reformers and conversely, those that regress. As a development tool it will serve as yet another means of focused programming in an era of limited international funds/resources.

Measuring economic growth and accountancy reforms would not be complete without considering the importance of the accountancy profession on capital formation and foreign direct investment. Essentially, at the end of the accountancy value chain is the financial report. In the ADI context, a financial report includes both a private enterprise or of a public agency. It is well recognized that general purpose financial reporting, both public and private, plays a critical role in the financial architecture of today's global economy. In order to serve the public interest, financial reports (the foundation of information for investment analytics) must provide unbiased, transparent and relevant information about the economic performance and condition of businesses and public entities. Effective financial reporting depends on high quality accounting standards as well as the consistent and faithful application and rigorous enforcement of those standards.

Figure 1: Accountancy Environment illustrates the many facets of the accountancy environment.



Source: Measuring Country-Level Accountancy Performance and Achievement (2012)

ADI is designed around internationally accepted standards and best practices and, for the first time, provides a simple, comprehensive quantitative summary about a country's accountancy environment. This environment includes a country's adoption and implementation of accounting, auditing, governance, legal and institutional capacity standards and best practices that may be used by a wide audience. It is flexible because of its design around eight pillars that are independently "scored" with features that grab the audiences' attention through strong data visualization.

The audience includes donor agencies, standard setters, regulators, professional associations, educators, pundits, and other capital market participants whose use and benefit is illustrated in the following Table1:

| TABLE I | | |
|------------------------------------------------------------|--------------------------------------------------------------|-----------------------------------------------------------------|
| Stakeholder | Primary Use | Primary Benefit |
| Standard Setters | Determine status of adoption and implementation | Improve standards, communication and outreach |
| Professional Accounting & Auditing Associations | Inform initiatives to close compliance gaps | Improved financial reporting |
| Government Agencies | Identify changes to laws, rules and regulations | More favorable capital markets recognition |
| Regulators | Identify non compliance | Improve enforcement and reduce negative capital markets ratings |
| Donors | Identify strategic priorities for assistance | Targeted assistance yielding sustained results |
| Educators | Improve curriculum and relations with accountancy profession | Greater understanding of current financial realities |
| Investors | Align risks and pricing | Better understanding of country risk profiles |

Source: ADI pilot study (Phelps, 2011) performance measurement data and analyses

The ADI took over two years to develop by a dedicated design/research team, guided by a Steering Council of international experts and aided by country respondents, volunteers and funded by USAID. A pilot group of 40 countries were asked to participate in the testing and evaluation. It should be stressed that this was a pilot initiative and was conducted knowing that some design features will require further research and development. For the ADI to continue beyond this pilot initiative, it must be seen by the primary stakeholders as a tool that aids in accelerating the adoption and implementation of international accountancy standards and best practices.

The Eight Pillars of Transparency and Accountability

Recognizing the subjectivity of measurement, the uniqueness of country economic and legal characteristics and the public interest objective of financial reporting, the ADI takes a holistic view of the accountancy infrastructure or more broadly viewed as the accountancy environment. The accountancy environment is defined as the set of institutions, laws, policies, standards, and best practices that determines the quality of financial reporting, both public and private.

The ADI is constructed as a single index drawn from each of eight pillars. However, to facilitate more disaggregated analysis, each pillar is its own index. This comparative set of layered indices is more useful as an aid to decision-making and as an important element of accountability and transparency, created for the purpose of assisting future change and progress.

In reality, the pillars are not independent but are interrelated and reinforcing although there are many benefits to using indices to measure and convey information, there are some areas of concern that must be considered. Indices are much like mathematical or computational models. As such, their design is dictated more by the craftsmanship of the modeler than to universally-accepted scientific rules for their construction. In addition, no index can include every possible variable and therefore, the picture the modeler creates is always relative or somewhat incomplete. Also, improper construction in regards to the inclusion and exclusion of certain indicators and inappropriate choices regarding sensitivity, weighting and aggregation techniques and missing data can result in a distorted picture of a situation.

Observable benchmarks-standards and best practices

The development of the ADI methodology turned initially on the benchmarks that would be used for the framework. Standard setters for the accountancy profession (IFAC and IASB) have developed international standards for accounting, auditing, ethics, education, and discipline. These standards were developed through an exhaustive process of research,

consultation, outreach to stakeholders, and oversight. Collaboration, communication and strategic alignment with the public interest are hallmarks of the standard setting process.

In addition to the country's legal/regulatory environment, the reputation, expertise, and capabilities of the institutions from which these standards and best practices were derived are also important. These include:

- International Federation of Accountants (IFAC) Statements of Membership Obligations (SMO);
- OECD Principles of Corporate Governance – V. Disclosure and Transparency;
- World Bank Public Expenditure Financial Assessment (PEFA) Reports;
- World Bank Accounting and Auditing Reports on the Observance of Standards and Codes (ROSC);
- USAID NGO Sustainability Index;
- EU 8th Directive.

Table 2: Pillar Outline further illustrates the ADI design framework and outlines the pillars and milestones.

| 1.0 Legal, Regulatory and Institutional Framework | 2.0 Audit, Assurance, and Quality Control | 3.0 Professional Education | 4.0 International Public Sector Accounting Standards |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>The legal and regulatory environment as it relates to accountancy.</p> <p>1.01 Accounting & Auditing Framework 1.02 Public Sector Framework 1.03 Public Oversight 1.04 Licensing Arrangements</p> | <p>International standards, procedures & best practices for the provision of high quality audit, assurance, review, & related services.</p> <p>2.01 International Standards on Audit (ISA) 2.02 International Standards on Assurance (ISAE) 2.03 International Standards on Review Engagement (ISRE) 2.04 International Standards on Related Services (ISRS) 2.05 International Standards on Quality Control (ISQC1) 2.06 Quality Control at the Firm Level 2.07 Quality Control at the Partner Level 2.08 System of Quality Assurance</p> | <p>Adoption & Implementation of International standards for accountancy education, practical experience, assessment and continuing professional education.</p> <p>3.01 Entry Requirements 3.02 Program Content 3.03 Professional Skills 3.04 Values, Ethics, Attitudes 3.05 Assessment 3.06 Practical Experience 3.07 Continuing Professional Development</p> | <p>Adoption and implementation of IPSAS</p> <p>4.01 Public Sector Accounting Environment 4.02 Comprehensiveness & Transparency of PFM 4.03 External Audit of Government Annual Financial Statements 4.04 IPSAS Accounting Programs 4.05 IPSAS Monitoring & Enforcement</p> |
| 5.0 International Financial Reporting Standards | 6.0 Code of Ethics, Investigation & Discipline | 7.0 Corporate Governance – Transparency & Disclosure | 8.0 Professional Accountancy Association Institutional Capacity |
| <p>Adoption & Implementation of IFRS</p> <p>5.01 Private Sector Accounting Environment 5.02 IFRS Monitoring & Enforcement</p> | <p>Principles of professional ethics for accountancy professionals and processes for bringing to account professionals who fail to maintain high professional standards.</p> <p>6.01 Creation of a Code of Ethics (COE) 6.02 The ethical environment 6.03 Investigation Process 6.04 Disciplinary Process 6.05 Appeals Process</p> | <p>The framework of rules and practices by which firms ensure accountability, fairness, and transparency in its operations.</p> <p>7.01 Material Disclosures 7.02 Annual Audit 7.03 Auditor Accountability 7.04 Information Dissemination 7.05 Provision of Information</p> | <p>The efficiency and effectiveness of professional accounting / auditing association operations</p> <p>8.01 Organizational Capacity 8.02 Financial Viability 8.03 Advocacy 8.04 Service Provision 8.05 Recognition 8.06 Public Image</p> |

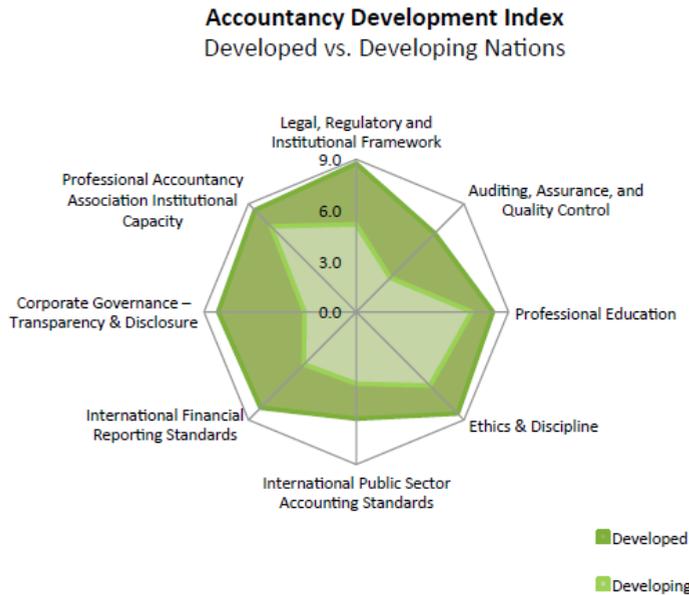
Source: *Measuring Country-Level Accountancy Performance and Achievement Accountancy Development Index*

The ADI includes questions that measure a country's change/improvement in a certain pillar or sub-pillar. These questions are not incorporated into ADI scores as the index is designed to provide a point-in-time measure of accounting environments across countries.

Adoption of international standards is based on a decision that the international standard is appropriate for use in the national financial reporting environment. Implementation is concerned with the practical steps necessary to make use of the standards. As a result, quite different actions are necessary to achieve each step in a meaningful way.

Figure 2 overlays the achievements of developing nations with those of the more developed nations. The differences between the eight ADI pillars are highlighted.

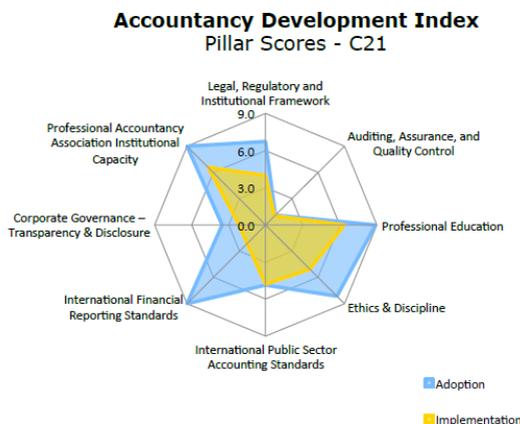
Figure 2: ADI Developed and Developing Nations



Source: *Measuring Country-Level Accountancy Performance and Achievement Accountancy Development Index*

The following Figure 3 illustrates the differences, by pillar, of adoption and implementation of standards within the same country.

Figure 3: Spider Graph Example Adoption vs. Implementation

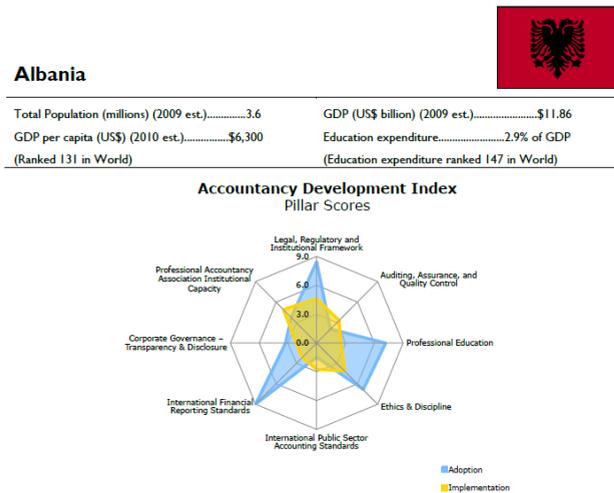


Source: *Measuring Country-Level Accountancy Performance and Achievement Accountancy Development Index*

The case of Albania

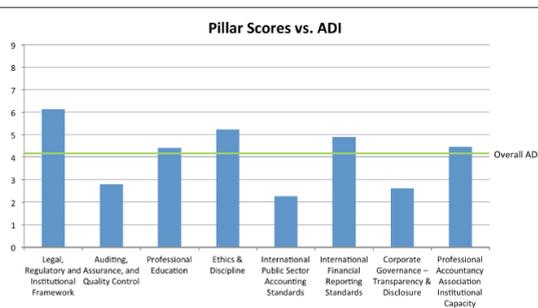
Accountancy is the practice of identifying, measuring, and communicating financial information about economic entities to interested persons (users). The ultimate goal of accountancy is the provision of financial information to enhance the economic decision-making of users. As such, it functions to fairly and accurately illustrate the financial position and operations of an entity, and thereby provide information useful in making investment and credit decisions, assessing cash flows, and measuring an entity’s resources. Through the provision of this information and its impact on economic decision-making accountancy enhances corporate governance, competition, the functioning of capital markets, trade, and anti-corruption efforts. In this way, rigorous accountancy is necessary to further accountability and transparency, as well as to promote economic development.

Figure 4: Implementation vs Adoption



Source: *Measuring Country-Level Accountancy Performance and Achievement Accountancy Development Index*

Figure 5: ADI Sub-Pillar/Milestones Breakdown



Source: *Measuring Country-Level Accountancy Performance and Achievement Accountancy Development Index*

The development of accountancy has not been uniform throughout the world. Just as accountancy influences society, culture, politics, economics and the judicial aspects of a country, these same aspects have influenced accountancy, causing its development to vary country by country this is also the case of Albania in which the implementation and the adoption are illustrated in Figure 4. Although a great degree of variation still remains, the last decade has seen an increased tendency toward convergence among differing accountancy systems worldwide. Globalization, international trade, and supra-national

legislation have been powerful forces behind this convergence. The result of these pressures has been the emergence of a generally agreed upon group of norms, ethics, and practices that exist and are recognized as international best practices in the area of accountancy.

Our country, as many reforms undertaken by countries in transition, has started the reforms in accounting field in cooperation with the World Bank, which was first finalised with the creation of the full National Accounting Standards set, which was first implemented in Albania in 2008. These reforms didn't stop but continued to fit EU requirements and directives by improving NAS¹ and suitability with IFRS² for SME³ which started to be implemented immediately.

Certainly that the cooperation of Albanian regulatory institutions is in it's continuity with the World Bank project where actually the cooperation field is accounting education as well.

Measuring and understanding the progress of a country toward international best practices for accountancy is important as this progress may enhance the effectiveness and efficiency of economic flows between countries, the ability of managers and investors to identify and shift resources from failing to successful projects, further good corporate governance by enhancing shareholder monitoring of management decisions and may reduce the external cost of capital⁴.

Conclusion

The IAESB has developed a comprehensive set of consistent, high-quality standards for educating professional accountants. This effort stretching back a decade or more to the former IFAC Education Committee has strengthened the essential third leg, together with financial reporting and auditing standards, of a strong global accounting profession. Educational programs in compliance with these standards will undoubtedly produce high quality professional accountants.

UNCTAD has produced the Guidelines as a global curriculum and has progressively evolved into an authoritative knowledge-based institution. In recent years it has been working on its Accounting development Tool to support developing nations. The third pillar covers human capacity for which the IES are used as benchmarks.

The process of uniformly implementing education standards globally is a challenging task. The Globalization Roundtables have pointed out many of the practical aspects of implementation. It is clear that implementation in many parts of the world is a multi-year undertaking, requiring communication, resources, training, and benchmarking progress. In many countries, accountancy education is defined much more broadly than preparation for membership in IFAC member bodies. Accountants who become members of member bodies represent a minority of the accountants who graduate from educational institutions. In many countries, a minority of accounting educators are members of IFAC member bodies.

Increasingly research has addressed the global development of accountancy education. In this paper specific reference is made to comparative studies by Karreman and Needles (Karreman, 2002, 2006, 2007; Needles 1994, 2005, 2008, 2010, 2011). This research has identified numerous occasions of internationally compatible development. As such the present study is just another step in academic and professional support for the further development of the global financial infrastructure for which accountancy education of the right level and content is a necessary condition.

The development of accountancy has not been uniform throughout the world. Just as accountancy influences society, culture, politics, economics and the judicial aspects of a country, these same aspects have influenced accountancy, causing its development to vary country by country this is also the case of Albania in which the implementation and the adoption of IES are part of the World Bank project.

Our country, as many reforms undertaken by countries in transition, has started the reforms in accounting field in cooperation with the World Bank, which was first finalised with the creation of the full National Accounting Standards set, which was first implemented in Albania in 2008. These reforms didn't stop but continued to fit EU requirements and directives by improving NAS and suitability with IFRS for SME which started to be implemented immediately.

Certainly that the cooperation of Albanian regulatory institutions is in it's continuity with the World Bank project where actually the cooperation field is accounting education as well.

¹ National Accounting Standards in Albania

² International Financial Reporting Standards

³ Small and Medium Enterprise

⁴ Busman and Smith in 2003 noted the three channels through which accounting information enhances economic growth.

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Effectiveness of Narrative Persuasion on Facebook: Change of Attitude and Intention Towards HPV

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Abstract

Information, detection and prevention are very important factors in sexually transmitted diseases such as human papillomavirus, which is linked to cervical cancer and other cancers (WHO, 2015). This paper aims to demonstrate empirically whether the use of narrative in new media, such as Facebook, produces a greater impact on attitudes and intention in sex education issues, such as human papillomavirus, than the same information presented in non-narrative. Also, the role of the viewer's *involvement* in this persuasive effect is analysed. A group of young university students was tested before and after viewing a Facebook profile on HPV in a narrative vs non-narrative format. The narrative proved to be more effective than the non-narrative, provoking a more positive attitude towards periodic medical check-ups and towards the intention of being tested for HPV. Additionally, narrative transportation proved to have a direct effect on attitude, while involvement with both the story and the character play a moderating role on intention. In conclusion, this paper demonstrates that structured narrative format in Facebook is an effective tool in the field of health education and prevention of HPV, which could also play a role in preventing cervical cancer.

Keywords: Effectiveness of Narrative Persuasion on Facebook Change of Attitude and Intention Towards HPV

Introduction

Human papillomavirus (HPV) is the most common sexually transmitted disease in the world. As the World Health Organization (WHO, 2015) indicates, most sexually active women and men will contract the infection at some point in their lives. There are many types of HPV and the infection usually goes away without any intervention, but certain types of HPV can persist and cause cancer. This is important because more than 70% of cervical cancers contain human papillomavirus (Types 16 and 18). In 2012, the World Health Organization estimated that about 500,000 women are infected every year and that this cancer resulted in 270,000 deaths. The use of preventive measures (i.e. condom) is recommended for prevention, although it is only effective in 60-70% of the cases, since the virus can be transmitted by contact of genital areas that are not covered. In recent years, certain groups have reported alleged cases of side effects of the vaccine. Today, a continuous social debate has led countries like the US and Japan to withdraw the vaccine from immunization schedules, while in other countries as Mexico the government has launched public awareness campaigns targeting parents to vaccinate their children. This situation is reflected on the Internet in the form of comments, testimonies and various anti-vaccination movements.

A very important aspect of sexually transmitted diseases is awareness of the existence of the disease, its transmission and methods of prevention. The study by Stephens and Tomas (2014) evidences that most of the young women reported knowing about the vaccine knew little about the disease itself. Evers et al. (2013), in their research of the social network as a tool for sex education among young people, found that most people seek information after being infected and that there is a great misinformation around the disease, thereby causing prejudice and stigmatization (Evers, Albury, Byron and Crawford, 2013).

For all these reasons, it is essential to utilize effective strategies for the promotion of sexual health, while providing relevant information on HPV presented in an attractive way and using all available tools to help the public to understand, normalize and prevent future HPV-related cancers.

The Power of Narrative and Communication for Health

Throughout history, mankind has used different narratives to share information, change beliefs and inspire behaviours (Green and Brock, 2005). Through them, people experience emotional reactions similar to those experienced in everyday life in first person (Tan, 1996). Narratives have a great persuasive potential by involving the viewer in a story while offering information and behavioural patterns that an individual acquires vicariously or through modelling (Hackett and Lent, 1992; Bandura, 1995). According to Cognitive Social Theory (Bandura and Walters, 1977), the individual also learns by observing models, acquiring knowledge and skills without having to depend only on expensive direct experience. By observing a subject being rewarded for his behaviour the observers' behaviour is also reinforced; therefore, through observation of the models represented in a narrative, knowledge, values, cognitive abilities and new styles of behaviour are transmitted (Bandura, 2004; Schunk and Zimmerman, 1997). Narrative persuasion researches have shown that a message can be more persuasive if presented in narrative form rather than explicitly announced (Slater and Rouner, 2002; Moyer-Gusé and Nabi, 2010; Oliver, Dillard, Bae and Tamul, 2012). The narrative, in addition to a structure, presents information about scenes, characters or unresolved conflicts and offers resolutions that serve as models (Bandura, 2004; Hackett and Lent, 1992). These researches show the effectiveness of storytelling for the transmission of knowledge, the acquisition of new values and the change of behaviour (Murphy, Frank, Moran and Patnoe, 2011; Niederdeppe, Shapiro and Porticella, 2011).

In the present research, we analyse the persuasive effectiveness of a narrative format versus a non-narrative format on a Facebook profile related to HPV content.

In order to study this persuasive effect, an experimental study has been carried out, presenting the same information but in two different ways: one Facebook profile containing information presented in a narrative format (by introducing a personal story of a patient who suffers HPV), and another identical version but in a non-narrative format.

Involvement of the viewer

According to the Extended Elaboration Probability Model (E-ELM) proposed by Slater and Rouner (2002), the persuasive capacity of the narrative is related to its ability to engage or involve the viewer. Green and Brock (2000) believe that someone who is involved will not reflect deeply on the implicit arguments, thereby facilitating the persuasive impact. Therefore, the degree which viewers are emotionally involved to, with a story and its characters, has an impact on the processing and effects of the message (Moyer-Gusé, Chung and Jain, 2011; Tal-Or and Cohen, 2010). Implication in narrative, reflects pre-existing beliefs, attitudes, and values, and makes us care about a topic and process the message more intensely (Sherif, Sherif and Nebergall, 1965). It is also defined as the degree of concern for the story and its characters, the way in which it develops and what it means (Slater and Rouner, 2002). When people are "involved," they focus on the message and react emotionally, pay attention to it, get caught up in the action and identify with the character (Bryant and Comisky, 1978). Other research has examined the involvement of the audience as *parasocial interaction* (PSI), a perceived friendship between a member of the audience and the character (Horton and Wohl, 1956). So, we can define the involvement of the viewer as an affective, cognitive and behavioural participation produced during the exposure to a message (Rubin and Perse, 1987).

1.2.1. Implication with the story

Narrative transportation, or transportation, also defined as *commitment*, *immersion* or *absorption* by a narrative (Bandura, 2004; Gerrig, 1993; Slater and Rouner, 2002), refers to the interest by which the spectators follow the events presented in the story (Green and Block, 2000). When transportation occurs, acceptance of the message increases without thorough reflection. Related to its persuasive effects, transportation increases the perception of realism (Green, Brock and Kaufman, 2004), helps with character identification (Green, 2006) and modulates factors such as perceived self-efficacy and feelings of vulnerability (Moyer-Gusé and Lather, 2011; Murphy, Frank, Chatterjee and Baezconde-Garbanati, 2013).

1.2.2. Involvement with the character

Involvement with the character increases attention span, serves as a mental rehearsal and models behaviour (Sharf, Freimuth, Greenspon, and Plotnick, 1996; Sood, 2002). Some authors define it as the spectator assuming the role of a character and substituting their identity as an audience member with that of the character (Cohen, 2001). Slater and Rouner

(2002) define it as the process by which an individual perceives the character's similarities to him, or considers the character as someone to have a social relationship with. For our research, we refer to the work made by Moyer-Gusé (Moyer-Gusé 2008; Moyer-Gusé et al., 2011) that considers identification, wishful identification, perceived similarity, parasocial interaction and liking as essential components of the viewer's involvement with a character.

Identification with the character: the spectator experiences what happens to the character by vicariously participating in events in the narrative and replacing his own personal identity with the character's (Cohen, 2001, 2006). The character becomes a model that allows the viewer to imagine himself in the same situation (Bandura, 1986), which increases the likelihood that the viewer will accept the beliefs and attitudes implied in the narrative (Tal-Or and Cohen, 2010; Murphy et al., 2013; Moyer-Gusé, 2008; Graaf, Hoeken, Sanders and Beentjes, 2012). Works such as Suruchi Sood (2002) on the consumption of a radio series called *Tinka Tinka Sunk*, which deals with issues such as the situation of women in India, dowry, family and community, show that when the audience identifies with the characters and the story, they are involved and evaluate the series in terms of their own lives, provoking reflection on the themes and changes in behaviour.

Wishful identification: the viewer admires the character and wants to be or act like him (Giles, 2002; Hoffner and Buchanan, 2005). Researches have shown that audience members change their appearance, attitudes, values and behaviour to resemble celebrities they admire (Boone and Lomore, 2001; Basil, 1996). Cognitive Social Theory states that viewers want to emulate attractive and successful models (Bandura, 1986). Hoffner and Buchanan (2005), in their research on the wishful identification, found that attributes such as intelligence, success, attractiveness, respect and popularity play an important role in the formation of impressions, finding that both men and women feel a greater identification of wishful towards characters perceived as successful and admired by others.

Perceived similarity: It is a cognitive evaluation of what one has in common with the character (Cohen, 2001). This degree of similarity can occur in relation to physical attributes, demographic variables, situations or personality traits (Eyal and Rubin, 2003; Turner, 1993). Similarity enhances the likelihood of a model being imitated (Bandura, 2004; Hoffner and Buchanan, 2005) and its values and beliefs will be taken into account (Moyer-Gusé, 2008).

Parasocial Interaction (PSI): It was initially described as the apparent "face-to-face" relationship between the spectator and the interpreter during a media situation (Horton and Wohl, 1956), although later researches use it to refer to an affective bond which persists outside the context of media use (Giles, 2002). This interaction has similar characteristics to a traditional interpersonal relationship, with the exception of reciprocity, which makes the viewers to perceive a character as part of their social life and affects their emotions and behaviours (Hoffner and Tian, 2010; Rubin, Perse and Powell, 1985). In two studies about PSI and its relationship to loneliness or grief in a forced break between the spectator and a character due to a writers' strike, or the disappearance of the character, it has been verified that these breaks can be compared with those in real-life relationships (Eyal and Cohen, 2006; Moyer-Gusé and Lather, 2011). PSI has also been shown to influence engagement and identification with the characters (Nabi and Kremer, 2004), which facilitates the acceptance of stigmatized groups through parasocial contact (Schiappa, Gregg, and Hewes, 2005) and increases satisfaction with the media (Hartmann and Goldhoorn, 2011).

Liking: It refers to a positive evaluation of the character and reflects an affective, cognitive and behavioural reaction (Cohen, 2001; Giles, 2002; Hoffner and Cantor, 1991; Nabi and Kremer, 2004). Although, as Eagly and Chaiken (1993) indicate, this assessment can also be negative, manifesting as disapproval or rejection. Usually, we are attracted to admirable or socially successful characters, and by those we share values, experiences or attitudes with (Bandura, 2001). We like characters whose actions and motivations we judge as appropriate (Hoffner and Cantor, 1991), although if we like a character we are able to provide a moral justification for their inappropriateness (Krakowiak and Tsay-Vogel, 2013). Researches show that liking makes the viewpoints, attitudes and actions of the characters better valued and taken into account (Hoffner and Tian, 2010; Moyer-Gusé et al., 2011).

Narrative in digital media

The development of the Internet has led to the emergence of diverse platforms that enhance the participation and interaction of users, such as social networks. These are virtual communities that provide information, connect people and present new ways of communication and expression (Salamanca, 2004). Studies on mediation and narrative in social networks show that they are new foundations on which to build or show stories (De Fina and Georgakopoulou, 2015; Shlezak, 2015; Jong, 2015). These new forms of narrative or storytelling are being analysed by communication researchers for the promotion of healthier behaviours in relation to gender, sexual health and weight control (Russo and Illanes, 2013; Merchant et al., 2014; Gold et al., 2012). These stories work through words, images and sounds, regardless of the interface (Barhtes, 1991;

Page, 2010) and are tools for spreading knowledge, culture and points of view (Tolisano, 2009). They appeal to emotions, persuade and change opinion (Salmon, 2008). They also serve to transmit knowledge and experiences and help people to relate with each other.

Due to its popularity, its ability to distribute different strategies and its ability to adapt content, Facebook has a great potential for promoting health-related behavioural changes (Merchant et al., 2014; Ballantine and Stephenson, 2011; Valle, Tate, Mayer, Allicock and Cai, 2013; Langley, Wijn, Epskamp and Van Bork, 2015). Through these stories on Facebook we can connect with other people and connect these people with our own experiences. Research (Gold et al. 2012) has shown the persuasive effect of narrative on Facebook for the promotion of sex education by presenting information through characters that take shape in a Facebook profile. These narratives can result in acquired knowledge, personal reflection and shared patterns of behaviour and beliefs (Salmon, 2008).

Method

Objectives, Hypotheses and Research Questions

The objective of this study was to analyse if the exposure to a narrative about HPV on a Facebook profile provokes a greater effect than an identical profile presented in a non-narrative format.

We analysed the effect to this exposure by measuring the change in attitude towards medical check-ups as well as the intention of being tested for HPV.

The roles of the following variables were also investigated: 1) involvement of the spectator with the narrative (*transportation*), 2) identification, 3) similarity 4) wishful identification 5) PSI and 6) liking.

The following hypotheses and research questions (RQ) were proposed:

HP1: *Exposure to HPV narrative content on a Facebook profile will cause greater effects on the attitude towards the importance of periodical medical check-ups than a non-narrative profile.*

HP2: *Exposure to HPV narrative content on a Facebook profile will cause greater effects on the intent to get tested for HPV than a non-narrative profile.*

RQ1: *What is the Role of Transportation, Identification, Similarity, Wishful identification, PSI and Liking in Attitude Toward Periodical Medical Check-ups?*

RQ2: *What is the Role of Transportation, Identification, Similarity, Wishful identification, PSI, and Liking in intention toward HPV testing?*

Procedures and Sample

One hundred and fourteen student volunteers from Complutense University of Madrid: 18 to 23 years old ($M = 19.18$, $SD = 1.46$), 75% female and 25% male.

An inter-subject one-factor design was used. The independent variable was defined as "format type", presenting two levels: narrative format (through the experience of a "real person") *versus* non-narrative (presented in an institutional style).

In the *narrative format*, information was presented through videos and stories narrated by a female university student very similar to the participants, whereas in the *non-narrative format* it was presented in videos or images without real people. In both cases it was verified that the information was identical in content¹.

The sample was randomly divided into two groups: one was assigned to be presented with the content in a *narrative format* and the other one (control group) in a *non-narrative manner*. The control group (non-narrative format) was informed that it was written by an institutional Facebook administrator, while the experimental group (narrative format) was told that it was written by a young girl.

Both groups were exposed to a standardized browsing projection of the Facebook profiles by one of our research members. Each group observed their assigned profile for ten minutes and under identical conditions (e.g. number of clicks, browsing pathways, time spent on each post).

Prior to exposure, participants completed a pre-test questionnaire about their knowledge of HPV, their attitude towards screening and behaviour towards HPV testing. After viewing the Facebook profile, the subjects completed a post-test questionnaire collecting their reactions to the profile, knowledge, attitude and intention related to HPV testing.

All the subjects were thoroughly debriefed at the end of the session.

Stimulus

Two Facebook profiles were created offering the same information about HPV: its relationship to cervical cancer, general information about medical check-ups and prevention, and beliefs or prejudices related to talking about HPV or having HPV. Both profiles consisted of the same number and types of publications (videos, images, links to specialized sources and informative posters). In the narrative profile, the story of a real person was presented: a girl who has been recently diagnosed with HPV and is waiting for the test results to find out the type she has. She posts to her profile, telling her story with publications and videos explaining what HPV is and providing information about testing, prevention and diagnosis. She talks about her conversations with her family, friends and partner about prejudices, the importance of the vaccination and what to do if you have been diagnosed with it. The non-narrative format profile is portrayed on a formal-institutional tone, providing the same number of videos and the same publications, with more impersonal language in all posts. In order to accomplish this, new videos were created to replace those presented by the aforementioned female character in the narrative profile but containing the same information and lasting the same amount of time.

Measures

Attitude.

We used a 7-point Likert scale adapted from others (Murphy et al., 2011). The questions measure young people's perception of the importance of routine medical check-ups, having HPV support, feelings of embarrassment or shame about having HPV, and asking their partner to get tested. Example of items presented included: "*It is important for me to have periodic HPV screenings*". It was evaluated in both the pre-test (Cronbach's alpha= .67) and the post-test (Cronbach's alpha = .78).

Intention.

Pre- and post-test were evaluated using a 7-point Likert scale adapted from others (Murphy et al., 2011; Moyer-Gusé et al., 2011) and measured behaviours as talking about HPV or HPV testing with items such as: "*Currently, I'm likely to get tested for HPV*". (Cronbach's alpha pre-test= .80; Cronbach's alpha post-test= .72)

Transportation.

Post-test was measured using an adaptation of the Green and Brock scale (2000), from which 6 items were used on a 7-point Likert scale. The statements were adapted according to the type of profile. Some examples of the items used include: "*I was mentally involved in the story*" (narrative format)/ "*I was mentally involved in the information*" (non-narrative format). (Cronbach's alpha= .84)

Identification.

Six items from the identification scale proposed by Cohen (2001) on a 5-point Likert scale were used. Examples: "*I could understand the events of the program similarly to how Maria understood them*" (narrative)/ "*I could understand the events of the program similarly to how the institution understood them.*" (non-narrative). (Cronbach's alpha= .78)

Wishful identification.

Four items from the Hoffner and Buchanan (2005) adaptation of Hoffner's (1996) wishful identification scale were used, also on a 5-point Likert scale. Example: "*Maria is the type of person I would like to be*" (narrative); "*The institution represents the kind of person I would like to be*" (non-narrative). (Cronbach's alpha= .89)

Similarity.

Seven items from the similarity scale of McCroskey, Richmond and Daly (1975) were used, on a 7-point Likert scale. Example: "*María thinks like I do*" (narrative); "*The position of the institution is the same as I think*" (non-narrative). (Cronbach Alpha= .81)

Parasocial interaction (PSI).

An adaptation of the PSI scale of Rubin and Perse (1987) and its adaptation by Sood (2002) was used. It consisted of 6 items on a 5-point Likert scale. Example: "*When María shows how she feels about something, she helps me to form my own opinion on that subject*" (narrative); "*When the institution shows something, it helps me to form my own opinion on that subject*" (non-narrative). (Cronbach's alpha = .75)

Liking.

We used a 5-point Likert scale adapted from other researches (Zillmann and Bryant, 1975; Krakowiak and Tsay-Vogel, 2013; Hoffner and Buchanan, 2005), with a total of 6 items such as: "*María seems attractive*" (narrative)/ "*The institution seems attractive.*" (non-narrative). (Cronbach Alpha = .80)

Analysis and results

Effects of narrative type on attitude and behaviour

Hypothesis 1 was confirmed: exposure to a narrative format causes greater effects on the attitude towards the importance of routine medical check-ups than exposure to a non-narrative profile. The Wilcoxon test showed that the attitude towards the importance of HPV check-ups in the narrative profile significantly increased between the assessments made before ($M = 3.90$) and after ($M = 5.36$) the exposure to the stimulus ($p < 0.05$), while in the non-narrative profile this change was lower (from $M = 4.07$ to $M = 4.78$).

Hypothesis 2 was also confirmed: exposure to a narrative format causes greater effects on the intention to get tested for HPV than a non-narrative profile. The Wilcoxon test showed that intention increased from 3.60 to 5.02 ($p < 0.05$). In the non-narrative profile the change was also lower (from $M = 3.13$ to $M = 4.01$).

The role of transportation, identification, similarity, wishful identification, PSI and liking

The research questions proposed in our study investigate the impact of 1) transportation, (2) identification, (3) similarity, (4) Wishful identification, (5) PSI and (6) liking on attitude towards medical check-ups. The role these variables may play on the intention to get tested for HPV was also analysed.

An analysis of bivariate correlations for each of the variables was performed.

The data in table 1 shows a significant positive correlation ($p < .05$) between *transportation* and *attitude towards check-ups* ($r = 0.330$; $p = .033$). The variable *identification* shows a significant but less dramatic relationship ($r = 0.252$, $p = .10$). On Table 2, effects of these variables (Transportation, Identification, Similarity, Wishful identification, PSI and Liking) on *intention of being tested* show a significant correlation of *transportation*, *identification* and *PSI*.

Discussion

The importance of the narrative format

The way in which narrative influences in attitude and behaviour of viewers have been analysed by many researchers; however, most of the works have been based on traditional media: television, film and radio (Moyer-Gusé, 2008; Sood, 2002). The aim of this study was to examine the efficacy of narrative in new media, such as social networks. It also aimed to investigate the effect of narrative vs. non-narrative information on a Facebook profile. Additionally, the role of the viewer's involvement with the story and with the character was analysed.

Our study revealed the greater effectiveness of using a narrative format in these new digital platforms.

Although both profiles provoked an increase in levels of attitude and intention, participants who received the information in a *narrative format* showed a significantly greater change, both in their attitude towards routine medical check-ups and in their intention to get tested for HPV. These data relate to other studies where narrative vs. non-narrative format has demonstrated to persuade more effectively in conventional media (Murphy et al., 2013; Niederdeppe et al., 2011; Oliver et al., 2012; Moyer-Gusé and Nabi, 2010).

The consequences of our results are very relevant, since they seem to indicate the importance of creating narrative format in social media. For example, these types of Facebook profiles could be created by official institutions. It is a question of allowing digital media users themselves to generate processes of mutual persuasion. These procedures imply empowering certain individuals to act as social mediators in health promotion programs. Moreover, this proposal aligns well with current social movements of citizen's shared responsibilities in their health care.

Understanding the power of narrative

Researches in the field of narrative persuasion attempts to determine a theoretical framework for understanding the *intrinsic* mechanisms of the power of narrative (Tal-Or and Cohen, 2010; Green, Strange and Brock, 2002; Dahlstrom, 2012). The results of our study confirm that *transportation* and *identification* are related to attitude change towards medical check-ups, on a social media platform such as Facebook.

Our data also confirm that it is necessary to produce transportation and identification to provoke behavioural changes, but it is also necessary to establish PSI. In other words, in order for the intention to change, the PSI variable acquires special relevance.

Future researches should explore this result, but a reasonable explanation might be as follows: PSI is conceptually very closely related to behavioural execution, as is defined as the imaginary interaction with the character. This symbolic interaction would mobilize the intention to change behaviour.

If this hypothesis is verified, the practical consequences are very relevant. They would indicate the importance of using narratives and models that favour PSI. As we have seen, this situation will only occur if it is possible to provoke transportation and identification with a character. In this sense, it would be necessary to get the active participation of the young people in the health promotion campaigns. It is a question of empowering people themselves to control *their own* health, in line with recent proposals for social co-responsibility and health.

Study limitations and future research directions

This paper presents some limitations to be considered in future researches. In the first place, it would be advisable to use a larger and more diversified sample in order to obtain broader conclusions about the *new digital narrative* and their effect of HPV prevention campaigns. Secondly, because of the nature of Facebook, it would be useful to stimulate the subjects over a longer period of time to analyse the effects of long term exposition. It would have also been interesting to conduct an analysis of users' behaviour towards HPV testing or check-ups after a period of time, which would show if that change in behavioural intent becomes a real behavioural change. Finally, the importance of the PSI variable should be analysed in depth and test if the advanced hypothesis in this study is confirmed.

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Footnotes

Examples of the same video for the two different Facebook profiles:

<https://drive.google.com/open?id=0B7JvnBraOKcYdEIUT2l2M2ITQ0k> (narrative format)

<https://drive.google.com/open?id=0B7JvnBraOKcYNGRaVEJVUjRYUkk> (non-narrative format)

1Tables

Table 1

Spearman correlations between the six variables analysed and the *attitude toward check-ups*

| | 1 | 2 | 3 | 4 | 5 | 6 | 7 |
|-------------------|--------|---------|---------|---------|---------|---------|---|
| 1. Attitude | - | | | | | | |
| 2. Transportation | .330** | - | | | | | |
| 3. Identification | .252* | .672*** | - | | | | |
| 4. Similarity | -.046 | .400*** | .387** | - | | | |
| 5. Wishful | .232 | .334** | .472*** | .413*** | - | | |
| 6. PSI | .169 | .386** | .509*** | .540*** | .654*** | - | |
| 7. Liking | .073 | .281 | .320** | .337** | .459*** | .585*** | - |

* Significant correlation at the level .10 (bilateral)

** Significant correlation at the level .05 (bilateral)

*** Significant correlation at the level .001 (bilateral)

Table 2

Spearman correlations between the seven variables analysed and the *intention of being tested for HPV*

| | 1 | 2 | 3 | 4 | 5 | 6 | 7 |
|-------------------|---------|---------|---------|---------|---------|---------|---|
| 1. Intention | - | | | | | | |
| 2. Transportation | .324** | - | | | | | |
| 3. Identification | .368** | .774*** | - | | | | |
| 4. Similarity | .211 | .614*** | .533*** | - | | | |
| 5. Wishful | .300 | .336** | .471*** | .462*** | - | | |
| 6. PSI | .397*** | .511*** | .583*** | .599*** | .623*** | - | |
| 7. Liking | .248 | .366** | .402*** | .430*** | .480*** | .589*** | - |

* Significant correlation at the level .10 (bilateral)

** Significant correlation at the level .05 (bilateral)

*** Significant correlation at the level .001 (bilateral)

Continuous Assessment in ESP Context

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Abstract

Due to the globalization process and scarcity of learning hours Ukrainian higher educational standards in terms of English for Specific Purposes course are being reconsidered currently to enable university graduates to be highly competitive in the world labour market. Under these conditions assessment as an integrated part of any process of learning has to be reviewed as well. Earlier assessment was used as a tool for increasing extrinsic motivation of students and measuring their success, but nowadays, when the learning hours have been decreased dramatically, we have researched, how to reduce possible demotivating effect of assessment and how to use assessment for enhancing intrinsic motivation of students. For that purpose we have used a variety of continuous assessment. Moreover, we have managed to contribute in the development of 21st century skills of our students (critical thinking, creative thinking, collaborating, communicating) through self-assessment and peer-assessment while they were developing the criteria for assessment themselves. Furthermore, during the experiment that lasted from September, 2016 till June, 2017 students under our supervision have developed the lists of criteria for assessing such soft skills as presentation preparation and delivery, participation in discussions, etc. The results of the experiment were measured with the help of summative assessment at the end of the study year and questionnaires that students under experiment filled in January, 2017 and in June, 2017. The difference with the control group was tremendous.

Keywords: continuous assessment, peer-assessment, self-assessment, formative assessment, summative assessment, 21st century skills, soft skills, intrinsic motivation, English for Specific Purposes

Introduction

Under the process of crucial transformation of higher educational standards that is going on in Ukraine we can not help considering such an integrated part of any learning process as assessment. There is a great variety of definitions what assessment is. T.Dary Erwin identifies assessment as: 'the systematic basis for making inferences about the learning and development of students. It is the process of defining, selecting, designing, collecting, analyzing, interpreting, and using information to increase students' learning and development' (Erwin, 1991). Catherine A. Palomba and Trudy W. Banta determine assessment as: 'the systematic collection, review, and use of information about educational programs undertaken for the purpose of improving student learning and development' (Palomba and Banta, 1999). Mary E. Huba and Jann E. Freed define assessment as: 'the process of gathering and discussing information from multiple and diverse sources in order to develop a deep understanding of what students know, understand, and can do with their knowledge as a result of their educational experiences; the process culminates when assessment results are used to improve subsequent learning' (Huba and Freed, 2000). Mary J. Allen thinks that 'assessment involves the use of empirical data on student learning to refine programs and improve student learning' (Allen, 2007).

Mostly all of these definitions are more or less similar, but for current Ukrainian tertiary education in general and for English for Specific Purposes course in particular the most relevant and up-to-date definitions of assessment are given in Common European Framework of Reference for Languages: Learning, Teaching, Assessment (CEFR, 2011) and by Tony Dudley-Evans and Maggie Jo St.John (Dudley-Evans and St.John, 2012). Tony Dudley-Evans and Maggie Jo St. John say that assessment is a part of evaluation and is not limited only to formal measuring process (tests), but includes 'less formal, more qualitative methods' that give 'feedback on learning' (Dudley-Evans and St.John, 2012). Common European

Framework of Reference for Languages: Learning, Teaching, Assessment implies assessment as evaluation of not only language proficiency, but the effectiveness of materials and methods used by the teacher, learners' satisfaction, etc (CEFR, 2011). Furthermore, they introduce different types of assessment: continuous assessment, formative and summative assessment, checklist rating, assessment by others, self-assessment, etc (CEFR, 2011). Continuous assessment is integrated in the course assessment, 'which contributes in cumulative way to the assessment at the end of the course' (CEFR, 2011). According to Dudley-Evans and Maggie Jo St.John continuous assessment is more flexible, can be done during some period of time by the teacher, the learner him/herself or by peers, moreover, learners can use different resources to complete their work (Dudley-Evans and St.John, 2012).

We think that continuous assessment is crucially important especially in English for Specific Purposes course, because it does not only give feedback from teacher to student, student to teacher, student to student that certainly leads to learning improvement, but develops intrinsic motivation of learners, their autonomy and prepares them to function effectively in their future professional situations. Moreover, we have researched how self-assessment and peer-assessment can improve the final performance of the learners.

Methods

The main method used was experimental research. Two groups (control and experimental) of 1st year students majoring in International Economics participated in the experiment. Each group consisted of 12 people of approximately the same initial level of language proficiency. The experiment lasted from September, 2016 till June, 2017 and finished with summative assessment in June, 2017. The students of the experimental group were deeply involved in developing the criteria for assessment, in the process of self-assessment and peer-assessment according to the criteria. Furthermore, they were asked to analyse the effectiveness, objectivity and influence of such type of assessment on students' intrinsic motivation enhancement. For this analysis preliminary, interim and closing questionnaires were used during the experiment, where students expressed their attitude to such approach to assessment and changes in their intrinsic motivation. The experiment during the whole academic year gave an opportunity to analyse and compare the progress the students from experimental group and from the control group had made.

Results

Before we start describing the results it is important to outline the scheme of scores accumulation during the semester. At the end of each semester the 1st year students could get 100 points in total: during the first and the second modules - 40 points, for their self study - 40 points, as well and 20 points - for their final test. In terms of preparation of future professionals self-study can be considered as one of the most important parts of this preparation. Self-study gives the students certain amount of autonomy, helps them to develop such skills as critical thinking, creative thinking, collaborating, communicating, considered as 21-st century skills, skills that are sought by employers in their potential employees. So our students due to self-study are getting competitive advantage in the labour market. That is why assessment of such kind of study attains more and more weight. We have studied how assessment could be not only objective, but also motivating.

One of the forms of reporting the results of students' self-study findings is presentation. It should be mentioned, that presentation skill is one of the most important skill that employers of the 21st century will expect from their future employees, who are currently our students. That is why the purpose of our research was to check how to assess it adequately and enhance students' intrinsic motivation in the same time. Teacher together with students during the learning, how to prepare and deliver a successful presentation simultaneously creates a number of criteria, according to which their presentation is going to be assessed. Then with the help of online tool for creating rubrics - Rubistar (Rubistar), we range the number of points the students can get for meeting this or that criteria.

For example, for oral presentation we have used the following rubric (Adapted from Rubistar):

| Category | 2 | 1 | 0 |
|---------------|-------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------|
| 1. Vocabulary | Uses extensive and appropriate vocabulary. Extends audience vocabulary by defining words that might be new to most of the audience. | Uses rather extensive vocabulary, but sometimes inappropriately. Includes 1-2 words that might be new to most of the audience, but does not define them. | Uses not extensive vocabulary, |
| 2. Content | Shows a full understanding of the topic and achieves target | Shows a good understanding of the topic, but sometimes fails in | Does not seem to understand the topic very well. |

| | audience's attention. | achieving target audience's attention. | |
|-----------------------------|-------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------|
| 3. Preparedness | Student is completely prepared and has obviously rehearsed. | Student seems pretty prepared but might have needed a couple more rehearsals. | Student does not seem at all prepared to present. |
| 4. Speakes clearly | Speaks clearly and distinctly all (100-95%) the time, and mispronounces no words. | Speaks clearly and distinctly most (94-85%) the time, but mispronounces 2-3 words. | Often mumbles or can not be understood or mispronounces more than 2-3 words. |
| 5. Posture and eye contact | Stands up straight, looks relaxed and confident. Establishes eye contact with everyone in the room during the presentation. | Sometimes stands up straight and establishes eye contact. | Slouches and/or does not look at people during the presentation. |
| 6. Volume | Volume is loud enough to be heard by all audience members throughout the presentation. | Volume is loud enough to be heard by all audience members at least 80% of the time. | Volume often too soft to be heard by all audience members. |
| 7. Collaboration with peers | Almost always listens to, shares with, and supports the efforts of others in the group. Tries to keep people working well together. | Often listens to, shares with, and supports the efforts of others in the group but sometimes is not a good team member. | Rarely listens to, shares with, and supports the efforts of others in the group. Often is not a good team member. |
| 8. Pitch | Pitch was often used and it conveyed emotions appropriately. | Pitch was often used but the emotion it conveyed sometimes did not fit the content. | Pitch was not used to convey emotion. |
| 9. Comprehension | Student is able to accurately answer almost all questions posed by classmates about the topic. | Student is able to accurately answer a few questions posed by classmates about the topic. | Student is unable to accurately answer questions posed by classmates about the topic. |
| 10. Time limit | Presentation is 5-6 minutes long. | Presentation is 3-4 minutes long. | Presentation is less than 3 minutes or more than 6 minutes. |

After the presentation students, who were delivering it, reflect on themselves according to the criteria from this rubric: what went well, what they would change next time, what are their areas for development. Before their reflection, their peers assess them in written form according to the check-list with the criteria (maximum – 20 points), as well as the teacher assesses the presentation according to the same check-list (maximum – 20 points). After the reflection session, peers and the teacher comment the same areas in turn. The final grade (maximum – 40 points) consists of average peers' amount of points (maximum 20) and teacher's grade (maximum 20).

The advantages of such system of presentation assessment are as follows:

When students participate in choosing the criteria they are going to be assessed to, they automatically keep these criteria in mind, when they are preparing to the presentation. This ensures deeper processing of the material, more serious attitude to the task performing and enhancement of students' intrinsic motivation. They mentioned this in their questionnaires.

Three levels of assessment: self-assessment, peer-assessment and teacher assessment lead to profound analysis of the achievements and areas for development by the students themselves. And on this stage some psychological factors are working: if people themselves perceive their progress and mistakes (it is not their teacher, who tells them that they have made a mistake), they subconsciously will not deny them and will try to correct these mistakes. And again due to this effect we can speak about intrinsic motivation.

But, unfortunately, in this system there could be some disadvantages:

For example, validity of such grades is rather disputable. On the one hand, the assessment is measured due to the criteria, but, on the other hand, a half of the grade is given by peers. And that is the question of validity of this part of the grade. To our opinion and according to the results of the experiment the final results coincided teacher's view that means that if the

teacher had been the only assessor, the results would be the same. But this problem needs more research and experimenting.

One more challenge is objectivity. Human factor is something that we have to take into consideration. Peers are not professional assessors; they are not bound to be objective. This is a matter of their social responsibility and integrity. It may happen that they increase the amount of points, because they are friends with the presenter, or vice versa, decrease grades of their enemy. During our experiment, in order to avoid subjectivity, we removed one the highest and one the lowest grade, it was done transparently; students knew about the procedure of calculation in advance. But still unfair assessment may happen, because one student may have more than one friend or more than one enemy.

Conclusions

The experiment has shown that continuous formative and summative assessments can not only serve as 'stick and carrot', but be extremely motivating for students. It does not only give feedback from teacher to student, student to teacher, student to student that certainly leads to learning improvement, but develops intrinsic motivation of learners, their autonomy and prepares them to function effectively in their future professional situations, that is why we believe that continuous assessment is crucially important especially in English for Specific Purposes course. Moreover, we found out how self-assessment and peer-assessment can improve the final performance of the learners. The experimental group gained average grade of 37.5 (84%), when the control group's average grade was 33.5 (94%), so the results of the group under experiment are 10% higher, than the results of the control group. Both the final results and the feedbacks of the students have proved the relevance of such system of assessment to the ESP context. In spite of some disadvantages this variety of assessment is worth using in ESP classroom.

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The Activity of Pyramid Schemes in Albania (1992 - 1997) and the Effects of Their Decline

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Abstract

Political transition in Albania during the last 10 years of the past century brought about the collapse of communist system and opened the way to democratic developments for the country. The transition towards democracy was accompanied with new social, economic and political events which brought with them a lot of issues however. The transition from a centralized economy to free market economy progressed rapidly, but these processes did not comply with the right banking legislation. The National Bank of Albania dominated the banking market;. This was one of the main reasons for the establishment and expansion of pyramid schemes in Albania. They operated largely from 1992 – 1997. This descriptive - analytical study reviews the activity of pyramid schemes in Albania, their expansion dimensions; the survey analyzes the reasons for their expansion, the attitude of the Government toward the event and the causes of their decline. In conducting this study, reports and analyses from the World Bank, International Monetary Fund, Bank of Albania, several media reports and studies from national and international researchers have been taken into consideration. Through this study we aim to explore the reasons for pyramid schemes' expansion and the mutual relation between the financial and political crisis in Albania.

Keywords: Albania, pyramid schemes, financial crisis, political crisis. **Field of study:** multidisciplinary topics

Introduction

During the dictatorship period, Albania had implemented the policy of economic centralization, which was a planned and closed economy without any private property element, in villages as well as in towns. Competition was forbidden and was viewed as imperialist and bourgeois tendency. Foreign investments and credits from abroad were also forbidden by the Albanian Constitution in 1976. Communist regime prioritized the heavy industry, neglecting thus the development of infrastructure and communication network which affected the economic progress of the country. Albania didn't undertake any important economic or political reform which would animate the economy such as decision-making decentralization, increase of the market role or democratization. The model implemented during 45 years relied on consistent application of Marxist ideology and Stalinist practices. In the 80s, the policy of being relied upon their own forces and complete isolation, caused an apparent degradation of economy, decline of payment balance, failure of foreign currency resources, lack of consumer goods, etc.

The end of communist regime and the beginning of the transition period found a very problematic Albania. The country was financially bankrupt, depending on humanitarian donations, and the economy was collapsed. Professor Valentina Duka, having analyzed the economic situation in Albania during 1990, claims: "...looked like the [country] was just emerged from a war. Practically everything should start over... the Albanian economy which was built to be commanded, had no command. Since planning was not in use anymore and market was not established yet, the Albanian economy was immersed in chaos and anarchy."¹

The transition process towards the democratic system and the market economy is painful as nature, but in Albania's case it was made up of pressures. Albanian governments had to face a lot of major problems and overcome many challenges.

¹ Dh Kule, "Macroeconomic consolidation: Achievements and challenges", December 6, 2001, p. 1 [online] available at: <http://www.bankofalbania.org/>

The economic growth by steady steps is one of the major challenges, argues Professor Dhori Kule in his paper "Macroeconomic consolidation: Achievements and challenges". He discusses that "*Transition of a country from a centralized economy to market economy involves many problems, where facing inflation and providing sustainable rates for economic growth are chief conditions for a successful transition.*"¹

1992 was the year when implementation of stabilization program, price liberalization, budget deficit balance, coercive monetary policies, liberalization of foreign trade, reforms in privatizing the social protection network, establishment of tax system and a legal framework for market economy started applying in Albania. Immediate measures were undertaken such as: no subsidiary on agricultural products, a minimal limit on nominal salaries was established, a new customs system was established and non-rentable enterprises were closed.

In the framework of transformations, an important and inevitable process was the privatization process. This process was done rapidly, beginning with small and medium enterprises and agriculture as well. The level of reform development in economy and massive privatization process were not accompanied by privatizations in banking system though. Law Nr. 8033, dated 16.11.1995, on "*Transformation of commercial banks in commercial associations and their allowance for privatization*" was not applied in the due time. During 1996, as result of licensing, the Albanian banking system expanded. There were 8 banks operating in Albania as follows:

Banks with state capital:

National Commercial Bank

Agriculture Commercial Bank

Savings Bank

Banks with common capital

Italian-Albanian Bank

Islamic Albanian – Arab Bank

Banks with private capital:

Dardania Bank

Banks with foreign private capital:

Tirana Bank

Banks with state foreign capital:

National Bank of Greece

However, based on the annual report in 1996 of the Bank of Albania, commercial banks with state capital dominated the banking market; *over 90% of the total banking activity was operated from them.*²

Based on law on Bank of Albania in 1992, the banking system in Albania was divided into 2 levels. Bank of Albania was a first-level bank, whereas the National Commercial Bank, Agriculture Commercial Bank and the Savings Bank were second-level banks. Economic transformations, the reforms and the new legislation apparently produced their advantages, Albania achieved impressive results. GDP was no longer declining, market provided a variety of products, currency value was stable, deficit was reduced and inflation as well, trade increased especially retailing, and unemployment was reduced too. (Table 1) According to Bezemer "*Following its profound economic reforms in 1992, the country had been celebrated in much of the literature on the economics of transition as the classic example of sound post-socialist economic policy in line with the 'Washington consensus'. By mid-1993, it could be claimed of Albania that it was the only country in Central and*

¹ Banka e Shqipërisë, *Raporti vjetor 1996*, p. 50, [online] available at:
https://www.bankofalbania.org/web/Raporti_Vjetor_1996_2007_1.php

² D Bezemer, *Post – socialist financial fragility: the case of Albania*, p. 2, [online] available at:
<https://www.researchgate.net/publication/5208271>

*Eastern Europe that met every IMF-criterion.*¹ Main branches of economy were trade, construction, transport and mine industry. Apart from achievements, poverty was still high, and yet Albania was the poorest country in Europe.

Since 1991 there operated a number of pyramid schemes companies in Albania. They were well spread in the whole country and provided enormous interests on deposits, varying from 30% to 50%. Poor Albanians, with low salaries and high unemployment, without other income sources and lacking information on private financial institutions, were tempted by high profit interests and fast enrichment. Also, people trusted the slogans and ads coming from these pyramid schemes in written and visual media of the time. Neither public institutions kept their distance from these companies, and nor did the opposition, which could make use of them to strike the government.

USA and IMF appealed to the Government in autumn 1996 to stop the activity of pyramid schemes and take control of their deposits, warning it of what could happen. The Government did not respond immediately, probably because Berisha did not want to cause problems and complaints ahead of local elections in October of the same year.

Expansion of pyramid schemes in Albania, was described by the distinguished newspaper "Daily Finance", as one of the world's major 10 financial scandals (ranking it at fifth place)² which surpassed the sizes of any other world analogue phenomena in every aspect and duration, involving the population in the aftermath.

What were the factors affecting and assisting the establishment of pyramid schemes? What was the magnitude of their activity? What was the attitude of Albanian institutions and IMF towards them? What were the consequences of their decline for the country? These are some of the topics that will be discussed in this paper. The study relies on the official documents analysis from the Bank of Albania, the IMF and testimonies of those who lived the events and studies from home and foreign authors.

What are the pyramid schemes?

A pyramid scheme is a business model (not necessarily an investment) that involves promising investors or participants mainly for recruiting other people into the scheme. Pyramid schemes work on the principle that money paid in by later investors is used to pay artificially high returns to earlier investors. Early investors are drawn in by advertising promising high interest rates, or huge capital gains after a short period. Most of the schemes have a gimmick, often based on some real or imagined market inefficiency or loophole in the law. News of the high returns spreads by word of mouth or advertising and more people invest. Their payments are used to pay interest and if necessary principal to the early investors. More often, though, the early investors will reinvest their principal, and sometimes their interest in the hope of still higher gains.

Pyramid schemes typically go through the following stages:

- **Initiation**, when the first subscriptions or investments are handed over
- **Validation**, when large and easy rewards earned by initial members generate strong word-of-mouth publicity
- **Expansion**, when a large number of people join or massive investments are received, and
- **Collapse**, when defaults occur and promoters seek to abscond with invested money.

The IMF survey of 2009, *IMF Advice Helps Fight Financial Fraud as Schemes Multiply*, emphasized: "Controlling and closing down pyramids, and particularly Ponzi schemes, can be politically difficult—especially if politicians or other important people are subscribers to the scheme. Once they grow, the authorities may be increasingly reluctant to trigger their collapse"³.

The dimension of the pyramid schemes activity in Albania

Pyramid schemes started to operate in Albania since 1991. The first to start with the deceiving borrowing activity was Hajdin Sejdia, an Albanian from Kosovo, serving as Prime minister's Fatos Nano adviser in 1991. He escaped from Albania with millions of dollars that acquired from Albanian citizens through fraud. His case was thought to be an isolated one, but

¹ B Lund, *10 financial scandals of all the time*, Daily Finance, Apr 18th 2014, available [online] at: <https://www.aol.com/article/finance/2014/04/18/top-10-financial-scandals/20871664/>

² IMF Survey: *IMF Advice Helps Fight Financial Fraud as Schemes Multiply*, p. 4, [online] available at: <http://www.imf.org/en/news/articles/2015/09/28/04/53/sopol021209a>

³ D Bezemer, *Post-Socialist Financial Fragility: The Case of Albania*, p. 10

from 1992 to 1997 other 24 borrowing companies were established and operating in Albania: Gjallica, VEFA, Populli, Demokracia Popullore-Xhaferri, Kamberi, Cenaj, Silva, Malvasia, Kambo, Grunjasi, Dypero, Bashkimi, Beno, Pogoni, B&G, Kobuzi, Arkond, Adelin, A.Delon, Agi, M.Leka Company, Global Limited Co., Çashku, Sudja. The major ones were:

VEFA, established in October 1992. The President of the company was Vehbi Alimuçaj. The business activity started as a commercial company. Later on, he invested in supermarkets, restaurants, bitumen mine, built a mall, and established a TV station. It operated more than 200 businesses and employed 10,000 people.¹ The auditors believe that VEFA took in at least \$700 million in deposits, and probably, over US\$1 billion. When it was taken over, liabilities, excluding some US\$200 million in accrued interests, amounted to US\$250 million, while its assets were generously estimated at US\$300 million.²

Gjallica, started the activity as currency exchange in 1991. The President of the company was Shemsie Kadria settled in Vlora. Gjallica owned enterprises in trade, medicine and tourism, carried out some real investments, financing the construction of supermarkets, office complexes and gas stations. Gjallica was something of an elite company, with about 170.000 investors at its peak.³

Populli, with Bashkim Driza as president. Started its activity as a charitable foundation in early 1996. It attracted 400.000 investors. At the time of its collapse liabilities were over US\$150 million.⁴

Xhaferi, with Rrapush Xhaferin as president, introduced as charitable company, attracted about 1.500.000 investors. At the time of its collapse liabilities were over US\$300 million.⁵

Sude, established by Maksude Kasemi in 1993. Since then to 1996, she operated half legally. Liabilities variously estimated at US\$40-90 million.⁶

These companies borrowed with interests varying from 10% - 30% and 50% in 1996 for months. Some companies invested the money in different areas, on their behalf. Investments were mainly made in sectors like construction, trade, tourism, transport, fuel, etc, so as to show the creditors that it was a great profit opportunity. These companies were promoted as success stories in the Albanian business face; they employed tens of people, invested mainly on visible assets, were focused on advertising their activity, made many donations on art, culture and sports and supported the political campaigns in country. As far as their documentation chaos is concerned, it is difficult to understand whether these companies were able to pay – thus, their profit was higher than debts – or they were pyramid schemes since the very beginning. Other companies such as Sudja, Xhaferi or Populli, were authentic pyramid schemes; they had neither assets nor investments.

Tempted by high interest rates, Albanian people borrowed to these companies hoping for a fast increase of their incomes. They invested several times in some companies, making their investment on pyramid schemes “*their favourite sport*”⁷ argues Remzi Lani. Pyramid schemes in Albania represent a specific phenomenon as related to the size of popular involvement in them: almost as two third of population invested their money on pyramid schemes. At the time of the collapse of the schemes, they had more than 2 million depositors (out of a total population of 3, 5 million).⁸ Different categories of people invested their incomes: emigrants, unemployed farmers, public employees, intellectuals, politicians and foreign diplomats.

Being on top of their expansion during the second half of 1996, the amount of deposits in pyramid schemes was US\$ 1.2 billion, as half as the country's GDP.⁹

¹ C Jarvis, *The Rise and Fall of Albania's Pyramid Schemes*, p. 14, [online] available at: <https://www.imf.org/external/pubs/ft/wp/1999/wp9998.pdf>

² *ibid*, p. 14

³ *ibid*, p. 14

⁴ *ibid*, p. 14

⁵ *ibid*, p. 14

⁶ R Lani, ALBANIA: IMF Warnings Of 'Pyramid' Fraud Fall On Poverty Dulled Ears, [online] available at: <http://www.ipsnews.net/1996/11>

⁷ M Skreb, E Kraft, *Financial crises in South East Europe causes, features and lessons learned*, p 9, [online] available at: <https://www.researchgate.net/publication/254955151>

⁸ C Elbirt, *Albania under the shadow of the pyramids*, [online] available at: http://www.transgallaxy.com/~beo/mlm/albania_org.htm

⁹ P Zogaj, *Transition Institutions 1*, (UET Press, Tirane: 2009) pg 235

The borrowing companies operated in the whole country, but the largest number of deposits came from the southern part of Albania. This is because of the large number of emigrants and their remittances, and also because the southern part is neighbor to Greece and Italy, which opened the doors to contrabandists.

Such high involvement of people can be explained through some reasons:

Albanian people who grew up and were used to the commanded economy had no idea of how private financial institutions worked.

Those who understood the way of pyramid schemes operation, took the risk in multiplying their incomes, just like gambling;

People who were unemployed and had no incomes, those who had very low salaries believed that "the bank cheque" as promised was

appearing and it was their chance to achieve their "dream to become rich, producing money as if in a greenhouse".¹

The huge publicity to the pyramid schemes in written media and TV served as assurance to people against any risks.

Non-response of state against the activity of these companies, made people believe they had the support of the government.

Carlos Elbirt, representative of the World Bank in Albania at that time, argues that "*the public could not believe that a scheme involving every other Albanian family would not be guaranteed by the government. Moreover, pyramid managers were seen at official receptions, and they were interviewed daily by the government-controlled television stations*"². Bezemer expresses the same opinion: "*the frequent appearance of pyramid managers and government officials side by side at public meetings and on television, and the association of pyramid managers with the Democratic Party lent state credibility to the schemes*".³

Causes for the expansion of pyramid schemes

According to Bezemer, "*Ponzi schemes and other financial-market aberrations in the region was no mere idiosyncrasy, but inadvertently fostered by the combination of restrictive monetary policies, a lack of market regulation, large capital inflows, and weak governments*".⁴

The large flourish of informal market in Albania was favored by a series of factors such as: economic environment in 1995-96, legal gap, lack of a consolidated formal market and its institutions, lack of economic culture.

Let us analyze below some of these factors:

Lack of structural reforms in banking sector, insufficiency of formal financial system.

All three state banks tried to keep higher interest rates than inflation rates in the mid 90s, but their issue was not the interest rates, but delays in transfers and other bank transactions. Lack of confidence at state banks made Albanian people to keep large amounts of cash and look for other investment alternatives, "*in the absence of well-developed stock and real estate markets, this induced people and firms to revert to transactions on informal markets*"⁵

The increasing number of bad credits forced banks to establish several criteria in allowing credits and put upper limits while allowing them. The number of loans (credits) from the state banks did not "satisfy" the market demand for credit. Therefore, the private sector addressed to informal market in getting loans.

As far as shortcomings of formal financial market were concerned, the Report from the National Albanian Bank in 1997 pointed out:

¹ Carlos Elbirt, *Albania under the shadow of the pyramids*

² D Bezemer, *Post-Socialist Financial Fragility: The Case of Albania*, p. 11

³ *Ibid*, pg 4

⁴ *Ibid*, pg 8

⁵ Banka e Shqipërisë, *Raporti vjetor 1997*, p. 7, [online] available at:

https://www.bankofalbania.org/web/Raporti_Vjetor_1997_2006_1.php

Inability of the banking system to support the economy with investments. The cost for credits increased largely and the majority of allowed credits turned into non-payable credits. This caused problems for the crediting activity of state banks and brought considerable losses with it.

The relatively low weight of private banks in the Albanian banking system. These banks developed a limited activity concentrated mainly in the capital city. Main tendency of private banks was the intermediation in foreign currency activity.

Lack of an effective and regulated capital market.¹

Large amount of foreign currency in country

Money which was provided through remittances, illegal traffics, savings from fixed incomes, while lacking other investment options, was invested on borrowing companies, which having promised high interest rates, introduced themselves as a better alternative for investment and profit. According to Preç Zogaj (representative of the opposition at that time): *“people who were tired and losing hope, were more and more massively looking for salvation through borrowing lottery”².*

The weak legal systems, political interference in financial sector supervision, and inadequate coordination among supervisory institutions and governments.

In his analysis on the factors affecting the expansion of pyramid schemes, Chris Jarvis points out that after 1996 elections that were considered as manipulated, the power of government was fragile and its willingness to make important decisions was limited, even those decisions against pyramid schemes. In supporting this opinion, Marko Skreb and Evan Kraft argue that *“in Albania during the rise of the pyramid schemes, no one wanted to deal with them. For quite some time they were no one’s problem”³*

Collapse of pyramid schemes

“Sude”, one of the pyramid schemes with the highest interest rates, suspended the payment of installments for its depositors in November and in January 15th she declared that the company bankrupt admitting to be a pyramid scheme. Other firms followed bankrupt afterwards. Presidents of pyramid schemes first “Populli” and “Xhaferri” companies were sent in prison being charged with fraud. The Government took under its control their deposits and declared to distribute them to depositors.

Decline of Gjallica Company, “the elite company” made people aware that all companies were pyramid schemes. Their ending was inevitable; it was just a matter of time.

According to analysts of the Albanian pyramid schemes the main events contributed to the collapse of pyramid schemes in late 1996 and early 1997:

The first was the lifting of sanctions on FR Yugoslavia at the end of 1995. This meant that profitable smuggling activities financed by money from the pyramid schemes began to dry up.

Second, the upcoming parliamentary elections created uncertainty whether the ruling Democratic Party (which actively supported the schemes) would win.

Third, the normal dynamics of pyramid schemes: they always collapse sooner or later. Further, increased competition (new entry) led to the increase of monthly interest rates to 6-10% per month in the first half of 1996.

Attitude of the Albanian Government towards the pyramid schemes

Since the beginning of the transition period in Albania, informal monetary exchange market and money borrowing deposits flourished in Albania and generally was tolerated by the state authorities. *Both authorities and foreign observers, including the IMF, considered the activity of these companies as an opportunity for economic growth, filling the gaps of the banking system.⁴*

¹ P Zogaj, *Intuicionet e tranzicionit 1*, p. 274

² M Skreb, E Kraft, *Financial crises in South East Europe causes, features and lessons learned*, p. 24

³ C Jarvis, *The Rise and Fall of Albania’s Pyramid Schemes*, p. 7

⁴ *Ibid*, p. 10

As mentioned above, some of these companies were registered as legal businesses and some other as foundations, but they were not licensed to run banking activity. However, the existing legal basis was very poor to go against the pyramid schemes, especially on application level. These companies were licensed businesses and operated under the Civil Code, which allowed borrowings from companies. *However, state didn't audit them and these companies did not appear to pay the tax on profit.*¹

In February 22nd, 1996, The Parliament passed the Law "On Banking system in the Republic of Albania" which provided that bank one the one to have the right for accepting family deposits, saving accounts, and deposits with 12 months maturity or less. Through this law, the Governor of the Bank of Albania announced that the borrowing companies' activities were illegal, but the General Prosecutor declared that law was not applied on these companies. The Governor of the Bank of Albania during 1996 informed several times the president and the prime minister about the consequences of these companies' activities, still lacking of an institutional response.

*For political reasons, the government of the Democratic Party and its allies evaded informing the Albanian people about the possible consequences of its "investment" activities on the one hand, and on the other, permitted the "companies" to carry on operating. Regarding the rest of the political forces of the country, they too share part of the responsibility because they were unable to make the ordinary citizen aware of the risks involved with respect to the "Pyramides".*²

The Government did not take measures nor informed the people about the risks, even after the IMF and the Bank of Albania's warnings about the true nature of borrowing companies. Researchers give a few reasons about why this happened:

According to Miranda Vickers, President Berisha did not want people discontent ahead of the local elections in October 1996³

According to Bezemer, the Government and the Democratic Party made profits from the pyramid schemes "*The evidence in the empirical section clearly points to government involvement and officials' profiting from Ponzi growth. In all probability they recognized the destructive impact of Ponzi schemes; but equally probably they had every private disincentive to discourage further growth.*"⁴

According to Preç Zogaj, the activities of pyramid schemes indirectly were the Government's allies, "The Government, being unable to fulfill the people's demands for jobs and minimal salaries, was satisfied that most of them found the solution by themselves"⁵

Faced accusations against the opposition, Preç Zogaj lists the reasons why the political opposition had an unclear attitude on pyramid schemes:

It was not sure that by striking them, the pyramid schemes would close. If that was to happen, the opposition would lose the support of the creditor voters.

Pyramids were a kind of mystery even for the opposition members.

Pyramids were considered the fate of the party in power; they were the disgrace of it.

Some of the opposition members, as citizens, had deposited money in these companies, or were employed in them, therefore were not interested in going against them.⁶

As far as this indifferent attitude of governing institutions is concerned, people blamed the Government after the pyramid schemes collapsed. The fact is supported by the Bank of Albania as well in its 1998 newsletter "*it is already known that*

¹ N Ziogas, *Albanian Crisis*, p. 3, [online] Available at: http://www.hri.org/MFA/thesis/spring97/albanian_crisis.html

² J. Pettifer, M. Vickers, *Çështja shqiptare, riformësimi i Ballkanit*, Bota shqiptare, Tirane, 2007, p.129

³ D Bezemer, *Post-Socialist Financial Fragility: The Case of Albania*, p. 24

⁴ P Zogaj, *Intuicionet e tranzicionit 1*, UET Press, Tiranë, 2009, p. 274

⁵ *Ibid*, pg 275

⁶ Banka e Shqipërisë, *Buletini Ekonomik*, Vellimi 1, Numër 3, 1998, p. 3

*economic regulatory policies are written and applied from the authorities and we are right to say that nothing is done in this aspect.*¹

The Minister of Finances, Ridvan Bode, after the yearly meeting with representatives from the World Bank and IMF in Washington, October 1996, warned people about the risk their deposits were running. The warning did not appeal to Albanian people who continued to deposit their money in the borrowing companies intensely. The Government institutions reacted only when the pyramid schemes gave the first signs of collapse.

In January 26th, 1997 banks accounts for companies Xhaferri and Populli were frozen.

By its own initiative, the Bank of Albania decided to limit daily withdrawals by 30 million Leke.

After Gjallica collapsed, the borrowing activities of all companies were blocked, their accounts were frozen and law on auditing them financially passed.

*The late reaction of the authorities was not only caused by an inadequate legal framework but broadly speaking was a problem of governance i.e. of crisis management. The authorities reacted slowly and weakly. Linkages with highest levels of the government and corruption postponed adequate reaction for some time. This delay not only allowed the schemes to grow but also delayed the seizure of remaining assets, which facilitated asset stripping.*²

Attitude of IMF toward pyramids

In warning about the financial development in country, World Bank in 1994 and IMF in 1995, considered the borrowing companies which invested on their accounts and did not issue credit as an informal crediting market, without realizing that their activity was a pyramid.

During 1996, the World Bank and FMN warned continuously the risk from pyramid schemes, but the Albanian Government turned a deaf ear. A strong warning was made from an expert team from IMF in Albania in August. After their visit in Albania, the IMF mission sent a letter to the Albanian President warning him about the risk of pyramid schemes and the need to undertake immediate measures.

Same warnings came from the World Bank mission during their visit to Albania in September. In October in Washington, during the yearly meeting, IMF and the World Bank repeated their warnings to the Minister of Finances, Mr. Z. Ridvan Bode.

In November 19th, another IMF mission in Albania, through a press conference informed the public opinion about the pyramid schemes asking the Government to investigate the companies.

Nevertheless, the IMF warnings, although it assisted continuously the Albanian institutions, came late as well. This is because of several objective reasons, according to Jarvis:

It was difficult to distinguish between the legitimate informal market, which was and continues to be a benefit to Albania, and the schemes that were set up as investment funds.

The pyramid schemes were basically criminal organizations, and the IMF is not in the business of investigating criminal organizations.

The IMF was hesitant to call publicly for an investigation and for a freezing of assets. It has a responsibility to try to head off major financial crime with a macroeconomic impact, but it also has a responsibility not to recklessly blacken the reputation of companies that may be legitimate.³

Besides these factors, Bezemer adds that IMF monitoring on the economic progress is made only based on macro-economic indicators data, which in Albania's case were stable. *It may have been the particular way of monitoring the economy, with excessive attention to macro-economic (particularly monetary) indicators, which misled observers. It was shown for the Albanian case how Ponzi growth may leave macro-economic figures unaffected. In this respect, Albania is*

¹ M Skreb, E Kraft, *Financial crises in South East Europe causes, features and lessons learned*, p. 10

² IMF Survey, Volume 28, Nr 21, November 1999, pp. 15 – 16, [online] available at: <https://www.imf.org>

³ D Bezemer, *Post-Socialist Financial Fragility: The Case of Albania*, p. 28

again extreme but not unique. If economic performance is monitored exclusively through observation of the macro-economic variables, the development of fragile financial markets may go unnoticed.¹

After the crisis emerged from the collapse of pyramid schemes, IMF offered its assistance to the Albanian government in order to overcome the financial effects caused by the pyramid schemes activity.

Effects of the activity and collapse of pyramid schemes

Activities of pyramid schemes brought many consequences both when they were operating and after they collapsed.

The effects of the activity of pyramid schemes:

On social aspect, they fed passivity, lack of willingness to work, reduction of workforce. While average salaries did not exceed \$70 a month, people were attracted to higher incomes the pyramid schemes provided²

On economic aspect, they set back investments on economy, high interests of rental companies made people to want to deposit their savings and not invest them. *"Ponzi schemes immobilize money that could have been used (more) productively. In the extreme, capital inflows in a Ponzi-dominated economy have no effect on welfare, but merely increase the amount of money in circulation, driving up nominal wages and prices at constant real incomes"*³. Whereas, the investing activity of these companies was almost nil, something that paralyzed the economy entirely, reducing its productive activity.

On banking aspect, they destroyed the savings. Banking situation became worse on one hand, because of deposit decline and "bank resources were on the minimal and lowest levels, since banks should fulfill the considerable demands of people for cash"⁴. On the other hand, the pyramid activity interfered with the Bank of Albania's inspection of monetary situation, allowing a lot of money to move outside banking channels.

Because of the high amount of money in circulation, the price of consumer goods increased although there was no increase of macro-economic indicators. A 12-month increase of Consumer Price Index, reached at 17.4, according to the Bank of Albania.⁵

Collapse of pyramid schemes affected worse the Albanian economy and society:

According to the Bank of Albania Report, the effect pyramid schemes on economic aspect was:

They set back the production activity since the beginning of the year until it ceased during 1997. General insecurity and downfalls brought about the production set-back, decline of investments and commerce, etc.

They brought about a considerable increase of prices. From 17.4% during 1996, the level of prices went up more than twice reaching at 42.1%.

Budget deficit increased, mainly during the first half of the year. Because of the lack of Cash liquidity in second-level banks and inactivity of state finances, the deficit was financed entirely by the Bank of Albania. Whereas, during the second half of the year, since customs and other financial links were put into function, the level of incomes increased. The policy applied by the Bank of Albania related to interest levels, the short-term especially, increased the deposits in Leke in public banks which were the main funders for the budget deficit.

They deepened the trade deficit and the current deficit. Total lack of exports during the first six months of 1997, reduced the foreign exchange resources. On the other hand, national currency was depreciated further at 44.6% .

People's loss of confidence at formal financial market and distrust in investing their money in this market. During the first half of 1997. Number of current deposits in banks declined both in Leke and foreign currency. As a result of such withdrawal there is an increase of money outside banks by 29.8 billion Leke. This fact showed a considerable lack of liquidity in commercial banks.⁶ (Table 2)

¹ Ibid, pg 11

² Ibid, pg 14

³ Banka e Shqiperise, Raporti vjetor 1997, p.11

⁴ Banka e Shqiperise, Raporti vjetor 1996, p. 9

⁵ Banka e Shqiperise, Raporti vjetor 199, p. 7 – 8

⁶ J Pettifer, M Vickers, *Çështja Shqiptare, riformësimi i Ballkanit*, p. 129

In social aspect, after the pyramid schemes collapsed, chaos and anarchy took hold of the country until the first half of 1997.

In January 1997 people's revolts began in the country, who blamed the government for losing their money. Firstly, they began in Lushnja, Berat, Vlora and later in all the Southern part of Albania, whose inhabitants had lost big sums of money in the pyramid schemes. Revolts became violent and violence started to increase in a scary way. The Southern part of Albania was out of state control. The state started to "break down" within few days. The revolted people set the buildings of state institutions on fire; they blocked national roads, opened the food depots.

Meanwhile, apathy dominated in Tirana. The popularity of the government had decreased. Government's institutions were not able to take actions that could calm people's anger. The forces of the Albanian Intelligence Service (SHIK) were used at the beginning of the protests to preserve order.

The opposition tried to use people's anger for its political purposes. The opposing press was full of bombastic titles that legitimized the people's anger and stimulated the anti-Berisha movement. Many representatives of the opposing parties participated in the civic protests in the South of the country. The government accused the opposition of stimulating violence and of supporting the criminal acts of the protesters. On 30 January, the opposing parties together with the association of the former political prisoners created the Forum for Democracy, an anti-governmental alliance that tried to channel the movement into institutional ways. But in fact, now three poles were created: the government, which wanted to keep the power by all means; the opposition, which wanted to take the power by using all means, and the crowd, which wanted to use its anger and did not care about the fate of the political elite in Tirana.

The revolted persons in the South of the country opened the ammunitions warehouses and were armed "*to protect themselves from the forces of Berisha, who were sent to kill them*", as they said in interviews given for foreign correspondents. With the opening of prisons, armed dangerous criminals moved freely in Albania. Crime increase at a scary level; violence became uncontrollable, fear for life became the biggest anxiety for simple citizens, economic activity was paralyzed. The number of murders increased every day. Miranda Vickers talks about more than 1700¹ cases of murder during the revolts of 1997; meanwhile, there were no official sources for the number of murders. Chaos and anarchy dominated in the whole country.

"Salvation Committees" were created in the Southern part of Albania with civic representatives and often from the group of "the strong ones" (groups that carried out illegal and criminal activities, even before the beginning of revolts), with the purpose to control the situation in the absence of the local governmental institutions. The people's revolt did not have any specific action philosophy, but its only purpose was to remove Berisha from power. This was made clear in their appeals, in which they compared Berisha with moneylenders, they accused him of the violence that was used against them and they used offending words against him.

President Berisha and the government made the preservation of order the first priority, but when this became impossible, Prime Minister Aleksandër Meksi asked in parliament to declare the state of emergency. In his speech in parliament, the Prime Minister said that considering the actual situation and the fact that the state cannot control the situation with peaceful means, this is the only way to guarantee the lives of citizens and their economic and social activity. The emergency state was declared on 2 March. The law on the emergency state was criticized by the international factor. On the other hand, the law gave the government the right to rule with decrees and to use the military against its opponents. For this reason, active representatives of the opposition felt threatened by the actions that could be taken against them. After that, collaboration between the crowd and the political opposition intensified.

In this political and social state of confusion, a day later, on 3 March, Berisha was confirmed President from the Parliament. This increased people's anger even more, and they wanted the resignation of Berisha. Opposition forces asked the President to reach a political agreement. A meeting was held between the President and representatives of the Forum for Democracy on 6 March, but it failed. The agreement could be reached few days later only with the intervention of the international community.

¹ B Fino, *Humnerë '97*, Edisud, Tiranë, 2007, p. 35

The international factor started worrying more and more about the events in Albania and for the direction they were taking. International institutions called upon the Albanian political class for caution and cooperation in order to find a solution to the benefit of Albania and Albanians. When they say that their warnings were falling on deaf ears, the OSCE decided to send its representative Franz Vranitzky in Tirana to mediate talks between the political forces in the country. It was precisely with his mediation that the Albanian political forces managed to sign an agreement on 9 March. Based on the agreement reached, the government of Aleksander Meksi resigned and a coalition government was created with a broad political spectrum, which would govern the country until the formation of the new government after the early parliamentary elections on 29 June of that year.

Bashkim Fino was elected Prime Minister of the National Reconciliation government. The main task of the government was to preserve peace and order, and to hold elections. In Albania's actual situation these two tasks seemed an "impossible mission". In his book "97 abyss", Prime Minister Bashkim Fino writes about his first days as Prime Minister: "*When I think about those times, I can say – a mediator between the angel and the devil.*"¹

Although the situation continued to remain tense and chaotic, some improvements were noticed after the creation of the government. The Salvation Committees began to recognize the authority of the government. They began a campaign to start discussions with the population, and they asked the assistance of the international community, which sent Alba Mission in Albania. This program was run by Italians, who would help to restore order and distribute humanitarian aid to the population.

The organization of elections was considered an opportunity to pull the country out of the crisis, but everyone was aware that holding free and democratic elections at a time when the population was armed would be difficult. The election campaign was organized in a hostile environment. Both sides accused each other of the crisis created in the country. The Election Day was generally calm, and considering the present situation, and the level of participation was high. Nevertheless, the level of tension was high and incidents were numerous.

Despite the problems, OSCE-ODIHR assessed elections as acceptable. The election result was a severe shock to the Democratic Party, which faced its biggest loss. Socialists came to power and formed a government headed by Fatos Nano. The government had to restore the state, the confidence of the people; it had to establish peace and order, disarm the population; in other words, it had to heal the financial, political, social and institutional wounds of the crisis

Conclusions

Companies which resulted in pyramid schemes were established and expanded in Albania during 1991 – 1997. They are a special case in Europe because of their expanding size; the amount of deposits in pyramid schemes was US\$1, 2 billion and number of depositors was 2 million. Factors which affected their establishment and expansion are both economic and political. Important factors are: poor public institutions, lack of structural reforms in banking system, insufficiency of a formal financial system.

Since archives lack documentation, it is difficult today to certify the state involvement in the activity of pyramid schemes; yet it is undeniable the fact that the indifferent attitude of state towards the pyramid schemes encouraged their expansion. Government did not take legal measures in time so as to protect the citizens from financial fraud. Undoubtedly, it was the job of state institutions.

Activity of pyramid schemes affected the economic and social life of the country, but their collapse brought about fatal consequences in economy, politics and society; they set back production activity, increased the budget deficit, deepened trade and current deficit, affected people's confidence at formal financial market, brought about the social anarchy in 1997, Government's failure, paralyzed the public institutions and early elections.

¹ Data was provided from the World Bank database, [online] available at:
<http://dataworldbank.org/indicator/NY.GDP.PCAP.CD/countries>

Table 1. Macroeconomic indicators 1991 - 1996¹

| Year | 1991 | 1992 | 1993 | 1994 | 1995 | 1996 |
|--------------------|-------|-------|-------|------|------|------|
| Incomes for capita | 346 | 217 | 381 | 625 | 772 | 968 |
| GDP increase(in %) | -29.6 | -7.2 | 9.6 | - | 13.3 | 9.1 |
| Inflation | 38.6 | 249.7 | 114.8 | 38.4 | 5.6 | 28.4 |

Table 2. Macro-economic indicators 1997(annual average in %)²

| Indicators | Amount |
|---------------------------------|--------|
| Real increase of GDP(in %) | -7.0 |
| Current account deficit (% GDP) | -12.1 |
| Fiscal deficit (% GDP) | -12.9 |
| Increase of GDP (in %) | -10.2 |
| Inflation | 13.9 |

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¹ Banka e Shqiperise, Raporti vjetor 1997, p. 7 – 8

² The expectation model that is described here are not as obstructive as accounted by (Elton, Gruber, Brown, & Goetzmann, 2009) and (Chordia & Swaminathan, 2000) that found risk premia constant at zero.

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Renewable Energy - a Great Energizing Potential that Eliminates Environmental Pollution

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Abstract

Renewable energy, efficiency energy, green industries and the development of the green economy are generally attracting attention all over the world. Albania needs investments for this type of energy, given that, in the 21st century, is still unable to fulfill the minimum needs of energy. The aim of this study was to identify the use of solar panels in the Kombinat area by completing a questionnaire. Residents of this area who were equipped with a solar panel are asked about how they used and the benefits that they have from the solar panel, indicating that warm water is widely used in their home. Another purpose of this study was to inform the residents of this area about the economic and environmental benefits to use the solar panels. Interviewers are asked what kind of energy use to heat their homes. Arguments have been that most of them use electricity then gas. They also use woods in chimneys or stoves more over most of them said that they save 30% of the previous amount of the electricity bill. We also informed and aware the public about the negative impacts in the environment, agriculture and the economy of the country from the use of non-renewable energy. Sun light energy is absolutely free and can be utilized by all without exception and keep the environment clean during use and is also controllable by humans.

Keywords: solar panel, renewable energy, Kombinat, questionnaire, benefits.

1. Introduction

The purpose of this study was assessing the potentials of solar energy as an alternative source of energy for the conditions of Albania. This data (to have a general overview about solar panels) are collected at the Kombinat / Tirana area. Investments in solar photovoltaic capacities produced globally are growing rapidly, roughly sevenfold in the last decade (Sawin, 2008). Solar production has been a reliable source for power supply. Many Americans view solar energy as an environmentally friendly substitute for traditional energy sources. If solar power is not reliable, it is illogical to mandate its use and to invest billions of tax dollars in it (U.S. EIA., 2015). On a long-term view, the use of solar water heaters will significantly reduce greenhouse gas emissions, CO₂ in the atmosphere as one of the main causes of global warming and will contribute to mitigating it (Ecoinvent Centre, 2007). The Intergovernmental Panel of Climate Change (IPCC) considers sulfur hexafluoride to be the most potent greenhouse gas per molecule; one ton of sulfur hexafluoride has a greenhouse effect equivalent to that of 25,000 tons of CO₂ (Alsema *et al.*, 1996). To identify the environmental impacts due to the large-scale solar installation and operation we have reviewed scientific literature and have found approximately 32 impacts, which are divided into the sections: land use, human health and well-being, wildlife and habitats, geohydroelectric resources, climate and greenhouse gases (US-EIA 2010).

Albania, according to experts, has considerable potential to develop its renewable energy sources, particularly in solar energy. Albania is a special case, because about 10-13% of the total primary energy source (TPES), including imports, is provided by biomass, especially by firewood (ECS, 2013). By comparing the global renewable energy consumption over the last 15 years, the changes are quite noticeable. Although the global energy transition towards a cleaner power generation is not progressing at the right place, it should definitely be stimulated.

The production of renewable energy in Europe during 2005 was 20.1%, in 2010 this percentage changed to 25.7%. While in 2015 energy production fall to 34.2% in different regions of Europe. These changes are good signs of replacing electricity with renewable energy (IEA, 2013).

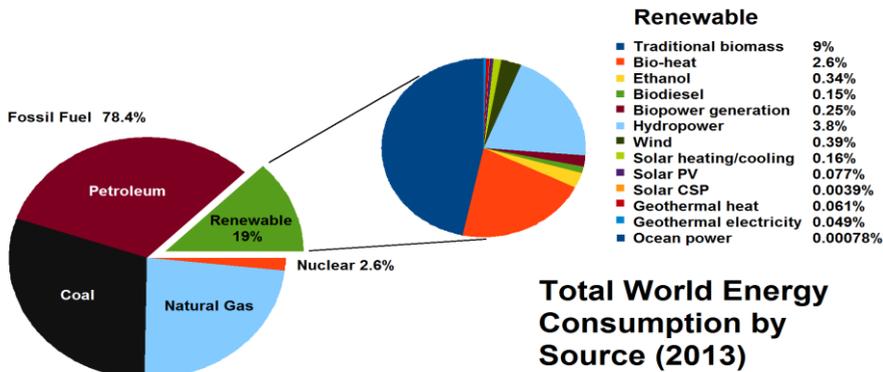


Figure 1. Total World Energy Consumption, (IEA, 2013)

Global capacity has replaced solar energy in exponential growth, reaching 227 GWe by the end of 2015, producing 1% of all electricity globally used. Large solar installations have been in the regions with relatively less solar resources (Europe and China), while potentials in high resource regions (Africa and the Middle East) remain untapped. China has led PV capacity installations over the last decade and continues as a leader, followed by Germany, Japan, Italy and the United States (REN21, 2016).

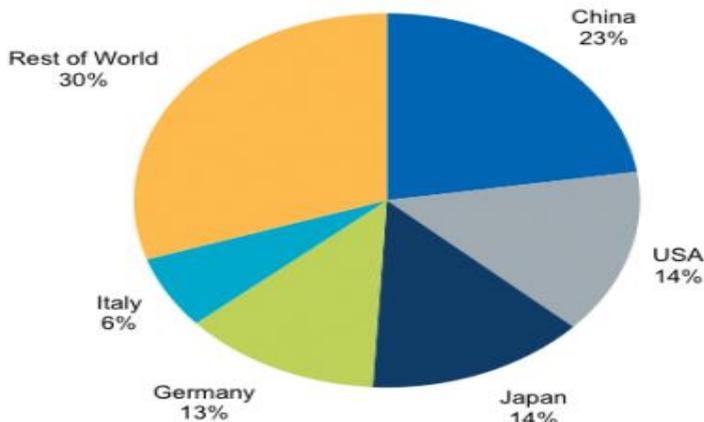


Figure 2. Cumulative Global PV installations 2016. (C.I.I., 2016).

In Tirana dominates a sub-tropical - Mediterranean climate with winter sludge and average annual temperature in July + 24 ° C and in January + 7 ° C. In the year falls 1 189 mm rain (AIDA, 2016). These temperatures are quite optimal and favor perfectly the use of solar energy by placing solar panel dwellings.

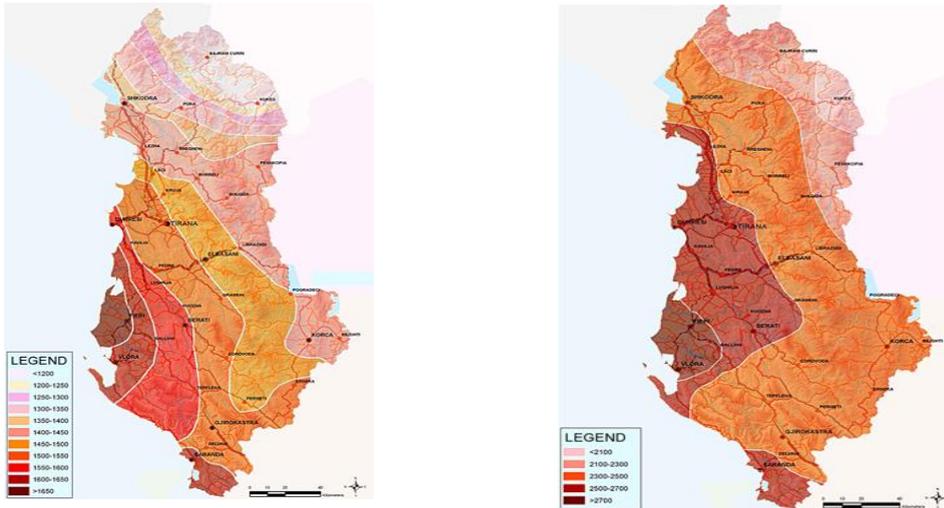


Figure 3. [1] Average Annual Radiation (kwh/m²), [2] Territorial Distribution of Sunny Hours.

(A.K.B.N)

These panels make it possible to heat water which can be used in many different forms. Also, it can be used to heat the indoor environment (through boilers). In May 2013, the Albanian parliament adopted a new Law on Renewable Energy Sources, making electricity produced from wind, solar, geothermal and biomass eligible for a feed-in tariff. It is important to note that the development of solar energy and large-scale use has a great influence on the environment, connected not only to energy, but also to water and land. For example, in Europe, 20-20-20 legislation normatives European countries to reach a share of 20% of renewable sources in total final energy consumption by 2020 (WERS, 2016). The installation of solar panels at home and business in Albania is constantly increasing.

According to INSTAT, (2014) the import of solar panels reached 379 million Albanian lek, an increase of 129% compared to the previous year, although their use remains low in relation to the great potential they have. Various companies have expressed interest and have submitted to the Ministry, the application for construction of a photovoltaic park for the production of energy from renewable sources in different areas of Albania. One of these projects is designed in the Plug, Lushnja Municipality with a capacity of 2 MW, on an area of about 2 hectares, with an investment value of about 1 million euros (Energy.al, 2016). Albanian General Electricity SH.A. (AGE, 2016) and A.E. Distribution sh.pk, applied to build a photovoltaic park in the area of Topoje in the Municipality of Fier with an investment value of 2 million euros. In August 2016, the company "Novoselë Photovoltaic Power Plant" has requested a prior authorization from the Ministry of Energy to build a photovoltaic park aimed at producing electricity from solar radiation. The park is planned to be built in the Novosela area in Vlora. Sun and Wind Energy Corporation (2016) applied to the Ministry of Energy for the construction of two wind and sun energy production parks counting in total 45 million euros in the Pilur area in the Municipality of Himara with an investment value of about 27 million euros.

2. Material and Methods

The study focuses on identifying the main categories of energy users (namely, potential market), using primary solar energy sources by means of panels to be used in indoor environments but also the use of other types of energy (electrical, wood fire, gas, coal etc.).

The assessment of the study covered various categories such as public buildings, health centers, offices, cultural services, schools, commercial buildings such as small supermarkets, and tourist facilities such as hotels, restaurants, agricultural facilities (greenhouses, storage) as well as other types of agro-industrial companies. This assessment was made by completing a questionnaire in the Kombinat area (Tirana) during the period May-April 2017. The questionnaire was in a draft form and interviews on various questions to get more information on how to use other types of energy (electricity, firewood, gas, coal etc), use of solar panels, the benefits they have and so on.



Albanian map

(2) Kombinati map

Figure 4. Area taken in study

3. Results and Discussion

Climate change has resulted in irregular rainfall for Albania, longer and drier summers and less snowfall in the mountains (Bruçi, 2008). The use of energy has increased as a result of the numerous buildings and the number of electrical appliances which are expected to increase too.

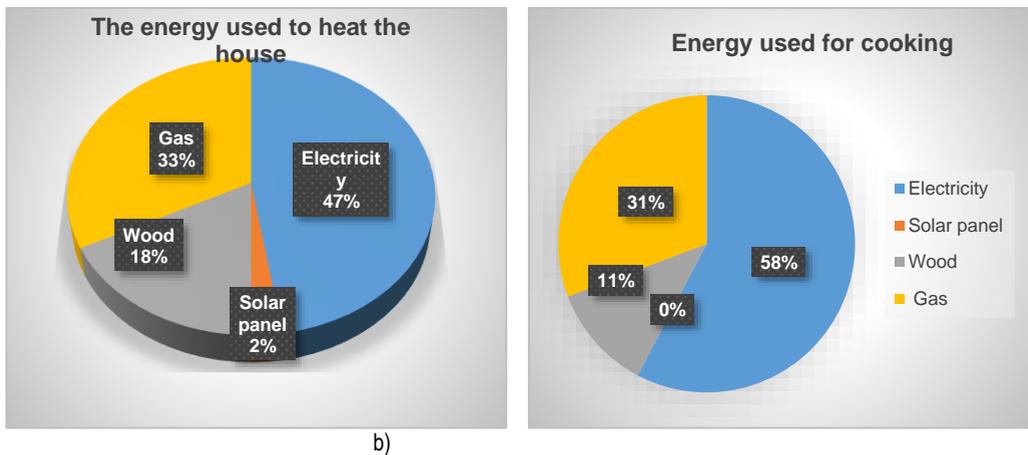


Figure 5. Types of energies used a) to heat the house b) for cooking

The Figure 5 a) Interviewers were asked what type of energy they use to heat water in their homes. From the interviews feedback, hotel businesses have declared they would like to use solar panels for central heating, but this was not realized due to the high cost and the management developed so far. Also there are families who use more than two sources causing pollution to the environment. At Figure 5 b) is showing that residents use more electricity and gas than wood for cooking. In this area we have a shortage of using solar panels in the form of electricity.

In Figure 6, 33% households use electricity and gas, and 60% of them use solar panels to heat the water which it is used for bathing. In fact we are focused on those families who are equipped with the solar panel therefore the number of users is significant. On the other side there are families who use this source in alternate maner.

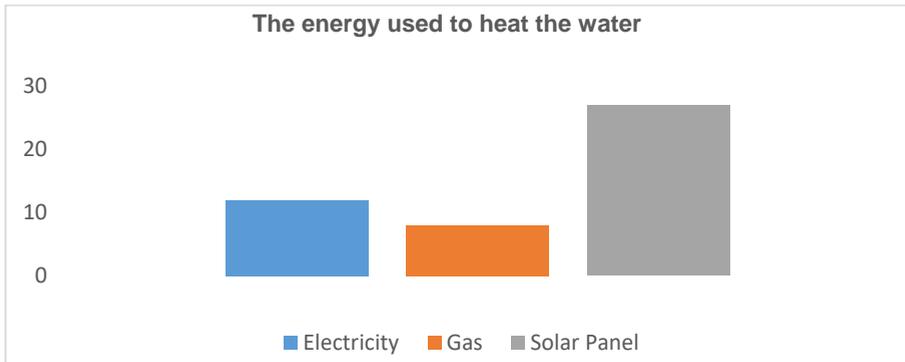


Figure 6. Types of energies used to heat the water

Most of them said that they saved about 30% of the previous of electricity bill. The average on the basis of the calculations was 7-8 thousand Albanian lek per month. We can emphasize that higher value savings have been made by restaurants and hotels that have a greater use of water quantity.

4. Conclusion

Albania needs to make voluntary commitments because not only developed countries that have historic responsibility for global warming and climate change, but also the developing countries need to be active. Energy obtained from solar panels keeps the environment clean and contributes to the elimination of carbon dioxide, nitrogen oxides, sulfur dioxide, and other pollutants that can be caused by the debris generated during the local service.

Also, it is economically affordable and manageable by people. Albanian has a perfect geographic position and climate conditions which favors the installation of solar panels in every home, institutions and businesses. According to the questionnaire, the people were pronounced that they have saved almost 30% of the previous total electricity bill.

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The Impact on Unemployment of Social Security Contributions: the Empirical Analysis in Turkey

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Abstract

Social security contributions are important public incomes after taxes in OECD countries. Beside, social security contributions as a mean of the finance of social security system is a determiner on the main macroeconomic factors such as savings, employment, the cost of employment, the level of shadow economy, economic growth, competitiveness and income inequality. Employment has been important policy goals in Turkey like many OECD countries during recent decades. High unemployment rate is a serious problem for countries. Effecting negatively labor market, high burden of social security contributions causes low level of employment. The aim of this study is to find the relationship between social security contributions and unemployment for Turkey. Therefore, we can evaluate whether reducing social security contributions is a way reducing of unemployment or not. We use time series data during period 1965-2015. The research methodology is based on an analysis of indicators as unemployment rate, social security contributions as percentage of GDPs, the percentage of total tax revenues. Unit root test is non-stationary for social security contributions. On the other hand, unemployment is stationary for related period. The long run relationship between variables was tested by ARDL bound test approach. Based on the sample results, there is a long run cointegration between social security contributions and unemployment rate (both as percentage of GDP and percentage of taxation).

Keywords: *Social security contributions, unemployment, employment, labor market.*

1. Introduction

Social security services make an important contribution to the welfare of individuals. Many countries finance social security system which provides social services such as pensions and disability insurance, health insurance, unemployment benefits with social security contributions. Social security contributions are shared partly by employee, employer and partly self-employed persons. Therefore, the burden of social security contribution is shared between employer and employee. Contributions depend on employees' earnings. Contribution rates are generally flat rate. Social security contributions can't be seen not only a tool of finance but also they are elements which impact on the main macroeconomic factors such as employment, the cost of employment, savings, shadow economy, economic growth and competitiveness. The subject of this study is related to the effects of these contributions on unemployment. Unemployment is a crucial problem in many countries. Turkey has high unemployment rate issue, too. In recent years, it has been thought that growing burden of social security contributions has been made responsible for high unemployment rate. Knowing the extent of participation of high social security contributions in the unemployment, we will be given an opportunity for struggle against unemployment. This paper contributes to the empirical literature concerning the relationship between social security contributions and unemployment.

The paper is organized as follows: Section 2 explains the effects of social security contributions on demand and supply of labor. In the third section, previous literature is given. In following section, the relationship between social security contributions and unemployment as sample countries Turkey. Section 4 describes the data and the identification to estimate model. The last section concludes with a discussion of the implications of empirical results.

2. The Effects of Social Security Contributions on Demand and Supply of Labor

The equilibrium of the labor market requires that the marginal cost of work is equal to its marginal product (Cuesta and Olivera, 2014:1121). Social security contributions can shape registered employment in a country. High social security

contributions paid by employers and employees can negatively effect on demand and supply of labor. Since high social security contributions increase the cost of employment for employers, employers reduce their demand of labor. The supply of labor is declined by employees. As result, unemployment level will be increased. Shadow economy begins to spread in all economy (Arandarenko and Vukojevic, 2008; Schneider, 2012; Stankevicius and Vasiliauskaitė, 2014; Antón, 2014; Gankova – Ivanova, 2015; Binay, 2015). Second is illegal. Employers and employees differ to react to social security contributions. Social security contributions are seen like tax by employers. The reaction of employers depends on the incidence of social security burden. While employees pay these contributions, they establish a link between social security contributions and future benefits (Summers, 1989; Iturbe-Ormaetxe, 2015:741; Gustman and Steinmeier, 2005). Liebman, Luttmner and Seif (2009) investigated this link from point view of marginal Social Security benefits that include retirement age, hours, and labor earnings on labor supply. According to their empirical findings, individuals are incentive to retire that effective marginal social security contributions are high. Generally, social security contributions paid by employees can lead to a decline in their disposable income and in purchasing power in long run. Summary, the labor market response to high social security contributions can be negative. Therefore, a reduction the high social security contribution rates is accepted both in the policy arena and in the economics profession (Steiner, 1996:2). Governments are conducted to decrease social security contributions to promote labor formality and thus provide a larger employment of the population (Antón, 2014:1). When the effects of social security contributions are analyzed, some factors must be taken into account: the elasticity of labor demand and supply, the worker's valuation of the social security benefits, the presence of a binding minimum wage; and the bargaining power of workers in the labor market (Antón, 2014:2).

3. Previous Literature

In literature, the empirical studies of the effects of social security contributions on employment are most related to two streams. The first follows:

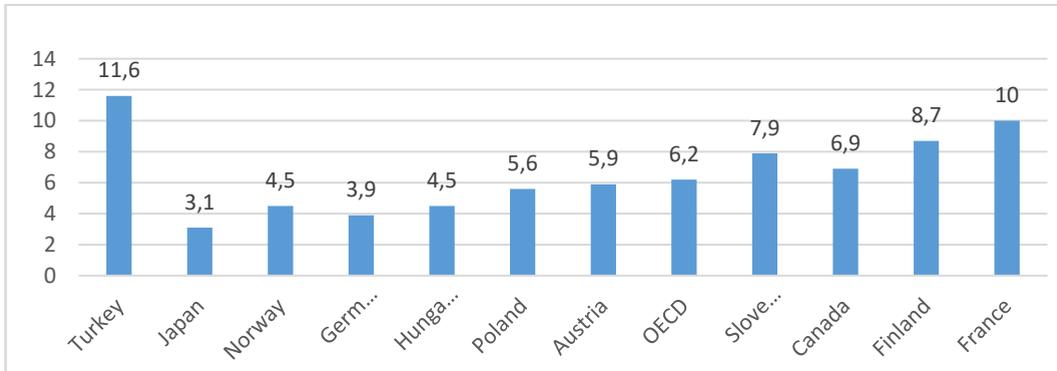
Natzmer (1987) suggested that social security contributions have affected negative on economic activities. Dewatripont et al. (1991) reached the result that a cut of social security contributions on unemployment level depends on type of tax. Financing with higher value added tax rate increases in question affect. Steiner (1996) investigated a reduction of the social security contribution rates are financed by increasing indirect taxes on employment for Germany. The result is a positive employment effect of reducing social security contribution rates in short-run, but modest effects remain due to higher wages in long-run. Daveri et al. (2000) found that labor taxes have a significant negative impact of on employment for EU countries. Buscher et al. (2001) analyzed employment effects of the cut in the contribution rate for a number of countries by using macroeconomic models. In study, it is claimed that a cut of social security contributions rate is financed by indirect taxes, in order not to let budget deficit. Bailey (2001) presented some strategies which are changes in the structure of social security, attitudinal changes by employers, employees and government, administrative changes, and solving macroeconomic problems (unemployment, inflation) to reduce contribution evasion in his study. Adjemian et al (2008) analyzed that the long run unemployment can be affected by the frictions in the labor market. Kunze and Schuppert (2010) suggested if cutting social security contributions rate is compensated by increase of capital income taxes, unemployment will be reduced. Antón (2014) investigated the effects of significant decrease in social security contributions in Colombia on labor markets. According to finding, formal employment was increased between 3.4 and 3.7 percent. Binay (2015) analyzed the relationship between total social security contributions and the rate of social security contribution from point view of Laffer curve for Turkey during 2008- 2012. He found that Laffer curve was validated in a statistically significant.

There are a few evidences for second stream. Gruber (1994) did not find any evidence the effect of mandated benefits on employment in the U.S. According to Cruces et al. (2010), any change in social security contributions and other labor taxes does not effect on employment in Argentina.

4. The Relationship between the Social Security Contributions and Unemployment in Turkey

Employment rate by age group indicates difference cross-country. Turkey had the lowest ratio of 33 % in 2016 for aged 55-64, whereas Iceland had a ratio of 83.7%, the highest in the OECD in 2016 (OECD date base). This indicator shows us unemployment issue for Turkey. On the other word, Turkey is under pressure from high unemployment rate. As seen Table 1, Turkey unemployment rate has hit across countries. Turkey had the 4th highest unemployment rate the 36 OECD member countries in 2016. Unemployment comes from high cost of labor. Despite of many reasons, social security contributions paid by employers is one of the main causes of high cost of labor.

Table 1. Unemployment rate in some OECD Countries in 2016

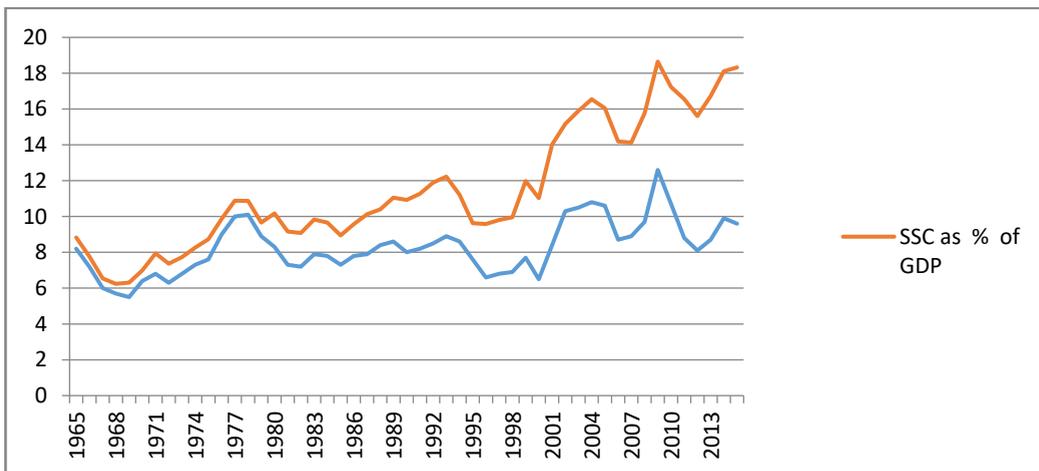


Source: OECD Date Base.

Turkish social security services were presented by three different administrations before the social security reform in the 2000s. Then, three administrations were consolidated as one government authority which is called the Social Security Administration. Social security contributions rate is an important issue because of widespread unemployment in Turkey. It can be observed a dramatic change after 2000's. Figure 1 indicates both unemployment rate and social security contributions as percentage of GDP occupied the highest level in 2009. Unemployment rate rose from % 8 in 1990 to % 9.6 in 2015. As similarly, the share of social security contributions in GDP raised 2.928 in 1990 to 8.207 in 2015.

Based on these indicators, it can be said that high social security contributions causes unemployment in Turkey.

Figure 1 Unemployment Rate and Social Security Contributions as percentage of GDP in Turkey



5. Data and Methodology

Data including social security contributions (SSC) and unemployment rate (UNEMP_t) series were gathered from the OECD and TUIK database for period 1965-2015. Social security contributions (SSC) were measured as the percentage of both gross domestic product (SSC_GDP_t) and tax revenues (SSC_TXT_t).

As methodology, this research steps are as follows: Time series unit root tests were performed: Augmented Dickey Fuller, Phillips-Perron test, and KPSS tests.

Time series cointegration tests were performed,
Long-run and short-run models were performed,
and at last most proper model was selected.

First step is determines stationary levels of relevant variables. In our study, it is used Dickey-Fuller (DF) (1979) test which is one of unit root test.

$$\Delta y_t = \mu + \beta t + \delta y_{t-1} + \sum_{j=1}^k \alpha_j \Delta y_{t-j} + \varepsilon_t \quad (1)$$

If $\delta = 0$, the y_t series is non-stationary or has a unit root. In equation (1), lagged values of depended variables are added into the model for white noise of error term. For this reason, this test is called Augmented Dickey Fuller (ADF) test. The optimal k is determined by Akaike info Criteria (AIC) and Schwarz info Criteria (SIC) (Ng and Perron, 1995). Dickey and Fuller (1979) show that under the null hypothesis of a unit root, test statistic of δ does not follow the conventional Student's t -distribution and they derive asymptotic results and simulate tau critical values for various test and sample sizes.

The one of the most used unit root test is Phillips-Perron (PP) test. Phillips and Perron (1988) propose an alternative (nonparametric) method of controlling for serial correlation when testing for a unit root. The PP method estimates the non-augmented DF test equation (1). Therefore, Phillips and Perron (1988) add a correction term on Dickey-Fuller (1979) equation. That is

CF

$$Z_\alpha = T(\hat{\phi}_1 - 1) - CF \quad (2)$$

Where, CF is correction term and calculates as follows:

$$CF = \frac{0.5(s_{T\ell}^2 - s_\varepsilon^2)}{\sum_{t=2}^T (y_{t-1} - \bar{y}_{-1})^2 / T^2} \quad (3)$$

Where, s_ε^2 is long-run variance. Lastly, PP (1988) test is calculated as follows:

$$Z_\tau = \left(\sum_{t=2}^T y_{t-1}^2 \right)^{1/2} \frac{(\hat{\phi}_1 - 1)}{s_{T\ell}} - (1/2) \left[\frac{(s_{T\ell}^2 - s_\varepsilon^2)}{s_{T\ell}^2 \left(T^{-2} \sum_{t=2}^T y_{t-1}^2 \right)^{1/2}} \right] \quad (4)$$

Andrews (1991) shows optimal ℓ is $\ell = o(T^{1/3})$ for lags parameter consistency. Schwert (1989) revealed, if size distortion is corrected in PP test, PP test is the more powerful than DK test.

While the null hypothesis is non-stationary of the series in ADF (1979) and PP (1988) unit root tests, alternative hypothesis series is the stationary of the time series. However, in new unit root test which has been developed by Kwiatkowski, Phillips, Schmidt and Shin (KPSS) (1992), the null hypothesis series is stationary. Alternative hypothesis series is non-stationary.

That is, hypothesis in KPSS test is different from ASF and PP Tests. In framework above explained, it can be said that KPSS (1992) test is the more powerful than previous unit root tests.

In KPSS (1992) test, firstly deterministic components of series are removed. KPSS test model as follows:

$$y_t = \beta t + w_t + \varepsilon_t \quad (5)$$

$$w_t = w_{t-1} + u_t \quad (6)$$

Where, w_t is random walk process, t is deterministic trend, ε_t is stationary errors and u_t is $iid(0, \sigma_\varepsilon^2)$. KPSS LM test statistics calculated as follows:

$$LM = \frac{\sum_{t=1}^T S_t^2}{s^2(\ell)} \quad (7)$$

Where, $s^2(\ell) = T^{-1} \sum_{t=1}^T e_t^2 + 2T^{-1} \sum_{s=1}^{\ell} w(s, \ell) \sum_{t=s+1}^T e_t e_{t-s}$ and square root number of observation ($\ell = o(T^{1/2})$) is used for consistent estimation of $s^2(\ell)$.

After determined stationary of the series, it can be used Autoregressive Distributed Lag (ARDL) model for testing long run relationship of the variables. An ARDL is a least squares regression containing lags of the dependant and explanatory variables. If we found mixed stationary levels of series, Johansen (1988) co-integration test cannot be used for determining of long run relationships of the variables. In this case ARDL model is used, which is developed Pesaran et al. (2001). The main advantage of ARDL model can be used in mixed stationary levels of series. The ARDL bound co-integration test model can be shown as follows:

$$\Delta UNEMP_t = \alpha + \sum_{j=1}^m \beta_{1j} \Delta UNEMP_{t-j} + \sum_{j=0}^n \beta_{2j} \Delta SSC_{t-j} + \delta_1 UNEMP_{t-1} + \delta_2 SSC_{t-1} + \varepsilon_t \quad (8)$$

Where $\varepsilon_t \sim iid(0, \sigma_\varepsilon^2)$ is white noise (WN) process. After estimating Equation (8), it is necessary to perform the ARDL boundary test to determine whether there is a long-term relationship between the variables. The boundary test is carried out under the following hypotheses:

$$H_0 : \delta_1 = \delta_2 = 0$$

$$H_1 : \delta_1 \neq \delta_2 \neq 0$$

(9)

If the null hypothesis is rejected, it is reached that there is a long-term relationship between the variables. If the null hypothesis is non-rejected, there is no long-term relationship between the variables. When there is co-integration between the variables, long term and short-term relationships can be estimated.

$$UNEMP_t = \alpha_0 + \sum_{j=1}^m \alpha_{1j} UNEMP_{t-j} + \sum_{j=0}^n \alpha_{2j} SSC_{t-j} + \varepsilon_t \quad (10)$$

The model is known as ARDL (m, n) model. Lag lengths (m, n) are determined using information criteria such as AIC, SIC, HQ. After the model is estimated, if the model is diagnostically tested and is suitable, the Error Correction Model (ECM) is estimated as follows:

$$\Delta UNEMP_t = \alpha_0 + \sum_{j=1}^m \gamma_{1j} \Delta UNEMP_{t-j} + \sum_{j=0}^n \gamma_{2j} \Delta SSC_{t-j} + \gamma_3 ECT_{t-1} + \varepsilon_t \quad (11)$$

Where γ_3 is the parameter of Error Correction Term (ECT_{t-1}). It is expected that this parameter will be estimated between $-1 < \gamma_3 < 0$ and statistically significant.

6. Empirical Results

The first part of this result is to investigate the stationary properties of the variables. The first step in unit root tests is to determine the appropriate model structure and the number of lag lengths for each series. For this purpose, we have carried out strategic tests with the intercept and trend model to none (no intercept and trend) model for each of the series. The more appropriate model for the $UNEMP_t$ and SSC_t in text series is intercept and trend model. But for SSC_t as percentage of GDP, appropriate model is none (no intercept and no trend) model. Also, we have found the number of lag lengths by using the Breusch-Godfrey LM test statistics in addition to information criteria such as AIC, SIC, HQ in the models. Table 2 shows the results of the three unit root tests.

Table 2 Unit Root Tests Results

| VARIABLES | ADF | PP | KPSS |
|--------------|----------------------|----------------------|--------|
| $UNEMP_t$ | -4.1493 ^b | -3.1998 ^c | 0.0619 |
| SSC_GDP_t | 4.4508 | 3.1305 | - |
| SSC_TXT_t | -2.5472 | -3.4904 ^c | 0.0651 |

Note: ^a significant at 1%, ^b significant at 5%, ^c significant at 10%.

According to Table 2, $UNEMP_t$ series is stationary for three unit root tests (at least 10%), while SSC_GDP_t is stationary. The appropriate model is none model for SSC_GDP_t variables, therefore we cannot applied KPSS unit root test. But there are found mixed results at SSC_TXT_t variables. That is, ADF test shows that the series is non-stationary. The series is stationary from point view of KPSS and PP (10%) tests. Because of the different degrees of integration of the variables, it would be more appropriate to use the ARDL approach to investigate the existence of a long-run relationship between these variables. The first step of the ARDL approach is to determine the appropriate lag lengths for each of the variables. For this purpose, again, AIC, SIC, HQ and LM tests can be used. In the study, the maximum lag lengths were taken for 4 periods for both endogenous and exogenous variables. Accordingly, the lowest AIC, SIC and HQ values were obtained for the ARDL (2, 0).

Firstly, for the ARDL test to be valid, the bound test must be performed. In Table 3, Pesaran et al. (2001) bound test and diagnostic test results are shown.

Table 3 ARDL Bound Test Results

| Tested Models | TEROR = f(UNEMP, SSC_GDP) | | TEROR = f(UNEMP, SSC_TXT) | |
|---------------------|---------------------------|-------------|---------------------------|-------------|
| F-statistics | 5.5874 ^a | | 5.5789 ^b | |
| Optimum Lag Length | [2, 0] | | [2, 0] | |
| Significance Levels | Bounds Critical Values | | | |
| | Upper Bound | Upper Bound | Upper Bound | Upper Bound |
| 1 % | 4.94 | 5.58 | 4.94 | 5.58 |

| | | | | |
|-------------------------|----------------------|------|----------------------|------|
| 5 % | 3.62 | 4.16 | 3.62 | 4.16 |
| 10 % | 3.02 | 3.51 | 3.02 | 3.51 |
| Diagnostic Test Results | | | | |
| R^2 | 0.7072 | | 0.7071 | |
| R^2 | 0.6877 | | 0.6876 | |
| F-Statistics | 36.2349 ^a | | 36.2141 ^a | |
| Breusch-Godfrey LM | 0.1484 | | 0.0431 | |
| ARCH LM | 1.5790 | | 1.6460 | |

Note: ^a significant at 1%. ^b significant at 5%.

The null hypothesis will be rejected because the F-statistic value (5.5874) calculated for the bound test in Table 3 is greater than the upper critical value of 5.58 at the 1% significance level. That is, according to the ARDL bound test, there is co-integration relationship between the variables. Then there is a long-run relationship between $UNEMP_t$ and SSC_GDP_t variables. Also, similar results are found between $UNEMP_t$ and SSC_TXT_t variables.

Secondly, Table 3 indicates diagnostic test results for co-integration. When Table 3 is examined, the model is generally meaningful; there are no autocorrelation problems and no heteroscedasticity problem for both models. Thus, in order to demonstrate the long- and short-term relationships between variables, the long-run combined model and the error correction model results are given in Table 4.

Table 4 Long-run and Error Correction Models Estimation Results

| Variables | Panel A: Long Run Model Results | | | | | |
|-------------------------|-------------------------------------------------------|-------------|--------------|----------------------|-------------|--------------|
| | Coefficients | Std. Errors | t-Statistics | Coefficients | Std. Errors | t-Statistics |
| SSC_GDP_t | 0.3553 ^a | 0.1178 | 3.0144 | | | |
| SSC_TXT_t | | | | 0.1220 ^a | 0.0406 | 2.9998 |
| CONS. | 7.1310 ^a | 0.4791 | 14.8861 | 6.3099 ^a | 0.7216 | 8.7440 |
| Variables | Panel B: Short Run and Error Correction Model Results | | | | | |
| | Coefficients | Std. Errors | t-Statistics | Coefficients | Std. Errors | t-Statistics |
| ECT_{t-1} | -0.4315 ^a | 0.1058 | -4.0805 | -0.4277 ^a | 0.1066 | -4.0119 |
| $\Delta UNEMP_{t-1}$ | 0.3726 ^a | 0.1322 | 2.8186 | 0.3675 ^a | 0.1343 | 2.7368 |
| ΔSSC_GDP_{t-1} | 0.0952 | 0.2505 | 0.3801 | | | |
| ΔSSC_TXT_{t-1} | | | | -0.0124 | 0.0553 | -0.2250 |

Note: ^a significant at 1%. ^b significant at 5%, ^c significant at 10%.

Firstly, Panel A shows the long-run relationship results in Table 4. According to these results, it is seen that there is a positive and statistically significant relationship between unemployment rate and social security contribution (both a percentage of GDP and a percentage of tax revenues) in the long run. Based on this result, if social security contributions are increased 1%, unemployment rate is increased 0.35% level. In other words, social security contributions have an impact on the rising of unemployment rate in the long run. Similar results were obtained for the share of social security contributions in tax variable. This result is compatible with relevant literature. Long run mean of unemployment rate is 7.13% as a percentage of GDP (or 6.31% as a percentage of tax revenues) and these coefficients are statistically significant at 1%.

In Table 4 Panel B shows both short-term and error correction results. First, the error correction term (ECT_{t-1}) is negative and statistically significant as expected for two models. That is, the imbalances that occur in the short term are removed from the long term (43.15% and 42.77%) and the series are again close to the long term equilibrium values. Therefore, the error correction model is valid for two models.

Secondly, when the parameters affecting the short term are examined, the following conclusions are reached. In the short term, it was found that there is a positive but statistically insignificant relationship between unemployment rate and social

security contribution of both models. On the other word, in the short run the social security contribution has not been effective on unemployment rate for both models.

7. Conclusion

Social security contributions are a tool of social services such as pensions and disability insurance, health insurance, unemployment benefits. From point of view of an economic perspective, they have effects on economic variables which the unemployment is one. Unemployment is crucial problem for countries. For this reason, many countries combat with this issue. Social security contributions for employers are a cost of labor. The aim of this study is to find the relationship between social security contributions and unemployment for Turkey. Therefore, we evaluate whether reducing social security contributions are a way reducing of unemployment or not. We use time series data. The research methodology is based on an analysis of indicators as unemployment, social security contributions as percentage of GDPs, the percentage of total tax revenues. Applied ARDL co-integration test shows that there is long-run relationship between unemployment rate and social security contributions in both cases. But in short run, we cannot found significant relationship between the variables. Therefore these results indicate that social security contributions only affect to unemployment in long-run in Turkey. According to this empirical evidence, an efficient management of social security contributions rate can reduce unemployment, which are required a long run progress. The social security contributions are seen as a tool in controlling unemployment. These finding are supported by previous literature on this topic. The loss of contributions can be compensated by various income sources like indirect taxes or subsidies. Additionally, a reduction of social security contributions rate will be raised economic growth. These empirical results should be a priority for future research.

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Adapting Legal Culture: Legislation and Interpretation in Tax Law

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Abstract

Legal culture is defined as a way of describing relatively stable patterns of legally oriented social behaviour and attitudes. Adapting legal culture is possible, while the adapted legislation makes a shift in the social reality, especially in transition to democracy. As social behaviour depends on other elements, such as historical and cultural backgrounds of a society, the reaction for the legal adaption may differ from one country to another. So, the legislation in two countries may be the same; but the interpretation and the implementation of the law may be different. As tax norms also have an economic aspect, factors effecting the results of the tax law adaption may be historical, cultural and also economic. Adapting legal culture is more comprehensive than transplanting legal mechanisms and importing other legal systems, it is not only translating legislation but also creating a differential fitness; a different aspect of rights and principles of law design. As tax law includes social norms as well as financial norms and is a multidisciplinary branch of law, the adaption of tax law needs justification of perceived fairness and common understanding of basic law principles and rights. If the perception of law is different, the interpretation of law may create a sui generis version of the adapted law. In this article, the question to be answered is how the historical, cultural and economic factors differ adapted tax systems in practice by the interpretation of law.

Keywords: Adapting Legal Culture Legislation and Interpretation in Tax Law

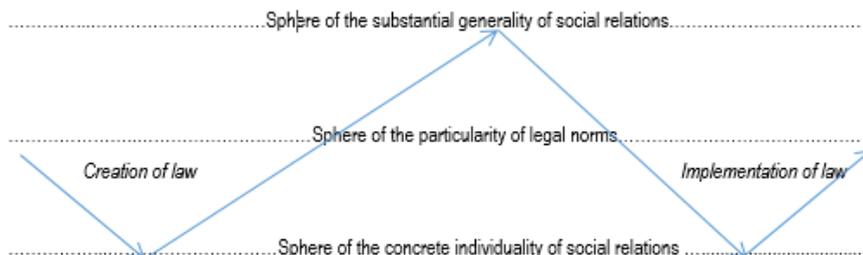
Introduction

Law derives from the cultural origins of a society internally (Mautner, 2010: 844) while with legal transplants, transferring the legal and cultural perspective to other societies. This external interaction may result in social/legal development or just a shift in the social reality of the interacting culture, or may not be effective (Friedman, 1969: 40). While the success of a legal transplant, depending on the legal system of the receiving country and its culture, not impossible (Legrand: 1997), not easy (Watson: 1993), but evolutionary (Teubner, 1998: 12); it is "sui generis".

Tax law including social norms beside financial norms both of which effect human rights, reflects a society's legal culture, that is particularly called "tax culture" in literature. One can understand the perception of human rights in a society, observing the tax law in that particular country as taxation interferes a person's basic rights as life with dignity and healthy, right of property, freedom of travel etc. Taxation is also an indicator of the concept of the social state in a country, determined in the constitution and tax codes. In literature, the relationship between culture and tax law is rarely discussed while there is a lot of studies about taxation and economy. This missing part of the chain may help to understand the relationship among economy, law and culture.

1. Reading Varga's Law-Making Cycle with Cohn's Normative Reality

Varga, describes the creation and implementation of law in "On The Socially Determined Nature of Legal Reasoning", as (Varga, 1994: 325):



In legal dimension, there are three spheres of relations: substantial generality of social relations, legal norms and concrete individuality of social relations. Legal norms (for example a specific anti avoidance rule) are created deriving from the concrete individual social relations that present "is", (for example a tax payer's tax avoidance) while implemented according to general social relations that imply "ought" (tax legislation).

Varga explains that the sphere of social relations and the sphere of norms together form a law-making cycle:

"The motion between the general, the particular and the individual and vice versa is put together of a number of non-stop processes of transitions from the one to the other and that accordingly in this process of motion without a point of rest the segregation of the various components will, surveyed from the point of view the totality of the processes of social motion, become a relative one" (Varga, 1994: 326).

As life is in constant change, laws have to keep up with the actual developments, "*law is a constantly developing medium*" (Kohler, 1914: 4-7, 32). Tax norms effect people's economic states and they are always changed according to the economic necessities, they can be called "*dynamic rules*" (Hage, 2016: 37). As the conditions, people's choices thus "is" change, the perception of "ought" also change. This interaction creates a cycle of reality between "is" and "ought". Law in general and tax law in particular, determines a normative reality in between the spheres "ought" and "is" (Cohn, 1967: 68). So, "is" does not stand "versus" "ought"; on the contrary, "is" becomes a "part" of "ought". When there is a shift in the social reality, for example a social development, transition to democracy, or an economic crises, there is a social pressure for a legal reform.

2. Fact and Value: A Dualism or A Dichotomy

Suggesting that it is not possible to derive ought-sentences from is-sentences; Hume said "there is an unbridgeable chasm between the world of fact and the world of value" (Hume: 1978). Kelsen made the distinction between facts and norms one of the starting points of his pure theory of law (Kelsen: 1934). He also stated that norms belong to the realm of "ought" (Kelsen, 1934: 72). Habermas separated the facts and norms as the duality of modern law and named law as a social mediator between facts and norms (Habermas, 1996: 1). On the other hand, Searle explained how to derive "ought" from "is" (Searle, 1964: 43-58) and Putnam opposed the distinction between facts and values which he called "fact/value dichotomy" (Putnam, 2002: 7-45).

These views may seem in opposition, however, they all accept the relationship among facts, norms and values. For example, Habermas draws a sharp distinction between universal ethical norms and non-universalizable values and argues that only the "norms" are objective. Discourse ethics is characterized by a sharp distinction between values and norms, but not on the level of values (Joas, 2001:3). The problem is where to put "values" in the creation and implementation of law.

Values as well as facts, belong to the "sphere of the concrete individuality of social relations" in social reality and therefore in the realm of "is" in Varga's picture. Norms and laws belong to the realm of "ought", deriving from the facts that has an influence of values.

Modern tax law, solid with Kelsen's pure theory of law and hierarchy of norms (Kelsen, 1934), maintains legality principle. However ethical norms –derive from the values of a culture and do not have a sanction- also exist in tax codes, tax regulations or codes of conduct, in line with taxpayer's rights. It is common that there are also a lot of social norms in tax codes. Tipke differentiates norms in tax law according to their purpose, as "Finanzzwecknormen" (norms with financial purpose) und "Sozialzwecknormen" (norms with social purpose). First are the norms that aim to collect tax where the second type of norms are the results of social, cultural, scientific and health etc. policies (Tipke, 1983: 17-21).

Kohler argued in his major book, *Philosophy of Law*, that the supreme vocation of humanity is to promote and develop culture and the function of law is to facilitate the realization of this human vocation. According to him, law can achieve that function by preserving human values that are worthy of preservation, by creating continuity and stability with regard to such values, by allowing human beings to create viable institutions for cooperative action (Kohler, 1914: 12). Human values are observed in human rights, in principles of national and international law. Equality is a value for example, exists in national and international laws, as well as tax laws, as a principle in the Constitutions and in various legal forms in tax codes such as the progressive income taxation.

3. Legal Culture and Legal Transplants

It is an often asked question that, is law derives from the culture or culture derives from the law? It can be said that both proposals are true.

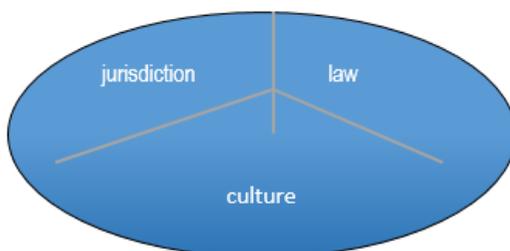
There is an endless cycle between culture and law, internally and externally. It is a dynamic relation that shapes the legal, social and economical system of a society, which also draws the internal evolutionary structure.

Van Hoecke & Warrington emphasises that “*law is more than just a set of rules or concepts. It is also a social practice within a legal community. It is this social practice which is determining the actual meaning of the rules and concepts, their weight, their implementation, and their role in society*” (Van Hoecke & Warrington, 1998: 5)

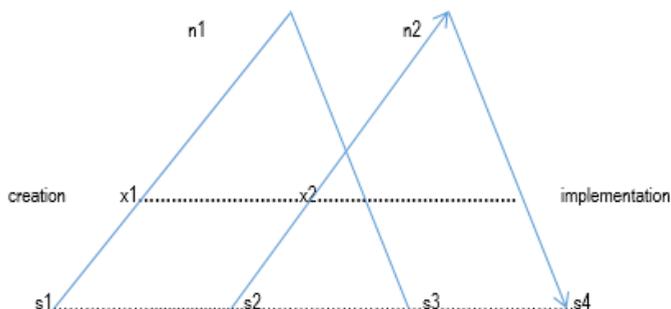
It is no longer disputed that legal culture is both a cause and effect of law: on the other hand, it shapes the essential basic ideas of a national legal order, while on the other hand it is constantly exposed to legal influences (Gessner, 1993: 5). Legal culture is defined as a way of describing relatively stable patterns of legally oriented social behaviour and attitudes (Nelken, 2004: 1)

Bell defines legal culture as “*a specific way in which values, practices, and concepts are integrated into the operation of legal institutions and the interpretation of legal texts*” (Bell, 1995: 70). In line with this definition, Friedman describes the legal culture on the components of the legal system (Friedman, 265, 266). According to Friedman, a legal system is formed of three components, which are structural, cultural and substantive components. Structural components refer to the institutions whereas cultural components are the values and attitudes which bind the system together, and which determine the place of the legal system in the culture of the society as a whole. Substantive components are the laws themselves. These three elements together - structural, cultural, and substantive - make up the legal system; while structural and cultural components form the legal culture. Legal cultures differ legal systems which are a part of political, social and economic development (Friedman, 262). So, according to Friedman’s definition of legal culture, we can say that legal transplants harmonize the substantive components, but not legal systems as a whole. As Legrand says, “*a rule does not have any empirical existence that can be significantly detached from the world of meanings that characterizes a legal culture; the part is an expression and a synthesis of the whole*” (Legrand: 6).

Based on Friedman’s definition, a legal system can be divided into three components, as jurisdiction, law and culture:



When a new norm is transplanted in the legal system, it makes a shift in both social and normative realities. It both effects the creation and the implementation of the legal system.



In the scheme above, the plane “s” refers to social reality in a society, while the plane “n” refers to normative reality. The creation of law begins with the facts and values of the society and forms a norm (x1) and finds its places in the legislation (n1) according to its hierarchic place. The norm is implemented in line with the constitution and principles of law. If the norm is against the constitution or if the norm does not constitute the social reality, it will be cancelled or deviated in implementation (s3). This is the self-evolution of a legal system, which may be called “internal evolution” (Nelken, 2004: 22).

When a norm (x2) is adapted in a legal system, it will be a norm derived from another culture’s values and facts (s2), subject to another legislative hierarchy (n2) and another social reaction (s4). This “external evolution” (Nelken, 2004: 22) makes a shift in both social reality (s3 to s4) and normative reality (n1 to n2).

The legal transplant may derive from another country’s legislation or an international organization as OECD or EU. Anti avoidance tax programmes of these organizations are very actual; OECD’s BEPS (base erosion and profits shifting) agenda and ATA (anti tax avoidance) Directive of EU are examples of international legislation implemented to national laws. However national legal transplantations are also very common in history. It is not always a norm that is adapted, but mostly codes.

For example, if a developing country’s economy mostly depends on international investment (s1), so it does not have an efficient anti avoidance norm (x1) and a constitutive protection (n1); when it adapts a BEPS rule (x2), changing its constitution (n2), not being a tax heaven anymore may result with a gap in the budget (s4) or a better tax system (s4) (It depends on the circumstances).

According to Legrand, “a rule’s very existence depends on its interpretation and application within an interpretative community and this is historically and culturally conditioned” (Legrand, 1997). This is rather true for national legal transplants. For example, if a tax code is adapted from another country (x2), this needs civil law and constitutional law reforms (n2), too; which will certainly change the social reality (s1 to s4). Even than the “interpretation and application” will not be the same as the original legal culture. However, this legal adaption cannot be called unsuccessful or impossible. It is not the same legal culture that develops, but another version of the donor legal culture; a sui generis legal culture, different than its origin.

4. The Reasons Why Adapted Tax Laws Differ in Implementation

Adapted legal culture is different in the host than the donor, as Watson says, “the legal transplant will take on a life of its own in its new host” (Watson, 1993). What are the reasons of this difference and particularly in the case of tax law?

4.1. Garbarino’s Evolutionary Approach

Garbarino, explains the differences between the tax systems with an evolutionary approach. According to him, “at a given moment in time a tax system has a structure identifiable through a model of tax systems in terms of hierarchies of rules, and the evolution of tax systems is constrained by their structure” (Garbarino, 2010: 773). Based on hierarchies of tax rules, he explains the evolutionary structure of tax systems.

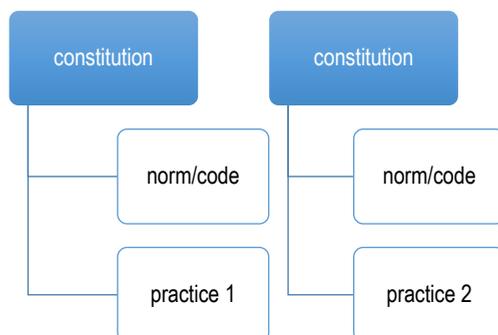
The idea that law has a hierarchical structure is first introduced by Kelsen and typically advanced by legal positivism (Kelsen, 1945). Garbarino bases his argument on formal hierarchy, which he describes as,

“a “formal hierarchy” is one which obtains between a rule on production (R1) and a produced rule (R2), when a rule of production (RP) establishes how R2 is produced. R1 is therefore superior to R2. A formal hierarchy is a relation between a (higher secondary) rule R1 and a lower rule R2 ... Whenever a produced rule R2 is created according to a rule on production, there is a “chain of production” of rules. The process of creation of tax rules occurs through “chains of production” and the operation of formal hierarchies shows that different tax systems share a common structure based on chains of production, regardless of the prescriptive content of the rules and irrespectively of the subtleties of different legal cultures” (Garbarino, 2010: 775, 777)

As the process of creation of tax rules occur through “chains of production”, adapting a norm/code needs a harmonization of other related parts of the legislation chain. If the donor legal system belongs to the same legal family for example, European law family, the adaption will be more successful than in another legal family. A legal transplant should not be against the constitution in the new host, therefore it is not only a norm that is changed, but a constitutive arrangement may be necessary or simply it cannot be transplanted. The lower regulations in the hierarchically order should also be changed

according to the new rule. Even if the other parts of the chains are the same, the two legal cultures would not be the “same”; they would be “similar”, because of the differences in practice.

If a tax norm/code is adapted from another country, even if the constitutions have the same taxation principles, with a similar normative structure, the practices could be different, depending the legal cultures of the countries.



Hierarchic structure of legal cultures is insufficient to explain the differences between two legal cultures. Remembering Garbarino’s “evolutionary structure” argument, the question why adapted tax systems differ can be explained by the factors that play role in the evolution of a tax system. These factors can be historical, cultural, economic and institutional.

4.2. The Example of Turkey and Germany

Turkey and Germany is a good example of legal transplantation. Turkey has adapted the Personal and Corporation Income Tax Codes and the Tax Procedure Code from Germany, and has been successful in implementation. However, with the same taxation principles and legal transplantations, these two countries had different implementations of the same legislation, depending on their structural evolution. The factors that differentiate their evolutionary structure can be explained on the subject of “ability to pay principle”:

4.2.1. Factors of Differentiation

The Turkish Personal Income Tax Code was codified from the German Personal Income Tax Code in 1961, that is why the concept of income tax is mostly alike. As the main legal structure of these two systems are the same, in implementation, they differ in terms of “non-disposable income” which is also called as “deduction of inevitable personal expenditure” or “safeguarding subsistence level” in literature (Tipke, 1993: 672-692; Tipke&Lang, 1996: 73) and “the taxable income” in jurisprudence (as BVerfG of 3 Nov. 1982, I R 3/79) in line with Tipke’s emphasis on the difference between “economic capacity” and “taxable capacity” in the use of ability to pay principle (Tipke, 1993: 480, 481). According to the writer, “economic capacity” is about the total income whereas “taxable capacity” is about the income above the subsistence level; so the ability to pay principle determines “the taxable income”.

Since Article 1 of the German Constitution (Grundgesetz) protects human dignity, in 1992 the German Federal Constitutional Court (Bundesverfassungsgericht) ruled that taxpayers have the constitutional right to a basic personal exemption equal to the subsistence amount which welfare services have to guarantee constitutionally to people without income as a minimum civilized standard of living. In German tax law, it is accepted that the expenses for private consumption which are “unavoidable” decrease the ability to pay so only the income above the subsistence amount may be taxed (BVerfG of 29 May1990, 1BvL 20/84).

In contrary with this, in Turkish tax law, “the taxable income” is found at the end of various deductions mostly in commercial business and freelance incomes but a few with the wage income. Cost-of-living allowance is only for wage earners and it is under subsistence level. The expenses for private consumption which are “unavoidable” are included in the taxable income. The progressive income tax tariff begins with a zero-bracket amount and has ineffective ratios. The income tax tariff does not take the marital status into consideration. These factors differ the concept of “taxable income” in these two tax law systems. How did these income tax codes differ on the basic concepts in time, one original and the other one adapted, with the same constitutional principles? Why does a basic taxation principle differ in tax systems in implementation? These questions has three answers, historical, cultural and institutional.

Taxation is regulated in the 73th Article of Constitution of 1982 in Turkey. Although ability to pay principle is clearly maintained in this article, The Turkish Constitutional Court (for ex. 1994/84,18/07/1995) and literature (Öncel&Kumrulu&Çağan, 2016: 280) mostly explains this principle with social state principle (Art. 2) but not with right to equality (Başaran Yavaşlar, 2011: 62, 63) or with human dignity as in German law. This is because of the judicial minds in these legal cultures are different. Judicial mind and jurisdiction is a part of the legal culture. In this example, after the legal transplantation, German tax system continued its self evolution and a part of its legal system, German Federal Constitutional Court established a connection between human dignity and taxable income, which resulted with a change in the German Income Tax Code. Building this relationship was also about the perception of human rights. So the reason of the differentiation was not only institutional (about jurisdiction), but also about legal history.

The German Federal Constitution was accepted in 1949, after the Second World War, making human rights and human dignity central and core part of a legal reform. The components of the German Federal Constitution were the principles of democracy, republicanism and social responsibility (Seiler, 2016: 21). This emphasis of human dignity in the Constitution and Tipke's differentiation of "economic income" and "taxable income", emerged the idea "that taxpayers have the constitutional right to a basic personal exemption equal to the subsistence amount which welfare services have to guarantee constitutionally to people without income as a minimum civilized standard of living", in judicial mind.

The concept of "protective state" was emphasized by Alex Tocqueville in 1830s and put into legislation in Bismarck Germany in 1800s. This concept was legislated in Turkish law first in 1937 in the Constitution of 1924 as "statism". This delay of about a hundred years caused a differentiation in the legal culture about the perception of social state. Unlike the first decades of the Republic, the understanding of "social state" developed slowly in Turkey, due to the socio-economic policies, even the social state principle is under Constitutional protection. As a result, progressive income taxation became the only method for the implementation of ability to pay principle, which does not fully establish the principle of equality, used with ineffective ratios and zero bracket amount. Even though human dignity is protected constitutionally in Art. 17 of the 1982 Constitution, it is not systematically in the central; however it was still possible for the jurisdiction to establish this relationship, while it is being discussed in literature (Özdiler Küçük: 2016).

Of course, the perception of ability to pay principle is different, when the meaning of taxable income is different. "The meaning of the rule is an essential component of the rule" (Legrand, 1997: 114); therefore two rules with different meanings are two different rules. Taxable income is the heart of an income tax code. Two income tax codes with different taxable income definitions cannot be called the same, even if one is adapted from the other, they can be called systematically alike. However this does not mean that the adaption was unsuccessful, or adapting legal culture is impossible. It is possible, it may not transform a legal culture but it certainly makes a difference. That is the case for German and Turkish Income Tax Codes. The donor legal system continued its self evolution deriving from its own social and normative realities (war and a major legal reform) while the recipient legal system evolved with its own realities (economic development and legal reforms) in a sui generis way according to the interpretation of its own judicial mind. Today, as the German tax system walked the first steps of dual income taxation by excluding capital income from the income tax tariff and taxing capital income at a lower final withholding tax rate, Turkey has a Draft Code of Income Tax, which still maintains progressive taxation, but merging personal income tax and corporation income tax in one code, while flat taxation is being discussed in academia.

4.2.2. Interpretation and Judicial Mind

Kelsen, calls interpretation as the "cognitive ascertainment of the meaning of the object" and emphasizes on the limits of interpretation:

"... the result of a legal interpretation can only be the ascertainment of the frame which the law that is to be interpreted represents, and thereby the cognition of several possibilities within the frame. The interpretation of a statute, therefore need not necessarily lead to a single decision as the only correct one, but possibly to several, which are all of equal value, though only one of them in the action of the law-applying organ (especially the court) becomes positive law" (Kelsen, 1967: 351).

Legrand, on the other hand, calls interpretation a "subjective and cultural product" and defines it as "the result of a particular understanding of the rule that is conditioned by a series of factors which would be different if the interpretation had occurred in another place or in another era" which is "the outcome of an unequal distribution of social and cultural power within society as a whole and within an interpretive community in particular" (Legrand, 1997: 115).

Reading these two definitions together it can be concluded that, legal culture is a reason of choice of the interpretation method among the possibilities that exist within the framework of that particular law. The difference between the decisions

of German Federal Constitutional Court (Bundesverfassungsgericht) and Turkish Constitutional Court on ability to pay principle may constitute an example for the choice of the interpretation method according to the judicial mind and the legal culture.

The Turkish Tax Procedure Code, originating from the Reich Fiscal Code, but following a different legal development, shows the background and an alternative version of the German General Tax Code. Turkish Tax Procedure Code No. 213 is in operation since 1961, first version of which was mostly adapted from the Reich Fiscal Code. Interpretation was regulated in the Sec. 4 and 5 of Reich Fiscal Code in German tax law, methods of interpretation in the 4th and general anti avoidance rule on the 5th Sections. In Germany, after the Second World War, there was a major tax reform in 1977 which changed the Sec. 5 of the Reich Fiscal Code- that included the general anti avoidance rule- into Sec. 42 of the German General Tax Code. Turkish Tax Procedure Code Art. 3, regulates many important tax law subjects within, which are interpretation, a general anti abuse clause, proof in tax law and burden of proof. Rule of interpretation of tax norms were added in the TTPC Art. 3 in 1980, as "Tax acts are effectual with their literal and spiritual construction. When letters of act are not clear, tax law decrees will be enforced according to the aim they were prepared for, their place in the structure of law and their connection with other articles"; in line with the interpretation rule in traditional German tax law, in Sec. 4 of the Reich Fiscal Code which explained the methods of interpretation as, "when interpreting tax legislation, its purpose, its economic significance and developments in circumstances are to be taken into account" and the general anti avoidance rule representing perspective.

These interpretation methods are in fact parallel with the Kelsen's methodology of interpretation. Kelsen, in his book Pure Theory of law, describes these methods as;

"The legal act applying a legal norm may be performed in such a way that it conforms,

with the one or the other of the different meanings of the legal norm,

with the will of the norm-creating authority that is to be determined somehow,

with the expression which the norm-creating authority has chosen,

with the one or the other of the contradictory norms, or

the concrete case to which the two contradictory norms refer may be decided under the assumption that the two contradictory norms annul each other." (Kelsen, 1967: 351)

In both Turkish and German tax systems the interpretation methods are the same; literal, historical, teleological, systematical interpretation and economic perspective. While the literal interpretation has a priority to other methods, courts may not refer to the wording of a law, consider its purpose with teleological interpretation. Sometimes the court decides with the historical development of a legal provision which means the historical interpretation. It may refer to the place of their place in the structure of law as systematical interpretation or to the economic significance with an economic perspective.

So the question is, for the same problem of law, how may the courts of the donor and the recipient legal systems react, how do they interpret for the same case, with the same legislation and the same interpretation rules? In the case of interpreting ability to pay principle, German Federal Constitutional Court and the Turkish Constitutional Court processed systematical interpretation, both referring to their Constitutions, ending with different conclusions. Judicial mind is a part of legal culture, and referring to Kelsen, in the framework of legislation, the possibilities of interpretation is maintained by the legal culture. As Marmor says, "interpretation is a part of the legal practice" (Marmor, 2005: 45).

Conclusion

In the case of legal transplantation, the success of a legal transplant depends on the legal system of the receiving country and its legal culture. As a component of a legal system, legal culture has a determinant character in the development of a tax system. Interfering with a norm externally in a legal system, makes a reaction in both the social and normative realities, in means of law making and interpretation. This reaction is sui generis, according to the legal culture of the country. Historical, cultural and institutional factors are effective in maintaining the interpretation of the legislation and on the judicial mind. As the culture is determinant in the law making process and its validation, law has its shape as a fluid in the glass of culture, while also determining the color of the fluid in the glass.

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Environmental Impacts Assessment of Chromium Minings in Bulqiza Area, Albania

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Abstract

Bulqiza District is the largest chromium source, ranked fourth in the world for chrome reserves. It lays in the north-eastern part of Albania, 330-1800 m a.s.l, with 728 km² area, between 41°30'43.1N and 20°14'56.21E. There are 136 entities with chromium extraction activity and around the city of Bulqiza (2.6 km² and 13000 inhabitants), there are 33 entities. The aim of the study was the identification of the environmental state and environmental impact assessment of chromium extraction (chromite mining) and giving recommendations to minimize the negative effects of this activity. Field observations, questionnaires, chemical analysis of soil and water, meetings and interviews with central and local institutions as well as with residents were used for the realization of the study. The obtained results showed that chromium extraction causes numerous irreversible degradation of the environment in the Bulqiza area, such as the destruction of surface land layers and erosion, destruction of flora and fauna, soil and water pollution, health problems, unsustainable use and reduction of chromium reserves, etc. The inert waste that emerges after the chromium partition is discharged to the earth surface without any regularity, covering the surface of the soil and flora, leading to irreversible degradation of the environment. Most of the mining entities do not respect the contracts and environmental permit issued by the Ministry of Energy and Industry (MEI).

Keywords: Bulqiza, chromium, environmental impact assessment (EIA), environmental state.

Introduction

Albania is distinguished as a rich country for its mineral resources. Most of them have been discovered and exploited from ancient times up to date. Chrome, copper, iron-nickel and coal, are some of the minerals mined and treated in Albania. According to the MEI (2017), mining industry development in Albania has passed through three main stages: The first stage includes the period up to the end of World War II, marked by two important events. In 1922, has been compiled the first Geological Map of Albania, which was even the first of its kind in the Balkans. In 1929 has been approved the first Mining Law of the Albanian Kingdom, which paved the way to the exploration and/or exploitation of mineral resources in Albania; The second stage (1944-1994), marks the period when the mining activity has been organized in state-owned enterprises and the concept of mining privatization did not exist. The third stage includes the period 1994 up to date. It began the mining's privatization and licensing process, after the approval of Albanian Mining Law. Up to February 5th 2016, there were issued 752 mining permits out of which were 673 exploitation permits, mostly in Bulqiza, Kruja, Berat, Tirana and Librazhdi districts. Out of 673 exploitation mining permits: 211 permits for chrome ore, from which, only in Bulqiza District there were issued 136 permits (MEI, 2017). The privatization process continued with the approval of the Law "On Concessions", and giving by concession of certain parts of mining industry (of this branch). The mining objects given in concession so far, are Bulqiza chromium mine and ferrochrome smelters of Burrel and Elbasan, chromium mines in Kalimash, Kalimashi dressing plant, etc (MEI, 2017). Albania is well known for its high potential in chromium ore, comparing to other Mediterranean and Balkans countries. The main chromium deposits are located in the Ophiolites of the Eastern Belt area, to Tropoja-Kukës-Bulqiza-Shebenik-Pogradec direction. Bulqiza Ultrabasic Massif is the biggest chrome-potential massif, ranked fourth in the world for chrome reserves. This is a rare mine in its kind and has good quantitative and qualitative features (Cr₂O₃ content = 40-42%) (MEI, 2017). From the Bulqiza's mines, since 1948, over 15 million tons of chromium have been

extracted and over 100,000 km of mining works have been carried out (Skarra, 2017). According to the National Natural Resources Authority (NNRA), in the depths of the largest mine in the country, the reserve chrome block amounts to 4 million tons (Open.data.al, 2014). According to Patel (2016), the mining effects is followed in general by significant environmental effects, as well as health effects on local population. Environmental effects include erosion, loss of biodiversity, air pollution, such as dust from blasting operation and haul roads (particular matters PM1 and PM2.5), NO_x, SO_x, CO₂ and CO from heavy machinery using diesel, smoke from explosions, etc), pollution and contamination of soil, groundwater and surface water by chemicals used in mining process, etc. Underground mining is generally more hazardous for the people's health than surface mining because of poorer ventilation and visibility and the danger of rockfalls. The greatest risk arise from dust which may led to respiratory problems and from direct exposure. In the forest areas, mining may cause destruction and disturbance of ecosystems and habitats, and in areas of farming it may disturb productive grazing and croplands. In urbanised environments mining may produce noise pollution, dust pollution and visual pollution. Flooding of the surface (erosion), the collapse of the tunnels and the loss of land from the underground mining activity of coal, metals and other types of mining is a problem in most of the countries where the mining activity from the underground is concerned (Betournay, 2011), because it involves large-scale movements of waste rock and vegetation, similar to open pit mining. Environmental hazards are present during every step of the open-pit mining process. Hardrock mining exposes rock that has lain unexposed for geological eras. When crushed, these rocks expose radioactive elements, asbestos-like minerals, and metallic dust. During separation, residual rock slurries, which are mixtures of pulverized rock and liquid, are produced as tailings, toxic and radioactive elements from these liquids can leak into bedrock if not properly contained (Mission2016, 2016). According to MiningWatch Canada (2012), human exposure routes to dusts and particles PM10 and PM2.5 and chromium are breathing, swallowing, and skin contact. Chromium III and VI accumulate in animal and human tissues and their removal from the body is very slow. Observed toxic effects of chromium compounds in humans and animals include developmental issues, skin damage, respiratory, reproductive and digestive system injuries as well as skin cancer or internal organs. The ingestion of large amounts of hexavalent chromium compounds causes diarrhea, vomiting, stomach and intestinal ulceration, anemia, kidney and liver damage, abortion, coma and even death (MiningWatch Canada, 2012).

The aim of study was aim identification of the environmental situation and assessing the impact of the chrome mines and recommending alternatives in order to minimize the negative environmental impacts in the area.

2. Material and methods

The study was conducted during the period November 2016 - April 2017 in the area of Bulqiza. Quantitative and qualitative methods were used for the realization of the study. The quantitative method consisted in data collection for subjects/entities that perform the activity of chromium extraction in the Bulqiza area, demographic and socio-economic development data, as well as field evaluation of the environmental impacts as a result of the mining of chromium extraction activity. Collection of quantitative information and data was done through:

meetings, visits and interviews in central and local institutions

field surveys on the state of the environment in Bulqiza area, environmental impacts, causes, consequences and rehabilitation opportunities

water and soil chemical analysis

information from the internet

A questionnaire was drafted and field meetings and interviews were conducted with residents, environmental experts and entities performing their activity in the field of chromium extraction in the Bulqiza area, for their opinion on the effects of mining operations chromium extraction.

The qualitative method has consisted in the literature study on the environmental impacts of extractive mines in the environment (land degradation, land use, biodiversity, flora and fauna, water resources, development of inhabited centers, agricultural production, etc.), environmental impact assessment (EIA) at national and international level, the Albanian legislation in the field of chrome mining activities, environmental protection, biodiversity, etc.

3. Results and discussion

3.1. Entities with chromium exploitation mining activity in Bulqiza District and around the city

According to the Ministry of Energy and Industry (MEI, 2017) and the Bulqiza Municipality (2017), in Bulqiza District there are 136 entities with chromium exploitation mining activity, and around the city of Bulqiza there are 33 entities, such as: AlbChrome Sh.p.k – a concessionaire company, Akev Sh.p.k, Gentari Sh.p.k, Mineral Invest Sh.p.k, Marej Sh.p.k, Isaku Sh.p.k, Klevi Bris Sh.p.k, Duriçi Sh.p.k, Ylberi Sh.p.k, Duriçi-07 Sh.p.k, Egi-K Sh.p.k, Drini Bulqiza Sh.p.k, etc (Table 1), as well as several anonimous entities with illegal activity, which use the natural chromium resources previously discovered.

Table 1. Some of entities with chromium exploitation mining activity around Bulqiza city (Register of Active Mining Licenses – Chromium - 05/02/2016) (MEI, 2017)

| Nr. | Nr of license | Date | Entity | District |
|-----|---------------|------------|-----------------------|----------|
| 1 | 677 | 16.09.2002 | AlbChrome Sh.p.k | Bulqiza |
| 2 | 869 | 17.06.2005 | Arkev Sh.p.k | Bulqiza |
| 3 | 934 | 13.04.2006 | Gentari Sh.p.k | Bulqiza |
| 4 | 1088 | 19.11.2007 | Mineral Invest Sh.p.k | Bulqiza |
| 5 | 1143 | 28.01.2008 | Duriçi-07 Sh.p.k | Bulqiza |
| 6 | 1155 | 03.03.2008 | Egi-K Sh.p.k | Bulqiza |
| 7 | 1163/1 | 19.07.2012 | Klevi Bris sh.p.k | Bulqiza |
| 8 | 1197 | 01.07.2008 | Duriçi Sh.p.k | Bulqiza |
| 9 | 1271/1 | 15.05.2012 | Kadurtex Sh.p.k | Bulqiza |
| 10 | 1279 | 17.12.2008 | Gerda 07 Sh.p.k | Bulqiza |
| 11 | 1281 | 17.12.2008 | Gentari Sh.p.k | Bulqiza |
| ... | ... | ... | Etc. | ... |

According to INSTAT (2017) and Bica (2015), at Bulqiza's mines there are employed a total of about 1000 employees (not all from Bulqiza but from other districts as well, such as Mat, Klos, Dibra, etc) of which about 600 are employed in AlbChrome Sh.p.k, with a monthly salary of about 60 thousand Albanian Lek (445 Euro) per month. This activity is the only employment opportunity for Bulqiza's young population. The use of chromium is done up to a depth of 250 m below sea level (level 21) (<https://www.facebook.com/bulqizapasuriaeshqiperise/>). From the interviews with city dwellers and with miners, it is said that the activity of chromium extraction did not enrich the city and Bulqiza area, but all Albania before the 1990s, and only several private companies after 1990s.

3.2. Demographic movements in the city of Bulqiza

During the last 7 years (2010-2017), the population of Bulqiza declined by 6.11% (Municipality of Bulqiza, 2017; INSTAT (2011). The highest migration occurred during 2011-2012 (Table 2). This may have been the result of population migration to the most developed areas of the country because of the lack of employment and services in their hometown.

Table 2. Demographic movements year by year in the city of Bulqiza, 2010-2017 (Bulqiza Municipality, 2017)

| Year | Number of inhabitants | Difference | |
|------|-----------------------|------------|--------|
| | | Nr | % |
| 2010 | 13249 | 0 | 0 |
| 2011 | 13480 | +231 | +1.74 |
| 2012 | 12391 | -1089 | -8.079 |
| 2013 | 12276 | -115 | -0.93 |
| 2014 | 12323 | +47 | 0.38 |
| 2015 | 12391 | +68 | 0.55 |
| 2016 | 12388 | -3 | -0.024 |
| 2017 | 12440 | +52 | 0.42 |

3.3. Identification of the negative environmental impacts of chromium exploitation mining activity

In addition to the positive impact on the economy of Bulqiza's citizens and surrounding areas, the activity of extracting chromium ore in the Bulqiza area has been accompanied by significant negative impacts on the environment. Field surveys and data analysis of various institutions and environmental associations show that environmental problems are numerous such as air pollution, soil contamination, surfacewater and groundwater contamination, landscape degradation, destruction and disturbance of ecosystems and habitats (flora and fauna), land biodiversity loss, noise, vibrations, fear from earthquakes or the collapse of underground tunnels, unmanageable use of chromium resources and reserves, and health problems (respiratory disease, dizziness, vomiting, poisoning, stress, etc.), in some cases, the loss of the life of the miners.

3.3.1. Contamination of the surface and ground waters

The activity of exploiting chromium mines in the Bulqiza area has been accompanied by significant adverse impacts on the quality indicators of surfacewater and groundwater, as well as the contamination with chromium element as a result of excavation and excision of chrome ore inside the galleries, as well as the rinsing of mineral stocks in storage facilities and sterile wastes loaded with Cr dust at the depot. Field surveys and the results of the questionnaire conducted with residents of the city and surrounding areas indicate that in 70% of the cases, mining waters are not treated previously in decantation tubes, but are discharged into the open environment contaminating the groundwater and the soil. The water coming out of the mines using powerful pumps, is limestone water, rich in chromium, which is emitted to the environment uncontrollably and flows into surfacewater or infiltrates through rock fissures in groundwater (Table 3).

Table 3. Surface water parameters coming from one of the chromium mines operating in Bulqiza area (chemical analysis were performed at the Lab of Environment of Polis University and the Soil Lab of the ATTC Fushe Kruje)

| № | Indicators | Symbol | Unit | Normal tap water | M1 (500 m from the galery exit) | M2 (1500 m from the galery exit) |
|---|---------------------|-------------------------------|-----------------------|------------------|---------------------------------|----------------------------------|
| 1 | Acidity | pH | -log[H ⁺] | 7.2 | 9.58 | 8.91 |
| 2 | Temperature | t° | °C | 21.3 | 23.9 | 22.6 |
| 3 | High range iron | Fe ³⁺ | mg/l | 0.0 | 0.43** (very high) | 0.23* (high) |
| 4 | Free chlorine | Cl ⁻ | mg/l | 0.0 | 0.0 | 0.01 |
| 5 | High range nitrogen | NO ³⁻ | mg/l | 0.0 | 0.04 | 0.27 |
| 6 | Low range phosphate | PO ₄ ³⁻ | mg/l | 0.0 | 0.3 | 1.89** |
| 7 | Sulphates | PO ₄ ²⁻ | mg/l | 0.0 | 0.0 | 0.2 |
| 8 | Chromium (total) | Cr | mg/l | 0.0 | 0.025** (very high) | 0.014* (high) |

These waters then end up in the surface waters of the city and eventually drain into the Drin River. Part of these groundwaters from natural sources can be used as drinking water for the city of Bulqiza and the surrounding areas and / or for irrigation of agricultural lands around the city, contaminating the agricultural products as well (data not shown). In Albania, as in many other countries of the world, standards have been set and used, for the maximum content of Cr-VI and Cr total of liquid discharges from mining activity (MiningWatch Canada, 2012; Law No. 10448, dated 14.07.2011, "On Environmental Permits", approximated, Law No. 60/2014, dated 19.06.2014, "On Amendments to Law No. 10448, dated 14.7.2011,"On Environmental Permits", as amended, DCM no. 177, 31.03.2005, "On permissible liquid discharge rates and the criteria for zoning of receiving water environments" (CoM, 2005; MEI, 2017). These standards are set out in the usage permit, environmental permit and environmental statement, but their implementation leaves much to be desired, also considering the illegal activity of chromium extraction in the Bulqiza area.

3.3.2. Air pollution and population and miners health problems

Observations show that the activity of extracting chromium ore in the Bulqiza area is associated with indoor and the outdoor (atmosphere) air pollution around the mines from CO₂, CO, SO₂, H₂S, dust and particulate matter PM10 and PM2.5, which also contain chromium particles (Cr) with different valences (Cr-I to Cr-VI). Air pollution occurs as a result of excavations and explosions with explosives inside the mine that, in the absence of sufficient air ventilation, circulates through the galleries and comes out to the open air, from the circulation of heavy vehicles (trucks, wagons, freezers, etc) and loading and unloading of chrome ore and sterile waste. According to the Health Directorate of Bulqiza (2017), every year, there are about 50 new cases of respiratory disease, 15 new cases of untreated disease, 10 new cases with mental diseases, several accidents with the loss of organs (hands or feet), and 3-5 losses of life annually (not only from Bulqiza), without taking into

consideration acute health problems such as skin injuries, diarrhea, vomiting, stomach and intestinal ulceration, anemia, etc.

3.3.3. Erozion, soil degradation and contamination, degradation of the natural landscape

Opening the new ways to reach new galleries and opening up new chromium careers has led to the remove of the upper productive layer of soil (the main layer of physical, chemical and biological activity). As a result of surface interventions and in depth excavations for the extraction of chromium ore, soil deforestation and stripping of the soil surface has occurred, causing the phenomenon of erosion and the total soil degradation to appear massively. Improper disposal of the material (chrome ore and sterile - inert waste) to the storage squares around the mines and the galleries has led to the creation of "mountains" with mineral chromium stocks and sterile waste that have caused soil contamination and degradation and damage to the visual natural landscape (Figure 1). Disposal of inert materials and wastes, etc., have contributed to the pollution of soil and water (surface and ground water) and soil degradation, the destruction and loss of biodiversity, degradation of the environment, demolition, discontinuation, destruction of the natural ecosystems and damage to the visual landscape.



Figure 1. Erozion, soil degradation and contamination by the sterile waste of chromite mines (Photos by E. Laçi)

Soil chemical analysis, taken 500 m and 1500 m away from the mine's gallery showed that the total chromium content was very high (615 ppm Cr and 448 ppm Cr) (Table 4), which means that in the case of plant cultivation for food for people or feed for animals, they will be poisoned for sure. There were also observed high levels of other heavy metals such as nickel (Ni) and cobalt (Co).

Table 4. Total Chromium content in the soil 500 m and 1500 m away from the gallery exit (Lab of the ATTC Fushe Kruje)

| № | Indicators | Symbol | Unit | M1 (500 m from the galery exit) | M2 (1500 m from the galery exit) |
|---|-------------------------|--------|--------------|---------------------------------|----------------------------------|
| 1 | Acidity | pH | $-\log[H^+]$ | 7.9 | 7.6 |
| 2 | Electrical conductivity | EC | MS/cm | 0.294 | 0.330 |
| 3 | Chromium | Cr | ppm | 615 | 448 |
| 4 | Nickel | Ni | ppm | 338 | 380 |
| 5 | Cobalt | Co | ppm | 121 | 140 |

3.3.4. Acoustic pollution - noise, vibration and earthquake risk and land losses

Around Bulqiza city, there are about 33 licensed and a number of unlicensed illegal subjects with exploitation and extraction of chromium ore activity. Field surveys and the results of the questionnaire conducted with residents (data not shown) indicate that heavy transport, loading and unloading machinery and mineral and sterile machinery - inert waste, cause continuous or periodic noise or vibrations in the town of Bulqiza, creating health problems For residents such as insomnia, stress and mental fatigue. The main mine, opened since 1948, today under the administration of Albchrome Sh.pk, is located very close to the town of Bulqiza, as a part of it. Mineral resources from this mine, with a 70 years activity, as well as other mines around the town of Bulqiza, have been exploited indefinitely, creating horizontal underground hollows, as well as many abandoned galleries. The development of the mine activity is already happening under the city, which is accompanied by fears of residents for the collapse and partial loss of land and the city in case of earthquakes, as it is known

as an area with a very high seismic activity (Figure 2). The phenomenon has also led to the destruction and damage of wild flora and fauna, removed due to noise and vibrations, interruption of the natural landscape and destruction of their natural habitat.



Figure 2. Soil and water pollution, and acoustic pollution by the move of heavy vehicles (Photos by E. Laçi)

3.3.5. Reducing of the natural resources of chromium ore as a result of unmanageable use

Particularly after 1990s, the activity of extracting and exploiting of chromium ore, benefiting from the long transition period, was done without any criteria, from licensed companies and unlicensed illegal companies. The main mine itself has passed in several hands (from DARFO, to ACR, to ALBCHROME - Balfin Group), where the use of chrome ore has been made based on existing stocks, only horizontally, without further study of the future. Extraction of the chrome ore from the bottom to the surface and the uncritical exploitation of these reserves has led to a critical reduction of the natural non-renewable resources of the chromium ore in Bulqiza area, compromising the sustainable development of the area, and the country as well, compromising the future generations to meet their needs. The Government institutions should be more rigorous on the law enforcing on environmental protection for our future.

4. Conclusions and recommendations

4.1. Conclusions

The area of Bulqiza is the area with the largest number of chrome extraction and exploitation mines in Albania (136 subjects from 211 at the national level), where only around the city of Bulqiza there are 33 licensed and several unlicensed subjects. Chromium extraction and exploitation activity, in addition to the positive impact on employment and the economic growth and livelihoods of residents, is accompanied by numerous negative effects which, if not taken into account, will lead to total degradation of the natural environment in that area. The most important and most obvious negative impacts are air pollution, erosion, soil pollution and contamination, surfacewater and groundwater contamination, acoustic pollution (noise), vibrations and earthquakes, destruction and damage of flora and fauna, habitat interruption, loss of biodiversity, critical reduction of the natural non-renewable resources of the chromium ore, various health problems and loss of life of miners (the latter is most important).

4.2. Recommendations

All chromite mines must rigorously apply the rules of technical safety at work according to the legislation in force. The respective governmental institutions should immediately stop the illegal activity and all chromite mines will be provided with environmental permits and rigorously enforce the requirements of the law, regarding to the chrome minerals and inert waste. The Municipality of Bulqiza, in cooperation with relevant institutions in the Ministry of Energy and Industry (MEI) and the responsible environmental institutions (National Environmental Agency and Regional Environmental Agency), should be more cautious in addressing the environmental aspects and in the implementation of all specified conditions on environmental permits for the extraction and exploitation of chromium mineral resources. For chrome mining activity in the area, must be developed a strategic environmental plan with a detailed cost-benefit analysis considering the environmental costs in the long-term, considering the concept and the reality of sustainable development in the use of non-renewable natural resources / reserves, chromium in this case. Respective governmental institutions should immediately take measures for the rehabilitation of the landscape, adapting for other purposes, objects that are out of function and have a

negative visual effect in the area. People need to be aware that what the nature has given to us belong to the next generations.

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Financing of Social Services Towards the Challenges of the Local and Regional Development

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Abstract

The research focuses on the changes in financing of social services at regional and local level in a market economy in Poland. The important problems are also efficiency issues which can be implemented in public sector entities in the process of supporting social and economic development. In the study there were applied analytical methods relating to the gathered empirical data and research methods related to determining the real impact of the self-government units on the processes of socio-economic development. The key part of the text is analysis of the empirical source data regarding financial potential and directions of expenditures of self-government. Previous research results showed that the development of social services in a market economy in Poland was mainly the result of activities the entities and agencies of the public sector, whose role was to support and stimulate the development. As a challenge for the future it can be indicated strengthening the cooperation with entities of the third sector and sharing the responsibility both for the economic processes and social problems.

Keywords: social services, public finances, local and regional development.

Introduction

In contemporary unstable conditions of global economy, determining more and more volatile market mechanisms in Europe and in the world, it is necessary to verify both possibilities and challenges with regard to supporting social and economic processes in the market economy. In the market economy conditions, the social and economic development is a result of interaction of entities and organizational units of the public sector whose role is to support and stimulate the development, and of the private sector organizational entities, which are responsible for the actual course of economic processes related to market-based production of goods and services. It is even more important to pay attention not only to a significantly diverse scope of tasks and responsibilities of entities and organizational units functioning as the public sector but also to goals of the enterprises operating in the real sphere of market conditions.

It should be noticed that the broader context of development processes, including the role of the public sector and social services, can't be overlooked, especially regarding to global development problems, generally identified in the concept of development economics. According to the concept of development economics it is important to look for optimal resource allocation and support economic growth for poor countries which not always participate in globalization and development processes. Undertaking research on the connections between entities, organizational units being part of the public sector and enterprises operating in the sphere of market conditions leads to establishing the actual cause-and-effect relationship, as well as the role and the importance of particular groups of entities and their impact on the changes in economic processes in the market-based conditions. The principles of providing social services and methods of their financing have a special role here. In the context of the presented study, social services include all administrative activities that address the social needs of citizens, health care services, education, personal social services, care services, housing services, employment services and specialized services and also money transfers for various groups of the society. What should be emphasized is that the level of investment expenditure is the most important factor directly affecting the range and quality of public service delivery, including the level and quality of social services.

The purpose of the analysis presented in the paper is identification an evaluation of current possibilities and limitations occurring in the socio-economic development at the regional and local level processes in the conditions of the market economy in Poland. The main focus of the research has been directed to determining the role of organizational entities and

units of the public sector in the process of supporting the economic development and provision of social services. In the presented scope of the study, there were used analytical methods that refer to the real impact of organizational units of the regional and local self-government on the processes of social and economic development. In addition to a critical analysis of literature on the subject, the essential part of the research was an analysis of empirical data.

Dilemmas concerning the role of public sector in economic development and social services

In the contemporary conditions of the market economy, economic and social phenomena should be studied both in the macroeconomic dimension and from a specific territorial perspective. Analogic methods concern the shape of the abovementioned relations between entities of public and private sector. The significant scope of impact of the public sector on the economy is being implemented at the state level by actions of government administration, including both functions of creating legal regulations at the executive level and a number of activities at the level of public interventions with a strong financial component, as well as control functions. From the point of view of the subject of the presented paper, the particular attention should be paid to activities having a direct financial dimension, implemented through investments financed from the state budget or through a system of project-oriented subsidies addressed to various areas of economy and used for supporting implementation of specified social and economic goals, and especially supporting of the processes connected with delivery of social services.

Important role of the public support given at the central level and the present tendencies of social and economic changes indicate the need for a thorough analysis of the development problems from and local perspective. The essence of regional approach to economic and social processes refers to the identification of development potential of the region itself, external conditions forming the position of the region in respect of the business environment, as well as the determination of competencies and interrelations between entities having access to different economic resources of the region and forming possibilities and forms of their application (Parr, 2001, pp. 11-12). On this background, it is worth indicating a special role of the public sector entities at the regional and local level.

The self-government of the region fulfils important functions at the administrated territory. These are in particular coordination functions of a number of activities focused on development, implemented by local government authorities of communes and districts. From the point of view of shaping future social and economic phenomena at the local and regional level, certain attention should be paid to instruments of strategic management, long-term investment programmes, long-term financial management of material property owned by local government units as a basic sphere of decision-making process whose effects have a direct connection the process of achieving a growth in quality of living for the inhabitants of a given unit (Jarosiński, Grzymała, Opalka, Maśloch, 2015, pp. 33-39). The scope of competencies, and the scope of responsibility of the local government may be reflected in many areas of administrative activities, as well as by investment activities, determining to a large extent the efficiency of short-and long-term shaping of development conditions (Wojciechowski. 2003, pp. 136-138). An important task of the local government is to conduct analyses and make decisions with regard to implementation of both investments proposed by social groups, as well as take into consideration initiatives and proposals from potential external investors.

According to investments undertaken directly by the self-government authorities, it is necessary to properly evaluate the rationality of such projects, which may be demonstrated by preparation of each investment project in terms of its scale, by referring to factors, such as the number of future users and features typical for elements of technical and social infrastructure. One of the more important factors may be the massiveness of infrastructure elements, which often determines lack of substantiality for undertaking investment projects of small material, and therefore financial scope, and consequently – imposing the need for implementation of large-scope complex projects with high financial expenses.

The importance of the local government in the context of shaping the development phenomena manifests itself by fulfilment of the planned intentions, describing comprehensively all spheres of functioning and the special character of a given unit, and, at the same time, preserving the scope of competencies that is adequate for the public sector. The present conditions of the market economy force, to a greater extent, the drive to achieve a certain level of economic efficiency of actions undertaken by local communities (Laursen, Myers, 2009, pp. 1-8). Along with civilization progress, the social expectations increase, including both stricter environmental requirements and the need for implementing new technologies, which generates the necessity of providing a bigger volume of funds meant for construction, maintenance and modernization of infrastructure components (Messere, de Kam, Heady, 2003, pp. 44-46). The pursuit of achieving growth in the degree of social satisfaction in the conditions of market economy in reference to the public sector, corresponds to the development of new management concepts, including *managerialism*, based on the analogy between the management of units providing

public services and the company management focused on the profit (Newman, 2000, p. 48-55). It constitutes a part of the on-going debate on the role that the public sector should play in the economy and on the methods used in the management processes.

It is necessary to stress that in Poland, like in any other developed countries, the change in ways of approaching a problem of management of entities and organizational units in the public sector, including local government units, moves towards improving the effectiveness and efficient functioning and also delivering of social services (Fedan, 2011, pp. 209-216). Important changes in the sphere of shaping development processes are connected with the increase in the autonomy of local government units and the popularization, at least in the indicative perspective, of the attitude of "a manager" who induces greater activity and responsibility for undertaken tasks, including the need for new, more effective solutions of strategic planning and forecasting the effects of actions for the future periods.

Presented problems have a broader social and economic character, because it goes beyond the borders of states and regions. This manifests itself in a number of problems in the varied forms of organization and functioning of the state and society, in many demographic problems, and in many problems of delivering of public services. There are many examples where these problems have led to a number of dangerous tensions in the world. One of possible solutions is to refer to the concept of development economics.

Financial determinants of development at the local and regional level

In self-government units the important problem remains the function of the system of pooling resources and financing diverse public tasks. In this aspect, this is a problem of both decisions concerning global size of public funds, and decisions regarding their detailed use (Flynn, 2012, pp. 59-62). It is also related to the issues of financial independence of local government, and therefore the level of independence of particular units in respect of state authorities of the central level. To a great extent, the independence and financial stability of local government, and thus, the capacity to provide a proper process of public services provision and possibilities of long-term approach in shaping the development of a given administrative unit, are determined by the structure of budgetary income resources (Spearman, 2013, pp. 221-226). At the same time, it is worth emphasizing that the basis of financial economy of local government units is constituted by the budget, which is a decentralised plan of income and expenses, as well as of revenue and expenditures.

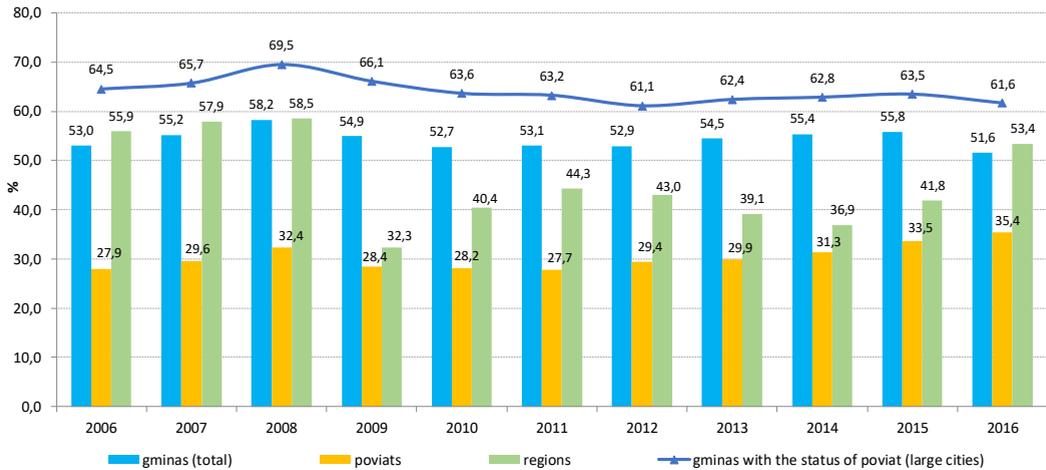
Provided considerations indicate a critical problem of systemic shaping of budget income sources of local government units, particularly including the search for optimal relation of income referred to as own and external income, including in this case transfers from the state budget and subsidies from public funds. A high level of own income, assuming at the same time their stability, can be considered one of vital determinants of financial independence of the local government (Swianiewicz, 2011, pp. 39-43). This does not diminish, at the same time, the importance of external income, because, despite its undoubtedly limiting nature of financial independence, this income constitutes an important element of regional policy, performing the support function in selected areas and, at the same time, being in control of selected domains of financial economy of a local government through public institutions of state administration. While analysing the problem of independence, we should thus define the scope of freedom that local government units actually possess, not only with regard to pooling the budget funds, but also with regard to spending them (Knox Lovell, 2002, pp. 11-32). The greater the scope of such independence of local government units, the more autonomous the entities that participate in the process of development become.

According to a simplified approach towards the issue of financial independence, based on characteristics of the aforementioned category of income, it can be stated that independence as to the income may be ensured only when the dominant role in financing local governments is played by own income. As for the autonomy of expense, it will increase along with the increase in share of own income and general subventions within the structure of income of local government units. It would be much easier to ensure the autonomy in terms of expenses, because both own income and the general subventions are disbursed on the basis of decisions made by legislative and executive authorities of local government units. However, such an approach would be too simplified due to the fact that income originating from their own sources, as well as subventions, should be allocated for the implementation of the own tasks of a commune that rarely have a facultative character. The actual level of disbursement independence depends therefore on the degree of regulation of those actions by legal regulations and on the scope of competencies being the responsibility of a local government.

The data concerning the actual degree of financial independence of the local government seems to be quite a difficult task while taking into consideration the ambiguous evaluation of the criteria of these problems. Nonetheless, it is possible use the analysis of specified indices, including the assessment index of share of local government units' own income in the

income of the sector of public finances units in total or an index of share of local government units' own income in its income in total. The growth in size of the aforementioned indices means the improvement in the financial independence of the local government. For the purpose of the analysis of the aforementioned phenomena, Figure 1 illustrates the percentage share of local government units' own income in budgetary income in total with division into communes (gmina), districts (powiat) and regions in Poland in years 2006-2016.

Figure 1: The index of own revenues in the total revenues of budgets of self-government units at regional and local level in Poland, in the years 2006-2016, in %



Source: own calculation based on data from Local Data Bank, Central Statistical Office, retrieved 10.09.2017 from <https://www.bdl.stat.gov.pl/BDL/start#>.

Among all the examined groups of self-government units, the highest index values were observed in the communes functioning as cities with the status of a district. This is a specific group of large cities, usually characterized by a strong economic base resulting from a high level of development in the private sector, which makes the units classified into this category the growth centres of different impact range. In the studied period, the index value for the aforementioned group reached the maximal value of 69.5% in 2008, and then experienced a gradual decrease that lasted until 2012 when the value of the index amounted to 61.1% and then again, a slowly growing tendency was recorded in the subsequent years. The index of share of local government units' own income in budgetary income in total determined for all communes reached a definitely lower level, despite the fact that changes in the studied period were similar to the ones in cities with the status of a district. After a period of growth in 2006-2008, the index reached a maximum of 58.2%, followed by a short-term decline to 52.7% in 2010. In subsequent years, stable growth was observed, to 55.8% in 2015, but in 2016 the index decreased to 51.6% which was the minimum value in the researched period in that group of self-government units. At the local level the group of self-government units with relatively lowest values of the examined index were districts. In the similar situation like in the case of communes, after the initial fluctuations since 2011, an expressly gradual increase in the value of the index was observed, its maximum value, which was achieved in 2016, amounted to only 35.4%.

During the studied period, the budgetary situation of regions was characterized by significant changes. However, the recorded dramatic decrease of the index value in 2009 resulted not so much from the actual reduction in the volume of own income, as from significant changes in overall structure of the budget funds. A significant role was played by the funds from the European Union budget that were transferred under subsidy development programs prepared by self-governments of regions as components of cohesion policy. It should be noted that in years 2006-2008, the level of the examined index in the regions was maintained at the level of approx. 60.0%, which would indicate a high level of financial independence. However, it is difficult to directly compare the situation of regions and communes, due to different scope of tasks and structure of budgetary income. It may be stated that in the case of self-government of regions both the scope of budgetary income and the actual possibility to influence economic processes in the region were significantly limited before 2009.

The role of self-government units in financing of development processes and social services in Poland

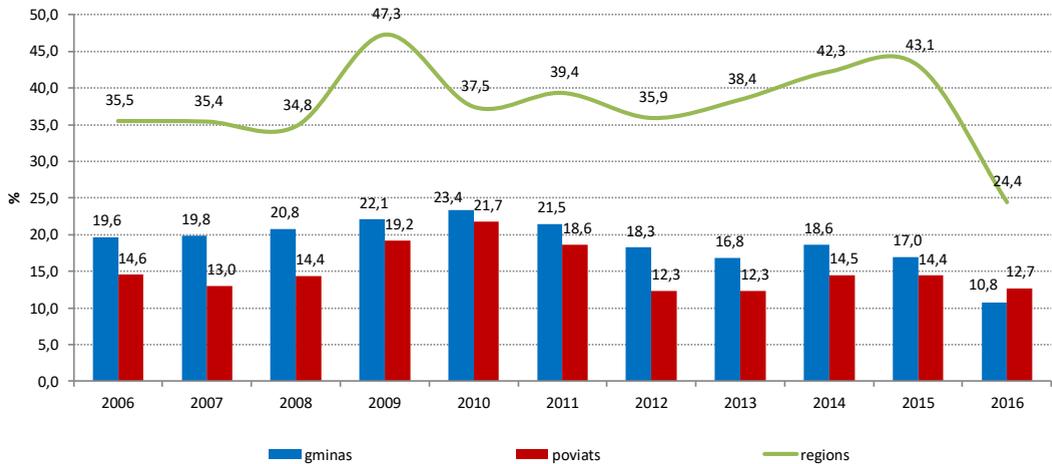
In case of a deteriorating economic situation and a decrease in revenues in the real sphere cause, as a common consequence there appear limitations of current activities, a cost reduction (often by reducing the level of employment) and a limitation of the scope of investment, as well as an increased frequency of decisions on suspension or total closure of business activity. For the public sector, the aforementioned phenomena lead to a significant risk of reducing the volume of taxes for the state budget from which shares are transferred to budgets of local government units. The characteristic tendency for the contemporary systems of public financing to make budgetary income depend on the volume of public levies, causes an intensification in sensitivity of the public sector both to changes in the real economy, and to cross relations. The example of the economic situation in Poland in comparison to the economic slowdown in many countries of the EU in the period after 2008 indicates the leading role of entities of the public sector in shaping the phenomena of development under conditions of financial crisis, and with the involvement of existing financing sources of public expenses. The lack of activity of the public sector would cause an additional deterioration in the condition of institutional infrastructure, weakening of regulatory functions of public administration and decreasing of quality of public services, including social services – which, as a result, would worsen the management conditions for the private sector.

Concerning the equivalence of the terms of development and investment, the author assumed that the investment expenses can be considered as an equivalent of development. It results from the observation that by means of investment we maintain the economic potential, making it possible to increase its scope, both quantitative and qualitative and also referring to the public services, including also social services. When it comes to self-government units the principle of development is recorded in the strategic planning documents including projects concerning quantitative and qualitative changes in the future. Therefore, in order to indicate the development of the public sector in local and regional economy the following scope of investment expenses within budgets of these units was adopted.

In order to identify general changes in financial potential and investment activity at the regional and local level, the research covered the analysis of index of the share of capital expenditures in total budget expenditures of self-government units, with adopting the division into regions, districts and communes. The results are presented in graphic illustration of changes in the index value in the aforementioned groups of units in Figure 2. During the examined period the highest value of the index of share in investment expenses in expenses budget in total, maintained at the level of more than 30.0% was recorded in the case of regions where, despite fluctuations of the index level, existed a visible growing tendency. Especially interesting was the leap increase in the value of the index which occurred in 2009 (up to 47.3%), and which was related to the intensive use of the funds from the European Union's budget under organizational solutions, introduced as an element of implementation of the cohesion policy in Poland in the programming period 2007-2013. The reverse tendency was observed in 2016, when the index declined rapidly to 24.4%.

In the case of the above index calculated for districts, there were significant fluctuations, including the growth from 2007 to 2010, when was recorded the maximum value in the audited period equal to 21.7%. However, in the subsequent years there occurred a decrease and then a stable level concerning the value of the examined index did not exceed 14.5%. The situation in gminas, in terms of changes of the index value of participation in investment expenses in total budgetary expenses should be described as the most stable one among the distinguished groups of local government units. During the analysed period, until 2010, there was a gradual increase in the value of the index and amounted to 23.4%. The following years brought, however, a decreasing tendency and in general a significant decrease of the concerned values to the level of even 10.8% in 2016.

Figure 2: Capital expenditures as a share of total budget expenditures of self-government units at regional and local level in Poland, in the years 2006-2016, in %



Source: as in Fig. 1.

Financing of self-government tasks is still strictly connected with the need of catching up with the development in the sphere of both economic and social infrastructure. One must also note that the observation of self-government units' financial involvement in public services tasks might have been distorted during the examined period by frequent cost-saving activities attributable to the global financial crisis and its impact on public finances. On the budgetary expenses side, an important area of change is found in the efforts of the Polish public administration, which indicate that it is joining the path of reform of public finances that is already present in many EU member states. The main direction of organizational changes and the financing of cohesion policy in European Union is a strategic approach, concentrated on social aspects becoming the key factors of long-term development processes (Schiek, 2013, pp. 75-81). However, it is also connected with the concept of new public management and a concentration on outcomes and evaluation of the public tasks' efficiency (Komorowski, 2012, pp. 46-52). New ways of managing financial resources by institutions of the public finance sector should be considered in the context of restructuring the financing system, which is necessary given the deficit of the state budget. It is expected that the newly developed solutions could be applied at the level of self-government budgets and used in various areas of the local economy, for example the development of infrastructure, social and health care policy as well as education (Opalka, 2014, p. 42).

In order to illustrate the problem in the local and regional scale it is worth noting the structure of expenditures for basic activities in the sphere of social services provided by the self-government. During the study extensive empirical data was collected, however, due to the limitations in this paper, the results for the major items of relatively high level of expenditure were presented. The highest share between 2006 and 2016 was related to education expenditure, achieving approx. 30.0% of total budgetary expenditures. This is related to the established systemic solution whereby self-government units at various levels are responsible for governing and financing this part of social services. Another important part of public expenditure was social assistance expenditure. Their share in the budget expenditures of self-government units was also relatively stable, reaching the level of approx. 14.0%-15.0% and is the result of adopted systemic division of the competences between government agencies and self-government units. The empirical results are presented in Table 1.

Table 1: Expenditures on activities in the sphere of selected social services provided by the self-government in total budgetary expenditures of the self-government in the years 2006-2016, in %

| Specification | 2006 | 2007 | 2008 | 2009 | 2010 | 2011 | 2012 | 2013 | 2014 | 2015 | 2016 |
|---------------|------|------|------|------|------|------|------|------|------|------|------|
| Education | 30,9 | 30,5 | 30,0 | 28,3 | 28,4 | 29,2 | 30,8 | 30,6 | 29,3 | 30,2 | 29,6 |
| Healthcare | 2,6 | 2,4 | 2,5 | 2,4 | 2,2 | 2,3 | 1,9 | 2,1 | 1,9 | 2,0 | 1,6 |

| | | | | | | | | | | | |
|-------------------|-------|-------|-------|-------|-------|-------|-------|-------|-------|-------|-------|
| Housing | 3,5 | 3,4 | 3,8 | 3,7 | 3,4 | 3,5 | 3,7 | 3,4 | 3,4 | 3,7 | 3,2 |
| Social assistance | 16,5 | 16,0 | 15,2 | 14,0 | 14,1 | 13,8 | 14,3 | 14,6 | 14,2 | 14,2 | 23,0 |
| Other | 46,5 | 47,7 | 48,5 | 51,6 | 51,9 | 51,3 | 49,3 | 49,2 | 51,2 | 49,9 | 42,6 |
| Total | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 | 100.0 |

Source: own calculation based on data from Local Data Bank, Central Statistical Office, retrieved 10.09.2017 from <https://www.bdl.stat.gov.pl/BDL/start#>.

One of the most relevant challenges in the decision-making process concerning started investment projects by local government authorities is the rationality of spending public funds. At the stage of preparation of development plans or investment programs we should therefore perfect the methods of analysis concerning the economic efficiency of particular investment projects, but also the impact of a particular project on the functioning of the local economy (Fuguitt, Wilcox, 1999, pp. 38-42). Services of general interest and social services are usually characterized by low price flexibility and an income of demand, which means that both changes taking place on the part of prices and income have little effect on changes in the demand, thus on the level of demand. The phenomenon of low flexibility of demand in this area of services has its specific effects on the whole process of services provision (Stiglitz, 1983, pp. 17-41). In addition, some public services, especially social services, are provided free of charge, which means that their effectiveness cannot be assessed only by using instruments of financial analysis (Jarosiński, 2003, p. 91). Similarly, the investments made in order to increase the fixed assets of serving provision of the aforementioned services should be, to a larger extent, evaluated with the use of tools allowing measurement of not only the financial effects, but also the impact on the condition of natural environment and social effects, which shapes the future attractiveness of the areas of a given territorial unit as a place of residence and development of local entrepreneurship.

Despite a positive situation observed in the previous periods with regard to capacity of generating funds allocated on investment projects, more attention should be paid to the issues of participation of external capital in financing investment expenses, as well as the issues of growth in the public debt, being factors that indicate a presence of structural mismatch of base of budgetary incomes to actually identified ones in new conditions of needs of social services of local communities. Taking into consideration the anticipated limitations of the availability of external investment capital of non-returnable character, in the budget economy of a given local government unit there is an important element which is to maintain the balance of the budget and a safe level of indebtedness (Leithe, Joseph, 1991, pp. 71-87). In the view of an insufficient level of social and technical infrastructure still present in numerous local government units in Poland, and the phenomenon related to this insufficiency, namely expectations with regard to faster satisfaction of collective social needs, many units undertake the implementation of capital-absorbing investments in tangible assets. The excessive level of debt and long-term costs of incurred debt associated with it may significantly block or reduce the capacity of a given unit to make new investment projects. These problems appeared in Poland quite commonly in the past. In the period of transition, it was possible to rebuild the structures of the state and society and to direct socio-economic processes to the development path. Numerous difficulties in the functioning of the state and provision of services within the public sector are still present in poor countries. In broader context, in many poor countries of the world development dilemmas are still waiting for effective solutions. The accumulation of socio-economic changes and the increase in demand for services expected to be delivered by public institutions combined with financial challenges are creating a mix, in which inaction of public authorities will increase the risk of leaving many groups of society without the necessary support (Błędowski, Kubicki, 2014, p. 36).

As it has been stated, in the conditions of market economy, the social and economic development is a result of enterprising tasks implemented in the companies operating on the open market. We can formulate the thesis that a need for interaction of public sector and private sector entities results from the fact that local government units are responsible only for a small scope of tasks, including mainly public ones (Jarosiński, Opałka, 2015, pp. 11-14). It is worth indicating the growing importance of dynamically increasing groups of participants of development processes on a local scale - the cooperation of local government with NGOs with regard to services provision and social investments. These organisations, which are regarded as part of the sector of non-profit organizations and constituting at the same time facilities of social economy, may be considered as an important and still developing group of participants of social and economic processes in Poland, and gradually acquiring a significant part of social tasks, which have traditionally been the state's domain.

Conclusions

According to the results of the conducted analysis we can state that the role of entities and the public sector entities in the processes of social and economic development is undoubtedly significant and, as it results from a survey, it grew in the years 2006-2016. The self-government units are still responsible for shaping the development phenomena. The role remains limited, while the centre of gravity of economic effects was transferred to the real sphere and to the private sector. The economic independence of local government units was weakened due to the fact that local governments became significantly dependent on external both return and non-returnable sources of financing. In particular, the refundable sources of financing meant for achievement of investment goals have a long-term dimension. The decisions-making processes in many cases may have long-term consequences, exceeding the term of office of a local government authorities. Despite the existing guarantee of decision continuity in the public administration, it is worth highlighting the importance of direct liability for any potential effects of undertaken actions that may negatively affect the budget situation in the future periods.

The conducted analysis shows that the responsibility for the decisions on development and their future economic and social results belong to the most significant in social and economic sense. They are also the most difficult elements of participation of entities of the public sector in the economy at the local level and in the process of shaping and stimulating its development. Among many challenges that are still valid, we must enumerate proper assessment of the needs of the social services, the improvement in processes of preparation of investment projects, including taking into account all the relevant instruments of planning and evaluation of the material and financial scope of the projects, as well as the responsibility of a local government manifesting itself in the implementation of investment projects, describing comprehensively all the spheres of functioning of a given unit.

Taking into consideration all the past experiences related to the functioning of self-government units in Poland it should be stated that these entities are responsible for a considerable scope of delivering process of public services, including social services, that often involve undertaking capital-absorbing investments. In this context there are serious restrictions consisting in mismatching the scope of measures and the scope of tasks. The consequence of this mismatching is the search of local government units for the source of extra-budgetary character, including mainly sources of returnable nature. However, it may constitute a limitation in future possibilities of development financing. Coordination of social services is still a complex process. These services have many characteristic features, for example: high demand for investment capital and high operating costs. A distinctive feature of social services is gratuitousness or a partial charge. In practice it means that all costs related to the provision of services must be financed from the public financial resources.

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Public Sector and Budgetary Economy in Transition in Poland in a New Context of Development Economics

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Abstract

The subject of the paper is to present selected problems of the budgetary economy of enterprises and organizational units of the public sector. The main focus is to explore the relations between the principles of the budgetary economy of the public sector units against assumptions of new concepts of economic development. This study refers also to the idea of development economics because the systemic transition towards the market economy in Poland required reconstruction of the economy and the creation of new political, organizational and social structures. In the presented study there were applied analytical methods relating to the empirical data and also analytical methods related to the finances of the public sector. Research methods referred to the theoretical analysis of literature and empirical analysis of the relations between phenomena occurring in the real economy and in the public sector. Preliminary studies indicated that it was not possible to conduct economic policies and maximize tax revenue, particularly by escalating tax burden. Budgetary economy should therefore be conducted according to the principles of rationality and efficiency of resource use. The increase of the budgetary revenues of these group of public sector units must lead to negative consequences, and in particular to increase of the range of the shadow economy.

Keywords: budgetary economy, local and regional development, public finances, taxation.

Introduction

The transition period in Poland brought far-reaching systemic changes, focused on versatile changes in the functioning of the state, economy and society. On the one hand, a number of reforms was initiated, aimed at democratization of public life, and on the other hand, the process of changes in the economy's systemic character started. Among these changes, the most important issue were problems related to the reconstruction of elites which could effectively implement the said systemic reforms. Switching the economy to the market rules involved not only determining the new functional mechanisms of economic entities, but was also connected with the establishment of a new social consensus which was the biggest challenge; reforms brought about a number of negative phenomena which, for a part of the society, were not understandable and led to deterioration in the society's living standards.

The beginning of social and economic reforms were also related to the public sector entities and organizational units. In new economic conditions, entities being a part of the public sector, due to the special character and many differences of technical, organizational, spatial as well as financial nature required identification of a new functioning framework and development of adequate management methods, taking account of the special character of public service provision process. One of the most important features of public entities' and units' activities is provision of wide range of public services. Such a process has a long-term character of activity. A long-term character results from the need for the sector entities to fulfil the obligations established in legal norms, which clearly constituted the material scope of tasks, principles for their implementation as well as principles of organization and financing of these tasks. The long-term or strategic scope of goals to be met by local government units of various levels seems to be most vital and, at the same time, most difficult problematic scope. Long-term, or rather unlimited character of local government units' activities means that proper performance of tasks and achievement of goals involves highlighting a considerable number of variables which arise both during the current activities as well as in the course of formulating future goals, including new investment projects on local and regional levels.

The development processes remain a main problem of public entities and also of the enterprises functioning in the real economy. It means that it is necessary to combine and correlate individual goals of inhabitants, economic goals of entities functioning in market economy conditions, social goals of the state and goals of other units functioning in the society. An important problem of long-term perspective on development processes is uncertainty as to the events for future periods and difficulty related to expectations or forecasting of phenomena which are always burdened with risk elements affecting possible achievement of the set goals. It is particularly important to make a reference to the future budgetary income of the public sector entities and units, which in the long term perspective, is customarily connected with financing of the investment and indebtedness service, if a given unit is liable for past periods.

The important subject of the study was to present the selected economy problems of organizational units in the public sector, in particular to examine relations between principles of generating revenue for budgets concerning the said units as part of the optimum taxation concept. The main analytical problem is the issue of gathering public income and generating revenues of organizational entities and units in the public sector on the basis of the existing tax system. Responsibility for the implementation of long-term sustainable budget economy is connected with the provision of broadly understood public services at the state and at the local and regional level. It is necessary to pay attention to the problem connected with a long-term maximization of budgetary incomes and therefore, with the possibility of tax burdens growth. Supporting local and regional development can not ignore the main principles of the concept of development economics. The economy of development puts the main emphasis on seeking ways to improve the economic and social situation in poor and developing countries, bearing in mind the evolutionary changes in theoretical approaches to the development. It is therefore proposed to use a wider recognition of the concept of development economics, which in some areas may also have a positive influence on the processes in Poland. This concerns the allocation of own public resources and the EU public resources provided to Poland in the form of support. It is therefore necessary to expect and strive for the best use of resources and to follow the principles of optimization in economic decision-making.

Condition of the budgetary economy and the regional and local development

In the market economy conditions it is not possible to implement a social and economic policies which could be expressed by the rapid growth of budgetary incomes, in particular through the increasing of tax burdens of local and regional communities. Development scenario connected to the maximization of tax incomes could not be accepted due to the possibility to distort balance between incomes in the private sector and personal incomes of citizens in the market economy conditions (Mirrlees, 2006, pp. 23-35). Social expectations are oriented rather towards the growth in importance and growth in benefits in the private sector. However, an important question still remains: what relations should be shaped in the future to make it possible to assume that the subject scope and streams of income in the public sector aim at socially acceptable values, that the state budgetary income in the public sector is connected with tasks and financial needs for these purposes, as well as that the tax burden can aim at optimum values (Boadway, 2012, pp. 185-202).

The budgetary economy of the public sector entities and organisational units should be carried out according to the principles of rational and effective use of possessed resources. Such an approach enables to achieve relatively better results, maintaining the present volume of budgetary income. Maximization of budgetary income of above units in the public sector can lead to negative phenomena, in particular to negation of implemented economic programs, aversion to take risk, drop in entrepreneurship as well as to avoidance of taxation and a shift to the grey market. Optimal taxation can be understood as seeking a level of taxes which would ensure an appropriate level of income of budget entities in the public sector and, at the same time, would not cause negative effects on the part of household budgets as well as negative effects on the economy (Tuomala, 2016, pp.1-14). Searching for an optimum taxation should be a generally adopted principle leading to improvement in the effective utilization of public resources and to a greater surplus in the real economy which could be used for development purposes (Stiglitz, 2010, pp. 11-28). An alternative outlook on the problems of effective use of public resources and budget economy of organizational units in the public sector is to draw the attention to management efficiency in the public sector which directly involves better use of possessed resources and, as a consequence, may lead to the reduction of the pressure on the growth in budgetary income and demand for the external funds of refundable character justified by the need to search for sources of financing for increasing tasks, including especially investment tasks.

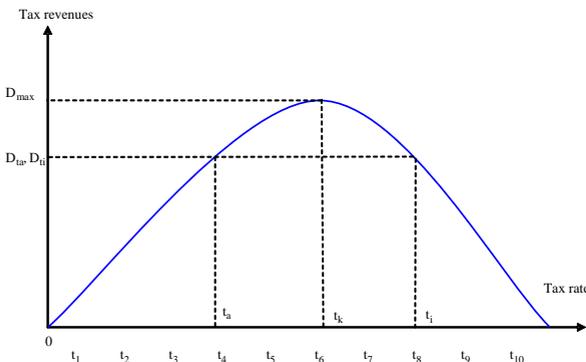
In the whole economy, including the public sector with local government units, the taxation problem plays a key role. A normal trend is to seek methods leading to the improvement in the income situation of the units which, under such direction of activities, look for possibilities to strengthen their economic and social position. It seems that such direction can be considered completely justified, the more so that units in the public sector, including also local government units at the regional and local level, are still undergoing implementation of their scheduled development paths which involves the need

to provide proper financing sources. Practice and conducted research proved that the main barrier for the fulfilment of many tasks of local government units were insufficient resources of own budgetary funds. Such units very often turn to other external sources of financing their tasks including, both those of refundable character, but also such of non-refundable character. It is also possible to observe adverse effects concerning the excessive use of credits or loans during financing of tasks, including investments. As a consequence of use of the described solutions, we can identify a new problem related to excessive deficit, both at the state budget level and at the level of the abovementioned local government units at various levels.

One of the basic methods to solve the problem of budget funds' deficiency could be a growth in taxation rate which could, over a short time, result in a clear improvement in the income situation. The question is if such reference to taxpayers' income may effectively improve the budgetary situation in the long term, what is important during the implementation of various development investments. It seems that the question formulated in this way can be answered affirmatively. A growth in the tax rate may result in a short-term income effect, however, in the long term, the maintenance of stable higher budgetary income is not possible, for various reasons. In the longer period, a clear drop in budgetary income is to be expected, which would be caused by economic and non-economic factors.

The problem of high tax burden can be analysed in theoretical terms, referring to the theory proposed by A. Laffer. According to the cited study, a growth in tax burdens can lead to growth in income only to a limited extent. In the first phase, a growth in a tax rate actually leads to a growth of budgetary income both for the state budget and for the budgets of self-government units. Starting from a certain point, however, despite further growth of tax rates, budgetary incomes will not be growing. In such situation it is possible that the tax incomes will stay at the same level or even will absolutely drop. The course of this phenomena has been illustrated graphically in Figure 1.

Figure 1: Tax rates and the tax revenues, the Laffer curve



Source: Wanniski, 1996, pp. 221-233.

The course of the Laffer's curve shows that the initial growth in income taxation rate leads to a systematic growth in tax revenue which in point t_k achieves their maximum, namely the condition in which tax income are the largest compared to all possible combinations of the tax rate amount. In the range t_0-t_k we can observe a growth in tax revenues. Starting from point t_k , regardless of the further growth in tax rate amount, the growth in tax revenue is no longer observed. Next we can see a reverse phenomenon, the tax revenues upon exceeding t_k tax rate point are gradually reduced. This phenomenon shows the behaviour of taxpayers in the event of continuous growth in tax rates. The normal reaction of taxpayers is the aversion towards making efforts to achieve higher revenues. It results simultaneously in limitation of economic activity and entrepreneurship. A potential and particularly unfavourable problem can be here a moving of business activities to the "grey market". It could lead to the reduction in the effective individual tax rates of a particular entrepreneur. Such a situation may result in shaping and popularizing fixed negative behaviours of taxpayers, and they may not respond to system changes with regard to taxation.

Concerning the correctness of tax effectiveness implied on the ground of analysis of the theory proposed by Laffer, it is also necessary to refer to main problem associated with tax division of surplus and further allocation of public goods. The

question is whether, in a future perspective, is it possible to increase budgetary income of the state and local government units as a systematic growth, relating to the future needs and social expectations. The question also is whether it is possible to seek adaptation of the budgetary income size which would be conducted through the growth in tax burdens, even if it is connected with the growth of the economic basis. Therefore, is it possible in the market economy, to create such a proportion of division of total economic surplus in the society, where the significant position would be taken by subsequent expenses related to financing of various public tasks.

Various unexpected changes of tax systems may cause major risks for the economic development and social sphere, especially in the situation of a need to look for maximization of tax revenue. These are currently observed and it seems that through the growth in tax burdens it will be possible to balance cash income streams and expenses implemented under budgetary economy at the state and self-government units level. Difficulties in incomes and expenses balancing become the first symptom of irregularities in the economy. In the long period it must lead to broader negative phenomena. They may appear as growth in budgetary deficit and problems related to the excessive debt and difficulties with the indebtedness service can appear (Carlberg, 1988, pp. 45-62). As a result, a number of negative external effects may appear in the economy, potentially leading to the reduction in investment value. These effects can emerge relatively quickly in the condition of open economy. Such conditions has been appeared within the structures of the European Union and also in economic organizations having much broader, even global dimension.

The concept of optimal taxation with respect to selected public and private sector taxes is in essence a proposal to make more efficient use of the resources available and to reduce excessive fiscal burden. It is also fully compatible with the concept of development economics, where in certain situations entrepreneurs and individuals are not able to accept high tax rates level created in a systemic form. According to the concept of development economics, it is advisable to look for alternative solutions that would allow higher efficiency of the allocation of resources while reducing tax burdens. It is also important that, according to the concept of development economics, it is possible to create new stable economic conditions.

Periodically we can accept excessive tax burdens which would be justified solely by the need to implement development investments in the public sphere over a relatively short period of time. This complex problem could be solved through determination of such tax burdens which, on the one hand, would be accepted by the society and economy and on the other hand, would satisfy demands related to financing of development projects. It would be possible to seek an optimum tax level. Taking into consideration funds disbursed for the implementation of public investments, it would be necessary to determine methods and to monitor the quality and the scope of services and goods delivered to the society under the consensus in the sphere of tax burdens. This solution should be referred to the tasks assigned to the central administration and to the tasks assigned to the units at the regional and local level.

The complexity of financing of public tasks in the market economy conditions needs the best solutions possible in the tax sphere to be implemented. It is a continuous process, which should be cyclically verified towards long term efficacy of used solutions. The optimum taxation, considering many years of experience, is a relatively new phenomenon. The mismatch of the tax rates to the possibilities of economy and society and, at the same time, fast growth in the public sphere expenditures are becoming the reason why problems of macroeconomic character are observed. It is reflected in the excessive budget deficit appearing not only in poorly developed countries, but also in the largest economies of the world (Messere, de Kam, Heady, 2003, pp. 47-51). Looking for the optimum taxation has become a new direction in research, along with seeking fair goods redistribution. The problem of a mismatch between the tax system and the effects related to it was emphasized by N. G. Mankiw, M. Ch. Weinzierl and D. F. Yagan, with a conclusion that a well-built tax system should guarantee maximization of social welfare. Social welfare would be achieved both within personal income, enterprises' income, but also under the provision of public services provided by entities and organisational units in the public sector, namely under income originating from taxes. This issue seems logical, covering even elements of choosing the best solutions possible (Mankiw, Weinzierl, Yagan, 2009, pp. 147-174, Heady, 1993, pp. 17-41).

Tax rates in the market economy still remain an important sphere of activity of private entities, and of various entities and organizational units of public sector. Tax rates and tax revenues are instruments of development of effective demand on the market, as well as an important instrument of the financing of projects in the framework of various forms of public intervention. It is believed that these financial flows are also by now an important field of activity in the conditions of the social market economy in Poland.

Empirical study on budgetary economy of self-government units

In practise, we can observe various conditions concerning construction of the tax system, ensuring fulfilment of social welfare maximization. Growth in the wealth level must be developed by new investments, both in the sector of enterprises of the real sphere as well as in the sphere of entities and organizational units in the public sector. New investments require to ensure within the tax system sufficient funds for their financing.

Investments in the public sector are usually realized in the long-term perspective. Such investments always are connected with the removal of development barriers in changing social and economic conditions or increasing of public services quality. Especially important role is played by self-government units as the entities responsible for the creation of conditions and supporting development at the local and regional level (Ruśkowski, Salachna, 2007, pp. 98-102). Thus the scope of responsibility assigned to local government units and their possibility of supporting development processes is considerable. However, it is limited and focuses on cases of public nature, excluding the possibilities to conduct business activities in various forms typical for enterprises operating on the open market. The provision of public services is also important for the support of widely understood economic processes and for the creation of good business conditions for entities belonging to the private sector.

The activity of self-government units must be focused also on correctly conducted long-term budget management and on implementation of recognized and hierarchized development objectives. It needs to provide sources of financing of the goals in the current perspective, as well as in the strategic perspective. In case of self-government units, the scale of the problem is extensive and includes a number of issues related to new investment projects (Siuda, 2009, pp. 136-144, Jarośniński, Opałka, 2014, pp. 13-28).

At this point, it is worth noticing the changes in budget income situation of local government units, with changes in the situation of population's income which occurred in Poland in the years 2004-2015. The comparison aims at analysing changes which took place in Poland in the market economy conditions it personal income per capita as well as in budgetary income of communes, districts and local provinces. Empirical data gathered in Table 1 show that personal income per capita, in the years 2004-2015, grew by 87.8%, whereas at the same time, self-government units' budgetary income per capita grew by 114.1%. In this period, budgetary income of communes per capita grew by 117.5%, budgetary incomes of districts per capita grew by 87.8%, while budgetary incomes of provinces per capita grew by 144.4%. The collected data indicate that in the period of 2004-2015 personal income of the population per capita had lower growth rate than incomes of self-government units per capita.

Table 1: Budgetary revenues of gminas, poviats and regions per capita vs. personal income per capita in Poland in the years 2004-2015 in thous. PLN

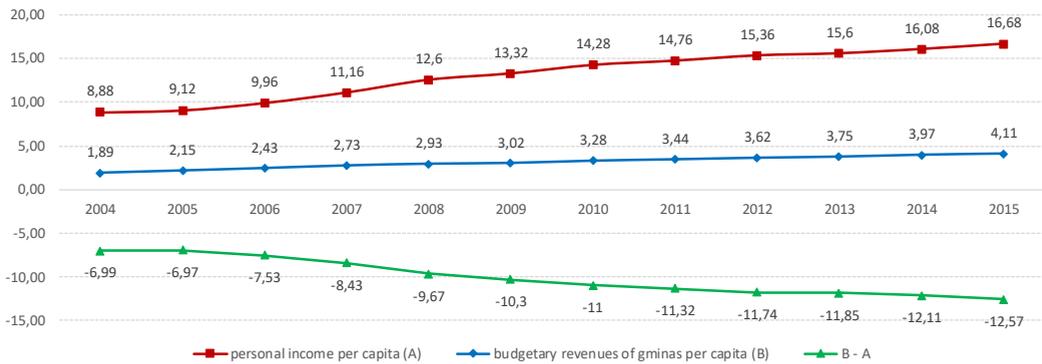
| Specification | 2004 | 2005 | 2006 | 2007 | 2008 | 2009 | 2010 | 2011 | 2012 | 2013 | 2014 | 2015 |
|--------------------------------------------------------------|------|------|------|-------|------|-------|-------|-------|-------|------|-------|-------|
| Personal income per capita | 8.88 | 9.12 | 9.96 | 11.16 | 12.6 | 13.32 | 14.28 | 14.76 | 15.36 | 15.6 | 16.08 | 16.68 |
| Budgetary revenues of gminas per capita | 1.89 | 2.15 | 2.43 | 2.73 | 2.93 | 3.02 | 3.28 | 3.44 | 3.62 | 3.75 | 3.97 | 4.11 |
| Budgetary revenues of poviats per capita | 0.49 | 0.54 | 0.59 | 0.64 | 0.71 | 0.79 | 0.87 | 0.91 | 0.87 | 0.89 | 0.92 | 0.92 |
| Budgetary revenues of regions per capita | 0.18 | 0.19 | 0.25 | 0.30 | 0.33 | 0.51 | 0.37 | 0.39 | 0.40 | 0.42 | 0.46 | 0.44 |
| Total budgetary revenues of self-government units per capita | 2.56 | 2.88 | 3.27 | 3.66 | 3.98 | 4.32 | 4.51 | 4.74 | 4.89 | 5.06 | 5.35 | 5.48 |

Source: own calculation based on data from Local Data Bank, Central Statistical Office, retrieved 10.09.2017 from <https://www.bdl.stat.gov.pl/BDL/start#>.

It should be noted that, apart from the growth rate of budgetary income in the abovementioned groups, we have noticed significant differences in sizes of these incomes. In 2004 personal income of population per capita was higher by 369.8% than the budgetary income of communes per capita. In 2015 the difference between compared income categories was lower and amounted to 305.8%. These numbers indicate that in the market economy conditions in Poland, the income situation of natural persons improved and in comparison with budgetary incomes of communes per capita, was significant high. Therefore it should be remembered that, according to the tax system adopted in Poland, income redistribution was also oriented towards achieving objectives and tasks of the local government units as a part of the public sector. A slightly different situation was observed when it comes to budgetary income of districts and provinces per capita. A graphic

illustration of changes in the level of personal income per capita comparing to total budgetary revenues of gminas per capita and comparing to total budgetary revenues of all levels of self-government units per capita are presented in Figure 2 and Figure 3.

Figure 2: Personal income and total budgetary revenues of gminas per capita in Poland in the years 2004-2015 in thous. PLN

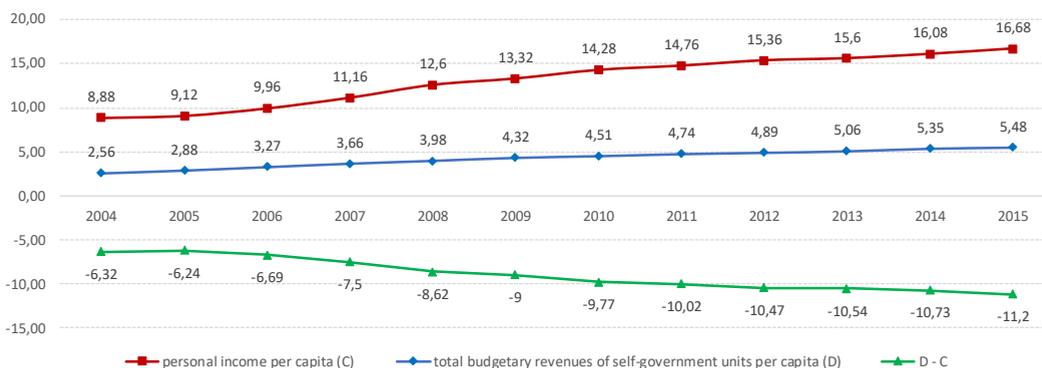


Source: own based on data in Table 1.

Throughout the whole discussed period, the level of budgetary income of districts per capita as well as the level of budgetary income of provinces per capita was lower than the level of personal income per capita. Over that time, we observed the growth in differences in the level of income. When it comes to the income situation of local government units per capita in comparison with the income situation of inhabitants, in the case of local government units (gminas and poviats), the discussed income category grew by 113.3% with the comparison to personal income growth per capita (87.8%).

Under conditions of the market economy, we can expect that the income situation of population would undergo faster improvement than the income situation of self-government units belonging to the public finance sector. The collected data show, that we were dealing with a reverse trend in the past, the incomes of self-government units grew faster. It resulted from the influence of two groups of factors. The first one covered applicable principles of gathering budgetary incomes of the state as well as the redistribution system of these resources. The second covered low level of social and technical infrastructure development in Poland and the related development needs. The only way to reduce the differences and mitigate disproportions were new investments undertaken during the examined period. Therefore, it can be assumed that the tax system was logically subordinated to higher investment needs which occurred in the public finance sector.

Figure 3: Personal income and budgetary revenues of self-government units per capita in Poland in the years 2004-2015 in thous. PLN



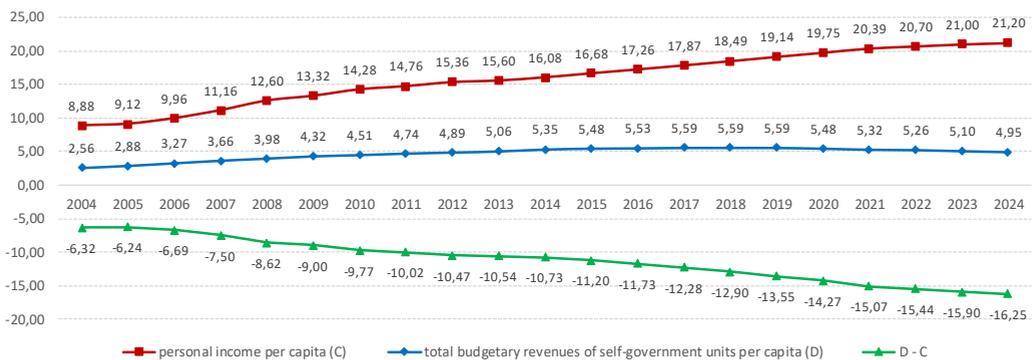
Source: own based on data in Table 1.

The collected data prove that we have been dealing with clear fiscal orientation of the state which should have temporary character. It should be stated that the removal of the discussed development barriers will create real grounds to mitigate tax burdens and will open a way towards the construction of an optimum tax system, where proportions of income redistribution will be slightly different and more inclined towards personal needs of inhabitants. The current situation may be considered as a temporary condition which should evolve towards mitigation of tax burdens and a gradual withdrawal from the maximization of budgetary income at the level of state and at the level of self-government units.

It is necessary to take into consideration the economic and social preferences related to the elimination of the abovementioned development barriers which assumed the form of low level and low quality of social and technical infrastructure. The change in this condition may cause permanent, long term and positive effects to reduce the demand for investment capital in the public sector. The obtained effects may contribute to the maintenance of development impulses in the long term and create new possibilities of income redistribution. Therefore, it can be assumed that with regard to budget economy of local government units, significant changes may occur, consisting in the reversal of the trend observed in the years 2004-2015, involving maximization of budgetary income for the reduction of tax burdens and seeking an optimum tax system.

We can assume that in the future the budgetary incomes of self-government units may be stabilized, slightly grow or, in some cases, even reduce. Such scenarios may be the result of the evolution of the scope of tasks and changes in the needs in the area of public services. It also may be the result of the stabilization of budget economy, improved effectiveness of resource allocation and increased management quality, both in the current and the strategic perspective. Therefore, we can make a hypothetic assumption that the target model of optimum taxation in Poland will create conditions to change the tax revenue redistribution. As a part of the study a simulation was conducted consisting in verification of the existing system of generating revenue of budgets of self-government units. As a result, hypothetic cash flows were adopted which, upon aggregation, gave final results of budgetary income which may be achieved after 2019. Expected changes in relation to the situation observed in the period of 2004-2015 are presented in Figure 4.

Figure 4: Personal income and total budgetary revenues of self-government units per capita projection in Poland in the years 2004-2024. Changes in the level of budget revenues to the optimization of the tax system in thous. PLN



Source: own calculation and presentation.

The prospective analysis related to personal income per capita in Poland as well as total budgetary income of self-government units shows that we can expect the improvement in the income situation of population per capita in the period until 2024. It will take place with the simultaneous reduction in budgetary income of self-government units per capita. We should remember that the above considerations are of hypothetical and general character. Expected changes in the level of income in Poland can appear only after the planned reform of the tax system. Such changes require the implementation of a complex legislative process, assuming that that tax burden optimization will be approved by various business, social and political environments.

Conclusions

In the examined period, financing of public tasks in Poland was set in different conditions and consisted in various social and economic changes. Firstly, it is necessary to point that in the period of 2004-2015 broad investment program in public finance sector was implemented. For this purpose many sources of financing of new investment were implemented. New financing sources became available as a result of the system transformation in Poland, as well as a result integration processes in Europe, in which Poland also took part. Except own sources, which usually constitute the main basis for financing of investments, significant external funds of refundable and non-refundable character were introduced to the public sector. Such conditions appeared especially after 2004 when Poland accessed European Union. This fact made it possible to activate stable support mechanism for financing of investments in the public sector in the period of 2004-2015. At that time it was possible to increase quantitative and qualitative effects of new investments. It should be pointed out that good financial situation will not be permanent in the future prospect. Better social and economic situation in Poland will lead to reducing of the financial support of the EU. It is necessary to remember that in the long term new development investments will have to be financed only on the basis of own budgetary sources or on the basis of the financial means existing on the open financial market.

It is necessary to consider the need to depart from the maximization of budgetary incomes in self-government units resulting from possible future limitation of the demand for financial resources in the public sector. This phenomenon may be associated with the more effective use of own resources, changes in tax system as well as moving towards the limitation of budgetary income as a result of planned tax reforms. There is no doubt that in the long term according to concept of development economics, the countries covered by the European Union's support program, including Poland, will have to work out and consolidate their own development path in the form of sustainable development. Taking into account a wider context of future development, introduction of such changes may be difficult. These changes will depend on a number of different factors of an economic, political, organizational and legal nature and will depend also on many social determinants. It is also a question of examining the changes of tax system which would allow optimization of a tax system and indicate actions aimed at improving effective use of public resources. The presented scenarios of a possible course of phenomena in the future refer to possibilities of stabilization or even reduction in the demand for budgetary resources under conditions when the existing barriers and development limitations has been removed.

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Managers in The Development of Higher Education in The Republic of Kosovo

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Abstract

Higher education in the modern world considered specific instrument that promotes the economic development of any country and therefore considered as factors that stimulates productivity and economic efficiency. Practices prove that not every investment in the higher education sector in economic development automatically convert. Even in Kosovo, despite the investment in the system in this segment which continues to be poor and without any progress in development. It is derived insufficient qualified people if at the same time is not reached to create infrastructure, institutions, legislation and motivation system on the concept of professional career. Harmonization of these segments and create the necessary synergy educated and skilled people that entered the market certainly qualitatively affect economic development. From this angle the modern direction of Universities is one of the elements of success for socioeconomic development. Higher Education system in Kosovo continues to face fundamental problems which continually degrade this segment. Evidenced most notably the inability of internal quality assurance, lack of legislation on the management of the university profile and lack of human resources for this feature. To prove this we analyzed a series of theories about the ways and models of successful management. These have compared the empirical data that emerged from the statistical survey. Indubitably it emerged that the current role of managers in universities is not compatible with social needs and expectations of university employees. Based on these data we have learned that the opinion and expectations of academics is that the direction of the university depends on a combined approach rector menxheriale-academic executive elements respectively. Further, by reliable research has proven that a successful rector except combined approach academic and managerial anyway should also be equipped with additional knowledge in order to be on the needs of social cohesion.

Keywords: higher education, university, management, direction, rector, performance

1. Introduction

Higher Education in Republic of Kosova as in developed countries is treated as a service as well as public good. As such it needs to respond, adapt and precede changes at the work market as well as social-economic development of the country. Changes that should occur on the social life, to be effective and efficient are requested to be managed and directed through rational processes. This concept is in particularly important for countries under transition due to the fact that they are travelling in one long and difficult process of social transformations from one system at the other. Therefore the problems of transformation and modernisation appear in particularly at the certain segments of the society as education and employment. The history of the system development of the Higher Education in Kosova during three past decades was essential point of continuous transitions with different characters. This phenomenon unfortunately is continuing producing dilemma effects too challenging for directors of these institutions. The Higher Education system to be functional and in full capacity should integrate teaching and science research. It is important that not only the performance of each individual on the academic life to measure and evaluate above these two directions, but also students should learn from academics that contributed in science as well as on social life of the country. The standard of teaching is not getting increased only by good pedagogue but also by good researchers. In the most general sense, in order to achieve the declared or stated objectives, the need and the task of coordinating and managing human and material resources in the field of higher education are presented. Human resource planning in this segment includes a range of activities aimed at creating the potential for employees to realize their potential. Human resource planning is undoubtedly a process whereby the mission, vision and strategy of a particular institution should be defined and clarified by linking human resource activity. For this reason, the vision, mission, strategy, policies and objectives of a particular institution should be addressed by educated human resources and recruited according to a selected plan. This should be done based on a dynamic that exclusively determines

the development of human resources and creates opportunities for continuous monitoring of performance and guidance for their continuous development. Qualitative human resources are a prerequisite for a proper establishment and management of each institution. The development and expansion of knowledge-based economy is largely due to the connection of the developing process of the new technologies, which were also influenced by the flow of information. The use of constant knowledge and learning directly influences the styles and systems of management and modelling in an institution. The postmodern world imposes managers on engagement and strong engagement to reach the level of awareness that is understood as the "learning organization".

- Sample of the study

To accomplish this study, we have determined that data collection is carried out through self-administered questionnaires and interviewing. The questionnaire was distributed to three public universities operating in Kosovo, which we consider to be more consolidated in terms of the institutional and academic structure, while the interview was distributed to three former rectors of three Public Universities in Kosovo. The main purpose is to collect data from these institutions as well as the opinions of former rectors regarding the management of these institutions. The way of personal contacts was used to distribute the questionnaire and to take interviews with universities. In this manner will be accompanied by verbal explanations of the role and importance of questionnaires, interviews and self-study. Through direct contacts, the questionnaires were distributed and interviews were made to former rectors at the University of Prishtina, "Hasan Prishtina" - Prishinë, "Haxhi Zeka" University and at "Ukshin Hoti" University - Prizren. On the research procedure of the existing literature on the performance management of universities, we will try to reflect the fundamental importance of this problematic. Actually, from the data we have so far, it should be noted that there are few studies in the country or beyond that are deepened and have carried out simultaneous assessment of the type of change, environment, process and managerial performance outcomes in universities. Likewise, most of the process models are reflected in the form of recommendations or suggestions, but there are few empirical studies on linking factors with the results of change that would ultimately provide an appropriate model. The purpose of the study will focus on identifying factors that influence the management of Higher Education in Kosovo. The methodology to be used will be in the function of achieving this goal. It claims to combine primary data with secondary data. Secondary data are the result of reviewing a wide and modern literature on change management, types of change, environment, patterns of change process as well as results of changes. This literature is provided by 6 searches at electronic libraries of several American and European universities, as well as from a number of other Internet resources. It has served to supplement theoretical part of work. The primary research claims to rely on analysis of collected data through questionnaires distributed through academic units of Public Universities in Kosovo as well as interviews taken from the former rectors of the three universities taken in the study. The research work aims to test the links between the conceptual model variables in the university institutions taken in the study in order to answer the following research questions: What are the factors that influence management of higher education in Kosovo? Does the quality of management in higher education in Kosovo influence MEST cooperation with international projects? Is there a link between signatures of the opinion poll questionnaire on management of higher education in Kosovo? To accomplish this research work, it is planned to use mainly quantitative methods, respectively the implementation of questionnaire technique for collecting and providing data, as well as interviews for collecting and providing opinions from former rectors. Therefore from existing sources we have found that there is not a wide literature on issues related to scientific treatments for managing the performance of Universities in Kosovo. As such in this volume, most of them during handling of the matter use a qualitative research method. But according to Ford & Greer (2005), despite the fact that scholars usually suggest qualitative methods to understand the university management process, the realization of survey-based empirical research can also help them track and recognize the issue. In this case the study should not imply that for our topic we will rely only on this data. With aim to respond the research questions we consider that use of questionnaires' as a method for data collection on this study will enable us as follows: identifying and investigation of possible connections between variables taken on the study on a manner for those to be used to "fulfil" previous studies which usually used qualitative methods. Therefore interview will enable us to provide the opinion of former rectors regarding managing, quality, performance and the profile of the rector for satisfactory managing of Universities. A broader explanation for selecting quantitative method for carrying out the research, data collection procedure, measurement units and way of compiling questionnaire is given below in the framework of this draft. We started research part with treatment of the chosen method of study. The following is how questionnaire was compiled and the coding of questions, validity and reliability of questionnaire ended with the sample determination and data collection procedure.

- Measuring instruments

For this study, a questionnaire was used to obtain the opinion of academic staff on Higher Education Management in Kosovo, built out of 21 questions. The assessment of questionnaire is done with Likerts scale from 1 to 3. The high points in this questionnaire show a positive outlook on the management of higher education while the low scores are not content with the degree of management. The internal consistency analysis of the questionnaire was measured with the Cronbach alpha coefficient. Alpha ($\alpha = .789$) was very good for total questionnaire. Also for primary collection of data we used single interview compiled by 15 questions, where were interviewed three former rectors of Universities taken on the study. The aim of this interview is obtaining opinion from former rectors regarding the role of managing or academicRector in obtaining of quality in universities. This questionnaire has four signatures; Teaching Quality Degree ($\alpha = .753$), high scores show a high quality; Inclusion of Academic Staff ($\alpha = .671$), high scores indicate the involvement of academic staff in academic life and decision-making in higher education in Kosovo; Performance Management Rate ($\alpha = .656$), high scores show that management considers staff performance in actions undertaken at higher education institutions, Rector Profile Rate ($\alpha = .919$) at highest scores managerial approach and low academic approach points.

- DISCUSSION OF THE RESULTS

The use of knowledge and intellectual capacity within organizations has shaped competition and is the main source of effective management (Wang, Noe, & Wang, 2014). Through management, the organization generates the value of intellectual property based on knowledge (Masic, B & Boljanovic, D.J. 2006). Academic staff in higher education are persons who are directly in touch with the recipients of services that are students. Because of their position, they find it easier to detect signs of a system malfunctioning within an organization or an institution. Certainly when we give you the opportunity to communicate, their opinions or concerns about the hierarchy and organization of the institution, we create opportunities to improve the management situation. Shahini M. (2016, personal contact) cites that a good manager has a duty to create a structure within the institution that influences its empowerment. This would indicate that within management, manager is most experienced person and knows his responsibilities. A manager worthy of his duty must be professional, empathetic, convenient, visionary, and have clear understandable goals for his employees. In this context also culture plays an important role as it can shape the relationship between the manager - academic staff. Examining leadership theories and approaches in higher education system will ensure knowledge and understanding of conceptual side of theories of direction, development, applicability and relevance in improving management process. Discussed theories in this paper have helped to deepen the knowledge of concept-leadership skills within higher education institutions in Kosovo.

Through the clarification provided on definitions the concept of "management skills", a broad view is made on its validity in higher education institutions. The study has paid particular attention to the explanation of leadership theories through: personality traits, driving styles, motivational skills, interaction, transformation, authenticity, ethics, group management skills, personality types, culture and direction. Through the study of these theories, they adapted, designed and conducted their testing in the Kosovo context, in order to discover perceptions of leadership capacities, skills and competences of the head of public higher education in Kosovo. This study, through its analysis of literature and quantitative research, found that management of higher education institutions in Kosovo is not at a satisfactory level as almost half of the participants considered the management of higher education from dissatisfied in average satisfied. Based to the fact that their opinions are measured, it may be speculated that since the concept of management is new in Kosovo, it is likely that opinions are also influenced by the old concept of institution management in Kosovo, which is also supported by the fact that most of the participants were for a manager with a academic approach or a combined academic and managerial approach. Therefore due to the fact that younger people have had more orientation for a managerial approach of the rector, while older ages for a rector with an academic approach. However, it can also be considered as a part of the transition of higher institutions in Kosovo, which entered the Bologna process without any prior preparation and above all without a clear concept of this process, or what would be the long-term effects of this process. Participants also answered to the majority that poor implementations of standards by those who manage the university create problems to ensure quality in higher education in Kosovo. These findings do not question the fact that a good education system is the essence of economic growth and development, but questions as to how it should be realized. Improving the quality and weight of education is extremely difficult because there is no Kosovar model to achieve this goal effectively, but models from abroad are constantly required. Precisely by this context the management of higher education institutions in Kosovo is in poor condition. Institutions of this level are almost traditionally managed by teachers who are unprepared in the theoretical and practical aspect of managing an educational institution. As such, they do not know the basic concepts and principles of basic management and more less those of the leadership of higher education institutions. Knowing the role and importance of higher education in society emerges that sustainable economic, cultural, scientific and technological development without

qualitative education can not be achieved and that there is no quality education without management respectively in the professional direction of educational institutions of this level.

The study found that higher education teachers would prefer an academic approach to managing rector and combined and that this fact did not change if the participants were female or male gender. This fact may not be a surprise as the manager is an individual who brings leadership, his style of management and his personality. The personality of a manager within a university is usually not related to personal traits, but to those academic ones. Another important fact is that in general many studies have not found gender differences in managerial styles even though this task includes personal values, social values as well as business values and attitudes towards the task. Meanwhile, an important factor according to the study is the application of standards. In addressing the participants about their opinion on what is a problem to ensure quality, they responded to the majority that poor implementation of standards by those who manage the university 39.4% followed by those who say it is not correct implementation of them 36.9%. As is seen by the results 23.7% of participants dedicate inability of the university management to perform the duty. Reactions of the surveyed regarding their dissatisfactions as for "mismanaging" of the university give space for discussion regarding, first managerial skills of respective person, it means the manager regarding the implementation of effective policies escaping from ad-hoc that oversee among others not only entry in reformation process the Bologna one, however also necessary facilities for such a thing. During this transitional process it should be noted that a good manager should be ready to develop a strategy based on short-term effects, preparation of administrative and academic staff as well as material costs. Second, since the manager is the 'top of the hierarchy' his responsibilities must be large and based on ideas and goals to push the relevant institution. This, inter alia, implies that that person should not be influenced in any way to carry out his duty without having any conflicts of interest (material benefits or involvement in any political party or persons suspected of corruption). Another reason to explain this issue, so the manager's influence on mismanagement of the institution is also based on general and traditional perception that a good / effective manager is considered a person who has a high academic background in any field and prestige assigned in society. However, international practices do not determine the best manager based solely on the two factors mentioned above, as one of them must, amongst others, be innovative, ready to make slow and tough changes but with positive effects, and among other things have a managerial tendency (an education that is entirely related to managerial skills). - As to the fact that surveyed said that another reason why university quality is somewhat compromised is due to incorrect application of the standards previously set by institution itself. Higher education institutions in Kosovo have a few years of tradition in creating strategies or documents that in a way present a standard of education. But what is noticed is the lack of adequate information or their non-presentation in order to be applicable to Kosovo context. At the University of Prishtina or in other universities, there are offices that control the quality but are often not productive for academic staff because there is a lack of information or feedbacks. An interesting finding of this study is that in total men have had more positive opinions than women on the quality of management of higher education in Kosovo. In total, the Master of Science degree has had more positive opinions than those with PhD degrees on the quality of higher education management in Kosovo. The results show that female participants considered quality of teaching within higher education in Kosovo to be lower than those of male gender who considered it the highest. Men have considered higher involvement of staff in decision-making or other processes of academic and managerial life in higher education in Kosovo compared with female participants who considered it lower. These findings confirm that task of a manager is to make productivity productive while the workers efficient. Since every institution has only one real source (its own people), it succeeds in order to make the workforce more productive.

- Conclusions and recommendations

Conclusions Higher education in the modern world is considered a specific instrument that promotes the economic development of each country and is therefore considered as a factor that promotes economic, social and political productivity and efficiency. Kosovo, despite investments made in the field of higher education, continues to face obstacles. This doctoral thesis with its research has shown that academic staff in Kosovo is not happy with how universities are led. Members of quantitative research as representatives of the high academic staff in Kosovo reported that this system has more need for implementation in correct way of strategic documents, to have more knowledge regarding those documents as well as to monitor their implementation. The study shows that achieving of a high academic quality in higher education is closely related to the position of manager of university who should ensure inclusion of the staff, sharing of good experiences and to be able to make good managing of performance. The higher institution manager, according to this study, will have to be a leader who not only promotes the value of knowledge, but at the same time knows to place the university at the centre of national and international collaborations. The obtained results show that a combined-access manager is the best form of quality assurance and quality management at the university. Of course, it is inadequate to attract qualified

people if at the same time no infrastructure, institutions, legislation and motivation system can be established on the concept of professional career. Harmonisation of these segments and creation of necessary synergy for educated and skilled people to enter the market, undoubtedly influence qualitatively in economic development. From this point of view, the modern direction of Universities is one of the elements of success for socio-economic development. The Higher Education System in Kosovo continues to face the underlying problems that constantly degrade this segment. An important element of this study is related to a manager who is able to engage and engage teachers in improving quality and takes into account their thoughts in the decision-making process. Therefore the attention will also be paid to performance management and remuneration system. This point would be achieved by advancing the staff. They have to neglect the traditional side of education and forms of information transmission to students through lectures where they are passive, reform requires their greater activity. The results show that PhD-level PhD students considered the quality of teaching within higher education in Kosovo to be lower than those with a Master's degree that they considered to be the highest. The study found significant differences in the distribution of variance of staff involvement in statistical aspect according to managerial position of participants. The results showed that difference was only for female gender, where women without managerial positions (academic staff) were more satisfied with staff involvement than those in middle positions (deans or pro-deans) who were dissatisfied with staff involvement. In recent years, higher education institutions have adopted flexible ways of advancing the staff and their involvement in institutional life. The individual within the institution is seen as a source of promotion, opportunities and benefits for present and future. Nowadays it is increasingly seen the possibility of sharing knowledge within an institution as a very effective way of regulating behaviour within the institution, in particular in career advancement or improvement of the relationship between employees. Staff involvement is of great importance as it is the best way for a manager to enable them to understand their responsibilities and on the other hand to recognize their responsibilities. It is not controversial that a good education system is the core of growth and economic development. At the same time, improving the quality and weight of education is extremely difficult because there is no single political measure to achieve this goal effectively. It is in this context that the management of higher education institutions in Kosovo is in poor condition. Institutions of this level are almost traditionally managed by teachers who are unprepared in theoretical and practical aspect of managing an educational institution. As such they do not know the basic concepts and principles of basic management and imagine the leading of higher education institutions.

Knowing the role and importance of higher education in society, it cannot be concluded that sustainable economic, cultural, scientific and technological development without qualitative education and that there is no quality education without management respectively professional direction of educational institutions of this level. In chapter I of the paper, the review of the opinions of authors dealing with issues of management and management in higher education was realized. The authors and researchers referred to as specialists of this segment provided a wide range of conceptual, theoretical and methodological information.

- Basic Management Concepts • Management has now become a multidisciplinary science necessary for all social activities, especially for secure and dynamic development of higher education institutions. As a specific science, management is directly related to management of institutions to achieve their objectives. • In the era before the Industrial Revolution, reign was the conviction that leaders were not created but born. But with gradual social developments, there was a need for leadership skills in the management of more complex jobs. In this manner the conditions for research and creation of basic management theories were created. Basic theory of management is compiled by the main theories, such as that of classical school represented by F. Taylor, Administrative Theory represented by H. Fayol, Behavioural Theory represented by E. Mayo, Theory X & Y represented by D. McGregor and Theory Z or Japanese theory founded by Ē. Ouci. Meanwhile, the main methods that apply in managerial practices are: random access method and step by step method. • Based to analysis made to these theories, it was reconfirmed that management is governed by key principles such as discipline, authority, discipline, unified direction and command, overriding individual interests, rewarding work, centralization, hierarchical organization, regularity, equality, staff stability, organizational initiatives and culture. We also reconfirmed that management as core functions has the process of planning, organizing, commanding, coordinating, controlling and evaluating. Also, management skills are necessary, such as conceptual skills, human skills (communication with others) and technical skills. Public universities are run by leading governing bodies and by deans, pro-deans, heads of departments and faculty secretaries on the basis of legal regulations, development plans, curricula, scientific research and general academic principles. The university management process is very complex. Higher education management structures are defined by law and statute of the respective university. Based on these documents the management of universities is consisted by Governing Council, Rector of university and the Senate. The governing council has general strategic responsibilities for effective institutional functioning of the University and has important responsibility especially in extract and change of the

Statute, for appointing and dismissal of the Rector. The Rector is the principal leader of the University. The duties and responsibilities of the Rector are defined by statute relating to the organization, direction and general management of the University. University management is set by the rector in co-operation and in harmony with other organizational structures. The Senate approves important quality management documents such as development strategies, curricula, student enrolment plan, etc. The Rector, in co-operation with the Governing Council sets in motion all the general actions for the realization of these various teaching and scientific projects and projects through the deans of the faculties where the process of production of academic knowledge and skills are carried out. Among key factors for quality of unsatisfactory studies is precisely the complex process and structures in management of universities. With the aim of eliminating these effects, the Ministry of Education, Science and Technology has after a broad debate managed to pass on the Kosovo Government's new draft law on higher education. This draft law, which is expected to be adopted soon in the parliamentary procedure, will have a direct impact on the much better functioning of public universities. With the new regulated elections, the position of Rector, framing it into a management and management body, with all capabilities and competencies, will bring far more effective leadership approach to the quality assurance engagements. The aspect of executive tasks will exempt from excessive academic responsibilities and will raise awareness in terms of cooperation and respect with the Senate and its Chairperson. The mode of governing structure with all rights and responsibilities at the Board, Senate and Rector Level is automatically transferred to the Faculty and Board of Deans at the Academic Units.

- Recommendations

1. Increase of efficiency of planning of the high education. Priority should have the building of capacities of managing which would create a professional system of planning for human resources but also to support planning of high education in MEST
2. To develop the academic quality, through enforcement of investments in postgraduate education; to increase qualifications of university professors through trainings.
3. To settle objectives for increasing of the number of PhD graduates in considerable manner and to expand funds for PhD programs. The higher education institution in Kosova should strengthen relations between universities and industry as well as the council of science; development of excellence centres; to strengthen supervision of PhD; development of research standards and to involve postgraduate students in their fulfilment.
4. Strengthen the governance, leadership and high education managing. Leaders to rely and work closely with "quadruple spirals" for change: government leaders, high education leaders, business leaders and community to open regional strategy for high education.
5. To increase in adaption of education policies borrowed from developed countries.
6. To increase possibilities for profiling of teachers which want to orientate in aspect of managing of high education institutions?
7. To create policies that ensures a strong internal differentiation in favour of modern teaching as well as to create structures to support this process.
8. To create possibilities for professors of universities to raise the level of science research in world science level through distribution of their work in two work components "teaching and research (science)".
9. MEST should support institution of high education in increasing of quality and creating of modern system of internal managing of quality. Managing system of quality of one high education institution will involve all undertaken measures to ensure and to lead internal organisation and control processes which help high education institutions to achieve its objectives. High education institution should determine strategies and objectives determined as precondition to create and implement an internal system of quality managing. Measures will derive from these strategies and responsibilities in all levels of high education institutions should be determined.
10. Strategies, organisation and services of high education institutions will be the subject of systematic monitoring. The institution of high education should be supported in results and findings of internal monitoring, of its information and reporting systems as well as security measures of the quality, when it's about development and/or advancing of objectives and strategies as well as decision-making of managing.

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Do Macro-Economic and Technical Indicators Matter?- a Principal Component Analysis Approach for Equity Risk Premium Prediction

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Abstract

Equity risk premium contains the property of reflecting the fundamental judgments of individuals regarding risk that might exist in the economic market and the price associated with that risk. For ERP forecasting, attention is also devoted to technical indicators apart from the macro-economic variables. A set of 14 technical and 14 macro-economic variables is selected for this purpose and based on a standard predictive regression framework; all forecasts are generated by regressing ERP on a constant and a lag of macro-economic or technical indicator. It is found that as compared to macro-economic variables technical indicators provide better indications about ERP estimates. By using National Bureau of Economic Research (NBER) data of business cycle expansion and recessions, relative strength of ERP predictability is also investigated and it is found more than twice for recessions as compared to expansions.

Keywords: Equity Risk Premium; Macro-economic Indicators; Technical Indicators; Forecasting. **Field of Study:** Finance
JEL Classification: G00, G12, G17

1. Introduction

In the field of financial economics, equity risks are considered as central components of every risk and return model. Considering the above statement being true; the question which arises is that why equity risk premium (ERP) matters? The major reason of this important concept is that the equity risk premium contains the property of reflecting the fundamental judgments of individuals regarding risk that might exist in the economic market and the price associated with that risk. The expected return of every risk is affected during the process and so does value of a particular investment. As a result, it makes difference in allocating wealth across different classes of assets and the selection of such particular assets in each class of asset wherein we intended to invest. It has been theoretically proven that a positive correlation exists between risk and return at the market equilibrium where the expected return of high risk investments is higher which is equal to the total of risk free (R_f) rate and extra return that balance risk.

What is the equity risk premium?

ERP is a broad term and it has been defined by number of authors in different ways. Annin and Falaschetti (1998) defined equity risk premium as "the reward that investors require to accept the uncertain outcomes associated with owning equity securities. It is an extra return on average that equity holders expect to achieve over risk-free assets." Pratt y Grabowski (2008) described equity risk premium to be an additional compensation demanded by the investors for investing their resources in a diversified portfolio. If the relevant data is available, Equity risk premium can easily be calculated over any period of time. Talking about the U.S stock market we can find 100 years data to measure the equity risk premium.

Equity Risk Premium Puzzle

The equity risk premium puzzle was started and sketched by (Mehra & Prescott, 1985). A number of researchers have utilized their methodology to measure equity risk premium i.e "Historical returns, an appropriate proxy for expected returns." Constantinides, Donaldson, and Mehra (1998) depicted that 6.9 percent deviations in average real annual returns on U.S

stock market and relatively riskless assets that is considered as equity risk premium and high rate of this premium is labeled as equity premium puzzle.

Recently, different researchers have tried to test the rational expectation models for long term asset prices. These models depicted deviations among the rationally expected returns across assets that have been calculated over a time interval and the difference is because of constant. Typically, the minor returns of one of the asset in the group is already known, thus intuitively, expected return on remaining assets presented by the model is equal to the calculated return by adding the constant in it. The variance among two expected returns is named as risk premium and the expectation model depicted that the risk premia are constant over a time interval¹.

Empirical Solutions to Puzzle

The empirical approach has raised the issue regarding method of equity premium estimation. The historical risk premium that are based on the assumption that believes and attitudes of the investors have changed over time has been criticized time and again. According to assumption believes and attitudes of investors at the start of the 20th century was inclined towards more risky investment than these are currently. Elton et al. (2009) and Damodaran (2011) presented another argument that investors may have sensibly forecast stock market crashes which proves wrong but the lack of signals of these crashes in previous data does not indicate that these could not happened. The volatility that can be observed in the equity market cannot properly represent the strength of the volatility in case of any crash that might significantly decrease consumption and wealth.

Fama and French (2002) advocated that the use of fundamental methods for equity premium estimations is more precise in comparison to historical averages method. Donaldson, Kamstra, and Kramer (2010) took another step forward and created a complex system of consistent conditional models. They used financial statistics like interest rates, price-dividend ratios, Sharpe ratios, growth rate of dividend, volatilities and excess return. With the help of this approach they found the equity risk premium in USA to be between 3% - 4%, and standard deviation calculated by approach has been the lowest as compare to any other approach. It is worth noting that the concluded this equity risk premium to be conditionally varying. Most of the empirical solutions provided so far have the tendency to get halfway between the equity premium estimated by (Mehra & Prescott, 1985) and the equity premium values provided by asset pricing models. Therefore, it can be said that these solutions are not sufficient to fully solve the Equity risk premium puzzle.

Theoretical Solutions to the Puzzle

Elton et al. (2011) pointed out that in order to find possible theoretical solutions for the equity premium puzzle there is a need of developing more sophisticated models of investor utility functions keeping in view how investors perceive risk. Campbell and Cochrane (1999) came up with a different idea which merely changed the perspective on equity risk premium. They formed their model on the basis that investors are not actually afraid of higher risks attached with the stocks, in fact, they are afraid about poor performance of stocks in times of recessions. As per them during such time the consumption of investors also drops significantly. This model however, matches the historically observed equity premium values; nevertheless it fails to be considered as a solution to equity premium puzzle.

Guvenen (2009) came up with an asset pricing model. The estimates of this model are quite similar to the ones observed in historical data. He actually implemented two key properties a) restricted participation in equity market and b) restricted heterogeneity in the in the elasticity of inter-temporal substitution in consumption. His model produced an equity premium of 5.45% with a volatility of 21.9%. He suggested that both of these values can be compared to historical data and are huge step forward towards solving the equity premium puzzle. Apart from that he also mentioned that the model has some shortcomings like it has been abstracted from long-run growth and it would eventually complicate the already complex model. Elton et al. (2011) suggested that utility analysis should be utilized before understanding the divergence between data and theory as there is a lack of understanding regarding real level of aggregate investor risk aversion.

Equity Risk Premium – Estimation

In spite of the great importance of equity risk premium in finance it is quite surprising that how haphazardly its estimation has been remained in practice. ERP estimation is one of the most integral components while calculating business firms'

¹ Expected equity risk premium in Short horizon, intermediate or mid horizon and long horizon is stock market return over 1 month T-bills, over 5 years government bonds and over 20 years government bond respectively, subject to the definitions of Ibbotson yearbook.

cost of capital. It is essentially used in financial decision making. Investors require this estimation for the valuation of stocks, to predict expected returns from the feasibility of investment project, to manage firms from the viewpoint of value creation, and hence to find out the optimal capital structure of firms.

A huge amount of literature has been written on the estimation of equity risk premium. Damodaran (2011) described that there are three broad approaches for estimating equity risk premium. First and the most popular approach is calculating equity premium using historical data. Second is the method of estimating implied equity premium (sometimes called supply side approach e.g. (Goetzmann & Ibbotson, 2006). And the third approach is to conduct survey and obtain "survey" equity premium. Another method or fourth possibility of obtaining equity risk premium is "Demand approach", an investor utility model (Goetzmann & Ibbotson, 2006). However, due to the additional complexity connected with this approach it is not convenient for practical use to extract equity risk premium. This thesis will focus on the historical equity premium approach since it is considered to be the most popular approach.

1.5.1 Historical Equity Premium

This approach uses historical data to estimate equity premium and considered to be the most popular approach. In this approach, difference between the actual returns earned on stocks over a long period and returns earned on a default-free asset, usually government security is taken. It is expected that the historical equity premium estimations can significantly differ between each other. In order to compare different estimations, one has to take into account some of important factors. Fama and French (1996) suggested seven factors: Geometric or arithmetic averaging, Short or long investment horizon¹, Short run or long run expectations², Unconditional or conditional on some related variable³, USA or International market data, Data sources and periods, Real or nominal returns⁴.

It is considered that the estimation results of equity risk premium through geometric averaging are usually low as compare to arithmetic averaging. Especially in case, if there are negative returns in the data set of stock market returns. However, the literature suggests that many estimations services and academics support the use of arithmetic average (Damodaran, 2011). Campbell and Cochrane (1999) and Damodaran (2011) are of the belief that there is a long term negative autocorrelation in equity returns which in turn will overstate the results of equity risk premium. As economic and financial environment is changing so it can be assumed that the investor preferences also change over time along with the equity risk premium. This belief is also shared by (Arnott & Bernstein, 2002; Brown & Otsuki, 1993; Campbell & Cochrane, 1999; Chan, Karolyi, & Stulz, 1992; Donaldson et al., 2010; Gameiro, 2008; Graham & Harvey, 2005; Lettau, Ludvigson, & Wachter, 2008; O'Hanlon & Steele, 2000).

Using estimates or market projections

In this method it is assumed that equity risk premium can be predicted from surveys or some other projection models. In majority of cases, equity risk premium models use historical data and assume that some past time span explain the best predication of the future. There are certain limitations of this approach even in the markets of long historical data like United States and is entirely useless in the emerging markets with limited or noisy data. There are others ways that can be suggested in which equity risk premiums can be estimated for these markets by using a base equity premium and country risk premium.

Using implied premium

There is another approach for calculating ERP that uses the premiums implicit in current prices, usually in stock market. Goetzmann and Ibbotson (2006) suggested a possible solution to obtain up-to date and current estimation of equity risk premium, referred to as the supply side approach. As per this model all of the asset prices actually represent the expected future cash flow from the asset. For example, the Gordon growth model states that

1 Even if the objective is to approximate current of future (i.e. for the next ten years) equity risk premium

2 Short term forecasts are generally conditionally estimated

3 This is not of concern if risk free asset returns and equity returns are computed in same term. Usually, equity premium calculated via real returns are biased downward with 30 basis points (McCulloch & Leonova, 2005).

4 Technical indicators are often computed using monthly, weekly, or daily data. Technical indicators are estimated by use of monthly data. So, to put the forecasts based on macroeconomic variables and technical indicators forecasts can be applied on more equal footing.

$$E_0 = \frac{Div_1}{k_e - g_t}$$

Where;

E_0 = Current value of equity

Div_1 = Expected dividend in the next period

k_e = required rate of return for equity investors

g = growth rate in dividends forever

Assuming the stable growth scenario the expected growth rate should be equal to risk-free rate, hence the dividend yield on equities would become a measure of the equity risk premium.

$$\frac{Div_1}{E_0} = \text{Dividend Yield} = \text{Equity Risk Premium}$$

Rozeff (1984) named this rule as "The Golden Rule of Accumulation". He presented a model on the assumption where economy maximizes the consumption per capita, in such case the rate of growth of output equals the physical marginal productivity of capital, which in turn equals the rate of interest. Hence the real dividend growth approximately equals the real rate of interest. Thus, he concluded that this method of using dividend yield as an estimate of equity risk premium is unbiased and has a significant edge over the historical risk premium estimates. Fama and French (2002) argue in favor of calculating equity premiums using supply-side approach. He wrote that in order to estimate expected stock returns, the expectations of the investor can be judged well by using fundamental variable i.e. dividends and earnings. These approaches are based on the statement that average stock return is the average dividend yield plus average rate of capital gain.

Assuming that the dividend price ratio is stationary means in the samples that include long time periods, the compound rate of dividend growth become equal the compound rate of capital gain hence leading to dividend growth model.

$$A(RD_g) = A\left(\frac{D_t}{P_{t-1}}\right) + A(GD_t)$$

Practical implications of this model are same as of the model put forward by (Damodaran, 2002). Equity premium can be estimated by subtracting risk-free rate from the stock returns. But this approach only works as a long-term approach. Campbell and Cochrane (1999) found the correlation between consumption growth and dividend growth (thus growth of the whole economy) to be low as 0.05 in short term and 1 in long term. Dividend yields have some predicting power on stock returns and this power increases on longer time horizon (Kurz, Jin, & Motolese, 2005).

Damodaran (2002) and Fama and French (2002) suggested that assuming a stable future growth and earnings-price ratio to be constant, the above given approach can be reformed to focus on company earnings instead of dividends. If the equation of sustainable growth is taken and substituted in dividend growth model, the implied equity premium can be written as:

$$IERP = \frac{E}{P} - R_f$$

Where;

$IERP$ – implied equity premium; E – expected earnings in the next period, P – value of equity; R_f – risk free rate.

Apart from incorporation of stable growth in these models several stages of growth can also be accounted. However, there is a danger associated with such models i.e. at any time period markets can be mispriced. Current implied equity premiums can be obtained but this does not mean that the premiums are long term equilibrium premiums (Goetzmann & Ibbotson, 2006).

Determinants of Equity Risk Premium

Many authors have used macro-economic variables to explain level and variations in the market risk premium as the ERP represents rate of return required by the investors currently. In spite of the fact that technical indicators are being widely used by the practitioners as (A. Lo & Hasanhodzic, 2010); technical indicators have been given less attention in the literature for evidencing the stock predictability relative to macro-economic variables. Some of the existing studies analyze the profitability of the trading strategies based on a variety of technical indicators, including moving averages (Brock et al., 1992; Zhu & Zhou, 2009), momentum (Ahn, Conrad, & Dittmar, 2003; Conrad & Kaul, 1998) etc. These studies however, do not specifically analyze the predictability of EPR, which has been the focus of literature on ERP based on macro-economic variables.

The Forecast Ability of the Market Risk Premium

It is documented that stock returns are predictable to some extent, e.g., (Campbell, 1987; Elliott & Müller, 2006; Fama & French, 1988a, 1988b, 1989; Ferson & Harvey, 1999; French, Schwert, & Stambaugh, 1987) and the literature generally shows an agreement that expected returns are time varying, e.g., (Campbell, Lo, & MacKinlay, 1997). By definition, the Equity risk premium is the reward in terms of extra return that investors demand for holding risky assets rather than short term nominal risk-free assets. These risk free assets are proxied by short term T-bill rates, and are not constant over time. The volatility of short term nominal risk free rates calculates time variation in the ex-ante nominal risk free interest rate, not risk, since these securities have no default. Therefore, those variables that have forecast abilities for stock returns also forecast the time varying excess stock returns, which is the market risk premium. This is the reason that many researches on the predictability of the stock returns i.e (Campbell, 1987; Campbell et al., 1997; Elliott & Müller, 2006; Ferson & Harvey, 1999) also use the same set of explanatory variables to predict the market risk premium.

"Uncertainty about the change in the spot rate creates more uncertainty in a bill's premium the longer the maturity of the bill. If this source of uncertainty is positively associated with the types of risks that the market compensates, then expected premiums on bills will be an increasing function of maturity, and any changes through time in the degree of uncertainty about changes in spot rates will have a greater effect on a bill's expected premium the longer the maturity of the bill."(Fama, 1976, p. 436)

Macro-economic Indicators:

A number of authors have tried to use macro-economic variables to explain level and variations in the market risk premium as the ERP represents rate of return required by the investors currently. Economic indicators are taken on the basis of economic reasoning. Economic indicators ability to predict equity risk premium directly impacts the economic value of investment strategies (Baetje & Menkhoff, 2015). Different set of economic indicators are used by different researchers such as dividend price ratio, inflation rate, interest rates, market volatility etc. Macro-economic variables have this power to predict equity risk premium sue to their ability to capture fluctuations in macro-economic conditions (Cochrane, 2011).

In this paper the authors has devoted his attention apart from macro-economic variables to technical indicators as well for the purpose of forecasting the ERP. Further, in this paper performance of both macro-economic variables and technical indicators for predicting ERP is compared. In comparing the technical and macro-economic predictors, all forecasts are generated based on a standard predictive regression framework, where ERP is regressed on a constant and a lag of a macro-economic variable or technical indicator.

To prudently incorporate information from many predictors, predictive regressions are estimated based on a small number of principal components extracted from the entire set of macro-economic variables and/or technical indicators. This study used the data spanning from December 1992 to December 2013 for 14 well known macro-economic variables suggested by (Welch & Goyal, 2008) and 14 technical indicators from the existing literature based on moving averages, momentum and volume.

Technical Indicators of Market:

Technical analysis is considered as a persistent activity for security market and future market. As the technical analysts rely on price and volume data that provides indication of future price movements and through examining these one can extract the information on the fundamentals driving. On technical analysis, classic work is generally considered to (Edwards, 1957). Neftci (1991) empirically tested some of the common rules used in technical analysis for price change.

Moving average rule is regarded as one of the common component of technical rules. It includes calculation of moving average from raw data and most common form of it shows buy and sell signal. Whenever the price climbs above the moving average it gives a buy signal and whenever the price drops below the moving average it gives sell signal. The basic idea behind this rule is that it is helpful in providing means of determining the direction or trend of a market by analyzing the recent history. There are different rules of moving averages based on the time horizon. 1-200 rule of moving average is considered as the most popular rule, where the short period is of one day and the long period is of 200 days. Some other popular rule are 1-50, 1-150, 5-200 and 2-200 rules (Brock, Lakonishok, & LeBaron, 1992).

Apart from moving averages of the stock returns, technical trading rules are also closely related to Momentum strategies. These strategies involve buying winner stocks and selling loser stocks. The academic authors think that momentum is an enduring anomaly which led (Fama & French, 2008, p. 1653) to describe it as “pervasive”. The two factors i.e. buying winner stocks and selling loser stocks have resulted in a large amount of research being conducted in investigating whether technical trading rules are profitable. Both kinds of views can be extracted from the literature demonstrating that technical analysis does not add value in the US equity market, but several authors have presented supportive evidence in emerging markets (Bessembinder & Chan, 1995; Ito, 1999).

Another type of technical trading rule which has been widely used by the technical analysts and professionals is Volume. Volume has a significant part in markets and has long been an area of empirical research, as Gallant, Rossi, and Tauchen (1993) and Karpoff (1987) presented a quality review of earlier studies.

Research Objectives

The study is carried out to analyze the equity risk premium forecasts by using technical and economic fundamentals i.e. technical variables and macro-economic variables. Further, the study aims to compare the capacity of technical indicators to forecast equity risk premium with that of macro-economic variables. This ability of both indicators (macro-economic and technical) is also assessed over the business cycle.

Following are the main objectives of this study:

To forecast Equity Risk Premium by directly relying on macro-economic variables

To forecast Equity Risk Premium by directly relying on technical indicators

To compare the capacity of both indicators in predicting Equity Risk Premium

To determine the incremental role of both indicators

To predict Equity Risk Premium over the business cycle (peaks and troughs).

Significance of Study

The premium has principle importance and plays an integral role in finance and is the basis of various applications. This precise technique is used by many financial managers for estimation of cost of capital, investment appraisal and financing decisions. The overall cost of capital of the firm is used when the company is going to undertake some future project plans and mostly for the evaluation of present value of future cash flows. Equity premium is equally important for corporate managers for financial decision making as it's a main determinant of cost of equity and it assists in selecting debt and equity proportion suitable for the firm.

It is also significant for the investment analysts, for using in portfolio asset allocation and evaluation of investment performance. As normally equities are among the most risky type of assets and so the Equity Premium. Performance evaluation of individual equities, portfolio or funds is also dealt with equity premium by investment analysts. Fund managers also required to consider performance evaluation as relative to the benchmark and hence evaluated to what extent they are successful to manage and to make value for their investor relative to what was expected. It is also essential for the Actuaries to know exact measure of Equity Premium for the purpose of long-term financial planning mainly of personal pension funds.

2.0 Methodology

The literature of Equity Risk Premium is hard to absorb. As in earlier studies; different methodology, variables, techniques and time period has been used. Findings of those studies which were written in the past may be changed when latest data

is used. It has also been evidenced that the findings of such studies contradict others. Still, most of the readers have think that prediction works even if it is not clear that what really works. However, the established tendency in literature is possibly best summed up by Lettau and Ludvigson (2001).

“It is now widely accepted that excess returns are predictable by variables such as dividend-price ratios, earnings-price ratios, dividend-earnings ratios, and an assortment of other financial indicators.”

Data Collection Sources and its Structure

As the study aims to check the capacity of economic and technical indicators to predict equity risk premium, so the study use two sets of independent variables i.e. 14 macro-economic variables and 14 technical indicators respectively against one dependent variable i.e. Equity risk premium. Detail description of all these variables is given in this section.

Dependent Variable - Equity Risk Premium

The main concern of this research is predicting the equity risk premium i.e. dependent variable. Different researchers have given different methodologies to calculate Equity Risk Premium. But, the author has used the widely accepted methodology which is total stock market's rate of return less the existing short term interest rate.

Stock Returns

In this research Standard & Poor 500 index return has been used. The month end values have been retrieved from CRSP (Center of Research in Security Press) from 1926 to 2013. Stock returns used in this study are the continuously compounded returns on the S&P 500 index, including dividends.

Risk-free Rate

Literature on risk free short-term debt prior to 1920s was not available; hence the risk-free rate has been used from 1920s onward till 2013. The first set of independent variables in this research is mainly the stock characteristics. So, the ERP is taken as the difference of continuously compounded return on S&P 500 together with dividends and log return on a risk free asset.

Independent Variables

Two types of Independent variables have been taken in this study. First type of independent variables include 14 Macro economic variables which are taken from the study of (Welch & Goyal, 2008) and represent the set of $X_{i,t}$ variables; applied for the prediction of equity risk premium. Second type of independent variables includes 14 technical indicators consisting of Moving averages, Momentum and Volume.

Macro-economic Variables

Following are the 14 macro-economic variables, representing the literature of (Welch & Goyal, 2008) and (Neely, Rapach, Tu, & Zhou, 2014) used to predict equity risk premium:

Dividends are 12 months moving sums of dividends paid on the S&P 500 index. The data regarding this has been retrieved from Shiller's website from 1871 to 1987.

Dividend-Price ratio: Dividends from 1988 to 2013 are taken from S&P Corporation. The dividend price ratio is taken as the difference between dividends (log) and prices (log).

Dividend yield: Dividend yield is the difference between the log of dividends and the log of lagged prices (Ball, 1978; Campbell, 1987; Fama & French, 1988a; Hodrick, 1992; Rozeff, 1984; Shiller, Fischer, & Friedman, 1984).

Earning is taken as the moving sums of 12 months earning on S&P 500 index. This data is retrieved from the Shiller's website from 1871 to 1987 whereas earnings from 1988 to 2013 are taken from (Welch & Goyal, 2008).

Earning price ratio: It is taken as the difference of log of earnings and log of prices. In this research, distinction has also been considered in which the researcher explored multiyear moving averages of numerator or denominator that is moving ten years average of earning divided by price.

Dividend payout ratio: Dividend payout ratio is taken as difference between dividends (log) and earning (log) as used in (Campbell & Shiller, 1988).

Equity risk premium volatility: To avoid the problems due to outliers in October 1987, Neely et al. (2014) used the volatility measure recommended by (Mele, 2007) that is based on 12-month moving standard deviation estimator. So, the proxy used to measure equity risk premium volatility is defined as:

$$\hat{\sigma} = \frac{1}{2} \sum_{i=1}^{12} |r_{t+1-i}|$$

$$\widehat{rvol}_t \equiv \sqrt{\frac{\pi}{2}} \sqrt{12} \hat{\sigma}_t$$

Book-to-market ratio: It is taken as ratio of book value-to-market value for the Dow Jones Industrial Average.

Net equity expansion: It is a ratio of 12-month moving sum of net equity issued by New York Stock Exchange (NYSE) listed stocks to the total (end of year) market capitalization of NYSE stocks.

Treasury bills: Treasury bill rates are the yields on short term U.S Securities from 1920-1933, treasury notes and certificates of three to six months and treasury series in the NBER for three months Macro History Database. Treasury bill rates from 1934 to 2005 are the three month treasury bill; secondary market rate from the economic research data base at the Federal Reserve Bank at St. Louis (Campbell, 1987).

Long term yield: The long term government bond yield data from 1919 to 1925 is the U.S Yield on long term United States Bonds series in the NBER's macro history database. Yield from 1926 to 2013 are from Ibbotson's Stock, Bonds, Bills, and Inflation yearbook.

Long term rate of return: Long term rate of return data is retrieved from the Ibbotson's stock, bonds, bills and inflation yearbook. It is the long term government bond yield. This data starting from 1919 to 2013 has been taken from (Welch & Goyal, 2008).

The term spread: It is the difference between the long term yield on government bonds and the Treasury bill (Fama & French, 1989).

Default yield spread: It is the difference between BAA and AAA rated corporate bond yields.

Default return spread: It is taken as the difference of long term corporate bond and long term government bond returns (Keim & Stambaugh, 1986).

Inflation: Inflation is a macro-economic indicator and is the consumer price index for urban consumers from 1919 to 2013 and has been taken from Bureau of Labor Statistics (Campbell & Vuolteenaho, 2004).

Technical Indicators

To compare the technical indicators with macro-economic variable, the researcher has used 14 technical indicators which are based on three trend following strategies.

The complete set of 14 technical indicators is based on three types of famous technical trading strategies. At the completion of each period, all of those indicators give a buy/sell signal according to recent price movements.

Moving Averages

The moving average of some specific time period is calculated as; adding up the most recent data and then divided by time period. The moving average is calculated every time by omitting old values and adding up the most recent values. Hence, average shifts as the data moves but doesn't have enough variation and is smoother than the p-period moving average where $p=5n$ and calculate longer trend. Based on moving average, six technical trading strategies are generated i.e. MA(1,9), (1,12), (2,9), (2,12), (3,9) and (3,12) as used in (Brock et al., 1992; Zhu & Zhou, 2009). These trading strategies compare short (1-3 months) and long (9-12 months) moving averages to forecast the stock price trends.

Momentum

There are two technical trading strategies retrieved by comparing current prices with past prices of the stock i.e. MOM(9) and MOM(12) momentum rules as used by (Ahn, Conrad, & Dittmar, 2003; Conrad & Kaul, 1998). If stock's current price increases than the level of 9 to 12 months before then trading rules recommend buy i.e. a trend following perspective.

Volume

The third category depends on volume rules. These six technical trading indicators associate volume to price changes in which short term is considered as one to three months and long term is considered as nine to twelve months for detecting strong price trends as suggested by (Granville, 1963). This forms VOL(1,9), (1,12), (2,9), (2,12), (3,9) and (3,12) trading volume strategies.

Volume is important because price movements are confirmed by high trading volume that generates signals regarding stock price trends. Grundy and McNichols (1989) and Blume, Easley, and O'hara (1994) proved that such trading volumes provides valuable information that is beyond the prices.

Empirical Estimations

OLS is used to estimate the base regression coefficients; however, bootstrapped F-statistics has been calculated to compute the significance of variables by taking into account correlation of the independent variables.

3.1 Bivariate Predictive Regressions

The author has used the following predictive regression model for analyzing ERP predictability based on the macro-economic variables:

$$R_{t+1} = \alpha_i + \beta_i x_{i,t} + \varepsilon_{i,t+1} \quad (1)$$

In the above equation, r_{t+1} shows the return of large stock market index from the period t to $t+1$, in excess of (R_f) risk free rate. Further, $x_{i,t}$ shows the predictor presented at time t ; and $\varepsilon_{i,t+1}$ is zero-mean disturbance term under Null hypothesis of no predictability $\beta_i = 0$. So, we can infer that β_i being the Alternate hypothesis will be positive. As per Inoue and Kilian (2005) a one-sided alternate hypothesis increases the power of in-sample tests predictability. As a result, equation (1) reduces to the constant expected ERP model. In the paper $H_0: \beta_i=0$ against $H_A: \beta_i>0$ has been tested using a heteroskedasticity consistent t-statistic related to $\hat{\beta}_i$ that is an OLS estimate of β_i shown in equation (1). But it has been evidenced that bias potentially inflates the t-statistics for $\hat{\beta}_i$ of equation (1) and distorts test size when $x_{i,t}$ is highly persistent, as is the case for a number of popular predictors (Stambaugh, 1999). To cater this issue we used wild bootstrap process to compute p-values (Neely et al., 2014). This process is known for accounting the regressors' persistency along with the general forms of heteroskedasticity and correlations between equity risk premium and predictor innovations.

Strategies to Estimate Technical Indicators

For technical indicators we composed dummy variables using the following strategies. The first strategy is the use of moving averages that helped to generate a buy or sell signals of a stock ($S_{i,t} = 1$ or $S_{i,t} = 0$) respectively by comparing two moving averages at the end of time t .

$$S_{i,t} = \begin{cases} 1 & \text{if } MA_{s,t} \geq MA_{l,t} \\ 0 & \text{if } MA_{s,t} < MA_{l,t} \end{cases} \quad (2)$$

Where;

$$MA_{j,t} = \frac{1}{j} \sum_{i=0}^{j-1} P_{t-i} \quad \text{for } j = s, l; \quad (3)$$

P_t in the above equation, represent stock price index level and $s(l)$ denotes length of the short (long) moving averages $MA(s<l)$. This indicated about the changes in the stock price trend because short moving average is very sensitive to recent price movement of stock than long moving averages. In the research MA indicator has been denoted with MA lengths and 1 by MA (s,1) where $s=1,2,3$ and $l=9,12$. The researcher calculated monthly signals from moving averages.

The second strategy that has been employed is based on momentum and its equation is

$$S_{i,t} = \begin{cases} 1 & \text{if } P_t \geq P_{t-m} \\ 0 & \text{if } P_t \geq MA_{t-m} \end{cases} \quad (4)$$

If stock price is higher than its previous period, it indicates positive momentum and generates buy signals. In the research the monthly signals have been calculated. Intuitively a “positive” momentum is when price of current stock is more than the level in m periods before, this leads to higher expected excess returns, thereby generating a buy signal. Momentum indicator is denoted by MOM(m) and by this indicator Pt is compared with Pt-m, and monthly signal for m(9,12) is computed.

As per the technical analysts, market trends are identified by volume data in conjunction with the earlier prices. In light of such intuition, the technical strategy of On-balance volume is considered e.g., (Granville, 1963).

$$OBV_t = \sum_{k=0}^t VOL_k D'_k \quad (5)$$

In the above given equation VOL_k measures the trading volume during period K. As per this strategy D_k is a binary variable that acquires value of 1 if the value of P_k-P_{k-1} is greater than or equal to 0 and -1 otherwise.

So, trading signals from OBV_t are formed as:

$$S_{i,t} = \begin{cases} 1 & \text{if } MA_{s,t}^{OBV} \geq MA_{l,t}^{OBV} \\ 0 & \text{if } MA_{s,t}^{OBV} \geq MA_{l,t}^{OBV} \end{cases} \quad (6)$$

Where;

$$MA_{j,t}^{OBV} = 1/j \cdot OBV_t = \sum_{i=0}^{j-1} OBV_{t-i} \quad \text{for } j = s, l \quad (7)$$

Let's assume that there is a recent price increase along a high volume. This indicates a strong positive market trend and it will generate a buy signal. We denoted the corresponding signals by VOL(s,l) while computing monthly signals of s=1,2,3 and l=9, 12. Sullivan, Timmermann, and White (1999) observed that MA, momentum and volume based indicators represent trend-following technical indicators considered in literature. The lags have also been accounted for constructing the technical indicators and found that observations of all of the indicators are available from 1992:121. The technical indicators generate buy signals (S_{i,t}=1) between 66% to 72% of the time. We then transformed the technical indicators by substituting x_{i,t} in (1) with S_{i,t} from equation (2), (4), or (6) to forecast equity risk premium. The sole purpose of this activity is to make comparison of technical indicators to ERP forecasts on the basis of macro-economic variables.

$$R_{t+1} = \alpha_i + \beta_i S_{i,t} + \varepsilon_{i,t+1} \quad (8)$$

Because S_{i,t}=1 (S_{i,t}=0) represents a bullish (bearish) signal, we again test H₀: β_i = 0 against H_a: β_i >0.

4.0 Empirical Results and Analysis

The data for this research has been taken from (Welch & Goyal, 2008)². The authors estimated the predictive regressions using this data where the ERP is the difference between the continuously compounded return on the S&P 500 (including dividend) and the log return on a risk-free bill.

Bivariate Regression Results

Table 4.2 provides estimation of β_i for the bivariate predictive regression explained in equation (1) and (8). Further you can also see the heteroskedasticity-consistent t-statistics and R² statistics in the same table. The researcher has taken the

1 The data are available from Amit Goyal's webpage at <http://www.hec.unil.ch/agoyal/>.

2 (Ludvigson & Ng, 2007, 2009) estimate predictive regressions for excess stock and bond returns, respectively, based on principal components extracted from macroeconomic variables

data from 1951 to 2013 which comprise of 757 observations. Among 14 variables, six of the variables showed significant results which are DY, RVOL, TBL, LTY, LTR, and TMS. Among these six significant predictors the dividend yield, Treasury bill rate, and term spread. According to bivariate regression, R2 value seems very low which in turn lead to rejection of the model. But as a matter of fact, monthly stock returns inherently contain substantial unpredictable component. Campbell and Thompson (2008) stated that a monthly R2 near 0.5% can depict economically significant degree of equity risk premium predictability. R2 of Five variables are exceeding the benchmark of 0.5%. The result of technical variables depicted that 13 out of 14 variables showed significant results and R2 of ten variables are more than 50 percent. The coefficient estimates presented that a buy signal estimate that the next month's equity risk premium is higher by 48 to 94 basis points than when there is a sell signal. The results showed that technical indicators are giving better indications about equity risk premium estimates as compared to macro-economic variables.

The scope of this paper is not limited to just ERP predictability as the researcher also investigated the relative strength of equity risk premium predictability by using National Bureau of Economic Research (NBER) data of business cycle expansion and recessions. Researcher computed the following intuitive versions of the conventional R2 statistics for comparing the degree of return predictability across expansion and recessions.

$$R_c^2 = 1 - \frac{\sum_{t=1}^T I_t^c \hat{\varepsilon}_{t,t}^2}{\sum_{t=1}^T I_t^c (r_t - \bar{r})^2} \quad \text{for } c = EXP, REC \quad (9)$$

The dummy variable was created in a way where I_t^{EXP} value of unity when month t is an expansion and I_t^{REC} takes value of zero when month t is a recession., $\hat{\varepsilon}_{t,t}$ is the fitted residual based on the full-sample estimates of the predictive regression model in (1) or (8), \bar{r} is the mean value of r_t here t is the number of usable observations for the sample. Observe that, unlike the full-sample R2 statistic, the R2EXP and R2REC statistics can be negative.

Table 4.1 depicted the ERP predictability and it has been observed that ERP predictability for the following variables is higher for recession vis-a-vis expansion for a number of the macro-economic variables, including DP, DY, RVOL, TBL, LTR, TMS and DFR whereas predictability of technical indicator is high in recession.

Table 4.1 Bivariate Predictive Regression Results

| | Slope coefficient | t-statistic | One-sided (upper-tail) wild bootstrapped p-value | R2 | R2, expansion | R2, recession |
|---------------------------------|-------------------|-------------|--------------------------------------------------|--------|---------------|---------------|
| MACRO-ECONOMIC VARIABLES | | | | | | |
| Bivariate | | | | | | |
| DP | 0.5692 | 1.0397 | 0.8970 | 0.0029 | | |
| DY | 0.6501 | 1.2000 | 0.1160 | 0.0037 | | |
| EP | 0.3812 | 0.6475 | 0.4410 | 0.0015 | | |
| DE | 0.1413 | 0.1953 | 0.4650 | 0.0001 | | |
| RVOL | 4.4003 | 1.2106 | 0.1220 | 0.0027 | | |
| BM | 0.2266 | 0.2244 | 0.6780 | 0.0001 | | |
| NTIS | 0.2114 | 0.0169 | 0.4770 | 0.0000 | | |
| TBL (ann %) | 0.0673 | 1.0365 | 0.1490 | 0.0026 | | |
| LTY (ann %) | 0.0583 | 0.7367 | 0.1580 | 0.0014 | | |
| LTR (%) | 0.0633 | 0.7906 | 0.2680 | 0.0021 | | |
| TMS (ann %) | 0.1508 | 1.0295 | 0.1760 | 0.0023 | | |
| DFY (ann %) | -0.2538 | -0.4273 | 0.6680 | 0.0007 | | |
| DFR (%) | 0.3224 | 1.4395 | 0.0950 | 0.0127 | | |
| INFL (%) | -0.1995 | -0.1966 | 0.5700 | 0.0002 | | |
| TECHNICAL INDICATORS | | | | | | |
| Bivariate | | | | | | |
| MA(1,9) | 0.8347 | 1.4531 | 0.0750 | 0.0073 | | |
| MA(1,12) | 0.9985 | 1.6133 | 0.0540 | 0.0096 | | |
| MA(2,9) | 0.8034 | 1.3750 | 0.0680 | 0.0065 | | |
| MA(2,12) | 1.1408 | 1.8994 | 0.0320 | 0.0128 | | |

| | | | | | | |
|-----------|---------|---------|--------|--------|--|--|
| MA(3,9) | 0.6056 | 1.0340 | 0.1520 | 0.0036 | | |
| MA(3,12) | 0.4322 | 0.7150 | 0.2320 | 0.0018 | | |
| MOM(9) | 0.7615 | 1.2412 | 0.1060 | 0.0055 | | |
| MOM(12) | 0.7407 | 1.2092 | 0.1060 | 0.0050 | | |
| VOL(1,9) | -0.4996 | -1.0997 | 0.8620 | 0.0030 | | |
| VOL(1,12) | 0.0024 | 0.0051 | 0.4760 | 0.0000 | | |
| VOL(2,9) | -0.8688 | -2.0201 | 0.9670 | 0.0090 | | |
| VOL(2,12) | -0.4229 | -0.9762 | 0.8340 | 0.0021 | | |
| VOL(3,9) | -0.1896 | -0.4368 | 0.6650 | 0.0004 | | |
| VOL(3,12) | -0.1698 | -0.3942 | 0.6380 | 0.0003 | | |

Note: Panel A reports estimation results for the bivariate predictive regression Model, $r_{t+1} = \alpha + \beta_1 x_{1,t} + \beta_2 x_{2,t} + \varepsilon_{t+1}$

Principal Component Regression Results

After testing for the bivariate regression analysis of 14 macro and 14 technical indicators we moved to predictive regression based on principal components¹. Below given equation represents the Principal component predictive regression (PC-ECON model) Assuming $x_t = (x_{1,t}, \dots, x_{N,t})$ denote the N-vector of all the 14 macro-economic variables (N=14). Similarly assuming $\hat{F}_t^{ECON} = \hat{F}_1^{ECON} \dots \dots \hat{F}_k^{ECON}$ symbolizes vector containing first K principal component extracted from X_t (where $K \ll N$).

$$r_{t+1} = \alpha + \sum_{k=1}^K \beta_k \hat{F}_{k,t}^{ECON} + \varepsilon_{t+1} \quad (10)$$

One of the major attributes of principal component analysis is that it prudently incorporates the information from a large number of predictors in a predictive regression. However, it has been evidenced that the first few principal components identify the key co-movements among the entire set of predictors. This characteristic filters out noise in individual predictors and guards against the in sample over fitting. Due to this we standardized the individual predictors before the computation of principal components.

The authors estimated the equation (10) via OLS and computed hetroskedasticity-consistent t-statistics shown in the table 4.1. However, the inference has been derived on the basis of wild bootstrapped p-values. This has been estimated with $K=3$ and the value has been selected on the basis of adjusted R². The table 4.2 shows that the first two components of the estimate are insignificant however the third principal component is highly significant at 1% level. Further, the R² for the PC-ECON model is 1.09%. The table 4.3 also shows the R² results of expansion and recession i.e. R² EXP is .76% and R² REC is 1.86% statistics, thus we can say that equity risk premium predictability is more than twice for recessions as compare to expansions.

Below given equation represents the Principal component predictive regression (PC-TECH model) Assuming $x_t = (x_{1,t}, \dots, x_{N,t})$ denote the N-vector of all the 14 Technical indicators. We replaced \hat{F}_t^{ECON} with \hat{F}_t^{TECH} in equation (10). $\hat{F}_t^{TECH} = \hat{F}_1^{TECH} \dots \dots \hat{F}_k^{TECH}$ symbolizes vector containing first K principal component extracted from X_t (where $K \ll N$).

$$r_{t+1} = \alpha + \sum_{k=1}^K \beta_k \hat{F}_{k,t}^{TECH} + \varepsilon_{t+1} \quad (11)$$

Regarding the amount of principal components used in the predictive setting, we employ the Schwarz information criterion (SIC), assuming a maximum number of three common components based on the set of 14 economic variables and technical indicators, and four based on the full set of 28 predictors.

Table 4.2 Predictive Regressions Based on Principal Components

1 The Akaike information criterion also selects $K=3$. To keep the model reasonably parsimonious, we consider a maximum K value of three, given the 14 macroeconomic variables. Note that we account for the "estimated regressors" in (10) via the wild bootstrap procedure.

2 The K value of four is selected by the adjusted R². We consider a maximum K value of four since we now extract principal components from 28 potential predictors. The value of four is also the sum of the respective K values selected for the PC-ECON and PC-TECH models.

| | Slope coefficient | t-statistic | One-sided (upper-tail) wild bootstrapped p-value | R2 | R2, expansion | R2, recession |
|------------------------------------------------------------|-------------------|-------------|--------------------------------------------------|---------|---------------|---------------|
| MACRO-ECONOMIC VARIABLES | | | | | | |
| Principal components | | | | | | |
| F1-ECON | -0.0177 | -0.1799 | 0.5280 | 0.0000 | | |
| F2-ECON | | | | | | |
| F3-ECON | | | | | | |
| TECHNICAL INDICATORS | | | | | | |
| Principal components | | | | | | |
| F1-TECH | -0.1556 | -1.5235 | 0.9390 | 0.0084 | | |
| F2-TECH | | | | | | |
| F3-TECH | | | | | | |
| MACRO-ECONOMIC VARIABLES & TECHNICAL INDICATORS | | | | | | |
| Principal components | | | | | | |
| F1-ALL | -0.1184 | -1.2458 | 0.8650 | 1.9122% | 0.2251% | 5.8366% |
| F2-ALL | 0.0434 | 0.4650 | 0.3290 | | | |
| F3-ALL | -0.0527 | -0.5107 | 0.6650 | | | |
| F4-ALL | 0.2978 | 1.6390 | 0.0540 | | | |
| F5-ALL | -0.1184 | -1.2458 | 0.8650 | | | |
| F6-ALL | 0.0434 | 0.4650 | 0.3290 | | | |

Table 4.2 represents the estimation results of equation (11) with K=1. In case of technical indicators the coefficient estimates on the first principal component becomes significant at 5% level. Further the R2 of the model is 0.86%. So, we can infer that the technical indicators taken as a group can significantly predict the equity risk premium. Further, the table also reports the return predictability of technical indicators for expansion and recession. The result shows R2 results of recession as 3.32%.

The author also investigated the predictive power of all 28 variables i.e set of 14 macro-economic variables and 14 technical indicators by estimating predictive regression based on \hat{F}_t^{ALL} (PC-ALL-Model).

$$r_{t+1} = \alpha + \sum_{k=1}^K \beta_k \hat{F}_{k,t}^{ALL} + \varepsilon_{t+1} \quad (12)$$

where $\hat{F}_t^{ALL} = \hat{F}_1^{ALL} \dots \hat{F}_K^{ALL}$ denotes Vector containing first K principal components extracted from $z_t = (x_t', \dots, S_t')$, the 2N vector of 14 macro-economic variables and 14 technical indicators.

Panel C of Table 4.3 reveals that the coefficient estimates of $\hat{F}_{1,t}^{ALL}$ and $\hat{F}_{6,t}^{ALL}$ are significant in the PC-ALL model at the 1%, and 5% levels, respectively.¹ However, coefficient estimates of $\hat{F}_{2,t}^{ALL}$, $\hat{F}_{3,t}^{ALL}$, $\hat{F}_{4,t}^{ALL}$ and $\hat{F}_{5,t}^{ALL}$ were found to be insignificant. If we look at the R2 value of PC-All model we find the value to be 1.91% which is almost equal to the sum of R2 statistics of PC-ECON and PC-TECH models². One can infer from this that both macro-economic variables and technical indicators contain complementary information. The table 4.3 also shows the R2 results of expansion and recession i.e. R2 EXP is .23% and R2 REC is 5.84% statistics, thus we can say that the equity risk premium predictability in PC-All model is much stronger for recession as compared to expansions³.

Behavior of Expected Equity Risk Premium around Cyclical Peaks and Troughs

¹ We checked this result for various subsamples and found that the R2 for the PC-ALL model is not always equal to the sum of the R2 statistics for the PC-ECON and PC-TECH models, but they are always quite close.

² We tested for structural breaks in all of the predictive regression models using the (Elliott & Müller, 2006) qLL statistic, which is asymptotically efficient for a broad range of persistent breaking processes and has good size and power properties in the presence of heteroskedasticity. Overall, there is little evidence of structural instability in the predictive regressions.

³G. Marks, 'Structural Policy and Multi-level Governance in the EC, in A. Cafruny and G. Rosenthal (eds.), *The State of the European Community, Volume 2: The Maastricht Debates and Beyond* (Harlow: Longman, and Boulder, Co: Lynne Reiner, 1993).

The following regressions provide further insight into the behavior of the expected equity risk premium around business-cycle peaks and troughs.

$$r_t = \alpha_A + \sum_{m=4}^{-2} b_{A,m}^p l_{t-m}^p + \sum_{m=4}^{-2} b_{A,m}^T l_{t-m}^T + u_{A,t} \quad (13)$$

$$\hat{r}_t = \alpha_{FC} + \sum_{m=4}^{-2} b_{FC,m}^p l_{t-m}^p + \sum_{m=4}^{-2} b_{FC,m}^T l_{t-m}^T + u_{FC,t} \quad (14)$$

Where \hat{r}_t is the equity risk premium forecast for all three models i.e. PC-ECON, PC-TECH and PC-ALL model. I_t^p (I_t^T) is an indicator variable equal to one (unity) month t is NBER-dated business-cycle peak and zero when month t is NBER-dated business-cycle trough. As per the given equation (13) $b_{A,m}^p$ ($b_{A,m}^T$) coefficient measures the average change in the actual ERP m months from a cyclical peak and trough.

Similarly, $b_{FC,m}^p$ ($b_{FC,m}^T$) coefficient follows the same methodology given above. Equity market intuitively is a forward looking market therefore we used an asymmetric window including four months before and two months after a peak or trough. Results presented in tables above also show that equity risk premium predictability is more than twice for recessions as compare to expansions.

5.0 Conclusion

Equity premium prediction has been remained in focus of research. Welch and Goyal (2008) have revealed the high predictive capacity of standard economic variables till 1970s subsequently extinct. It is noticeable to check the predictive ability of technical indicators, after such viewpoint. Therefore, adding to the literature and to complement earlier work of (Baetje & Menkhoff, 2015; Neely et al., 2014; Welch & Goyal, 2008), this study compares the predictive competency of technical indicators and macro-economic variables. Complementing to this; possible instability is also considered to examine the forecasting ability.

Same set of 14 technical and 14 macro-economic variables are considered as by (Neely et al., 2014) to estimate predictive regression. Study endorses the economic indicators' instability by using different techniques and more data, as it was directed by (Welch & Goyal, 2008). On the other hand, technical indicators are found less instable that signifies economic value of technical indicator-based forecasting.

Regression results of Principal components that are taken out from PC-Tech and PC-Econ models (comprises of 14 technical indicators and 14 macro-economic variables respectively) disclose that these technical indicators and macro-economic variables, both as a group predict equity risk premium significantly. It also shows that both these indicators hold different facts or information pertinent to equity risk premium prediction and therefore signify complementary perspectives to equity risk.

Expected equity risk premium estimations of PC-Econ and PC-Tech models, exhibit compatible counter cyclical patterns. As the downturn in actual equity risk premium nearly at the peaks of business cycle is better spotted by technical indicators, whereas the rise in actual equity risk premium nearly at the troughs of business cycle is well spotted by the macro-economic variables. Expected equity risk premium estimated by Principal component model of all indicators (PC-ALL model) shows more clearer countercyclical pattern. Expected equity risk premium estimated by PC-ALL model can better follow the sizable fluctuations in actual equity risk premium around peaks and troughs of business cycle through the highlighted countercyclical pattern.

In this study, technical indicators are used to forecast equity risk premium directly and to compare it with macro-economic variables and found that technical indicators have significant predictive power (statistically and economically) for the monthly ERP. Further, the study also aims to check the predictability of equity risk premium over the business cycle and found that the predictability is more than twice for recessions as compare to expansions.

Even, the role of technical indicators has been explained by various theories but yet not much is known about their capacity to explain the conventional facts about stock market returns, as equity risk premium puzzle (explained in introduction).

On the other hand, more traditional asset pricing models as the habit model of Campbell and Cochrane (1999) and long-run risks model of Bansal and Yaron (2004) can describe significant stylized facts but these models leave no role for technical analysis. It is important to link the gap between traditional assets pricing models and theoretical technical analysis

models as the empirical evidence developing supports the technical indicator's predictive power. By exploring the association between these two types of models, our understanding of economic forces that drive equity risk premium and cross-section of the expected asset returns can be improved significantly.

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Language Teacher Education: Identities Under Construction

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Abstract

This ethnographic and longitudinal study is aimed at investigating, analyzing and understanding the complex process of professional, social and cultural identity (re)construction of pre-service teachers in a Teacher Education Course at a Federal University in the extreme north of Brazil. The pre-service teacher's narratives were investigated through a qualitative approach. The narratives were collected from these students-teachers during the four semesters of their supervised internship class in their undergraduate course, as well as the interactions they posted in the Community of Practice - CdP - and discussed in thematic sessions accomplished during the process of investigation.

Keywords: Identities. Pre-service Teachers. Community of Practice.

Introduction

In our rush to reform education, we have forgotten a simple truth: reform will never be achieved by renewing appropriations, restructuring schools, rewriting curricula, and revising text if we continue to demean and dishearten the human resource called the teacher on whom so much depends (PALMER, 1998, p. 3, apud ALSUP, 2006, p.20).

This study which is about the (re)construction of professional identities of teachers in their initial formation started with uneasiness generated throughout approximately, eighteen years of experience with the bachelor's degree and six years of English teaching in elementary public school, and this always made me to ask: *How to be a teacher in public schools without omitting the personal self? How to be a teacher in public schools without leaving besides your personal essence or your personal style, passions, beliefs, and ideologies?* These questions, in turn, emerged having as a triggering element the fact that the most I experienced in elementary teaching was the following guidance from my partners and superiors, which in teacher training courses, still persists in the voice of my students: *"You have to frame in the system or the system swallows you!",* and also: *"You have to be adjusted to the school system, it is not good to row against the tide!"* and also: *"Through the years, or you are adjusted to the function of the school or you give up at the beginning of the profession!"*

Reflecting about how to work in the initial formation of language teachers to help them how to deal with these and other professional impasses and demands, I found myself with the already existent theories about teacher identities, because for me it is obvious the pertinence of this professional to know himself/herself better, understand the other, and know how to make interact his/her self-personal with his/her self-professional. This self-professional is, according to studies in the area of social studies, much more complex than the simple mixture or combination of the two essences- personal and professional- and therefore, it is worth to highlighting that the interaction between these two instances is very important, because if it was not like that, the identity of the professor would fail, which could lead to a simple omission of one of the two pillars in the constitution of professional education.

The integration of aspects of the self-personal with expectations and demands of the self-professional is much more complex than a simple union of the two parts (ALSUP, 2006), or even more than mere juxtaposition of I versus the OTHER for the constitution of a professional identity more autonomous, reflexive, conscious and politically active. Alsup (2006) points out the synergy of I versus the Other, self-personal versus self-professional involves to bring these binaries parts together, to mix and unit them providing a collision among the personal ideologies and the professional expectations experienced in the pedagogical practices, that exist in public schools bringing to surface a third renewed identity face. According to the author, for achieving this it is necessary that we provide activities and instances that instigate our students' formation to engage in Borderland Discourse 2, which in her words it is characterized like this:

Discourse in which there is evidence of integration or negotiation of personal and professional selves. It is at the discourse borderlands and by associations at the borders of various subjectivities or senses of self, that preservice teachers can discover how to move from being students to being teachers, and can learn how to embody a workable professional teacher identity without sacrificing personal priorities and passions. (ALSUP, 2006, p. xiii- xiv).

It is perceived that as well the nomenclature as the definition of the expression borderland discourse, according to the excerpt, are not free from risks, such as simplifying too much or to reduce an ambiguous and complex process as the transformation and (re)construction of identities is. That is, a passage of identity of student-intern to become a language professor. In the words' author:

The problem with naming something like a form of discourse that facilitates identity formation is that readers may think it is stable, always similar, and easily identifiable across time and space (ALSUP, 2006, p. 5).

On contrary, that definition does not embrace all the scope and the complexity of the process as well. It is a challenging definition of every kind of discourse and not the intuitive to make easy the study in this process. Alsup created that nomenclature, which in front of her justifications; I believe it is pertinent and relevant to advance in studies about identity construction. It is important to point out that in the same way than the author caught up, it also occurred in this study of identity construction many times, during the path of her study of borderland discourse discussing and exploring more the power of the cognitive, emotional and psychological aspects instead of linguistics ones properly mentioned in the discourse. Without detracting the linguistic values and the strategy of exploring a field so obscure and unstable such the subjectivities of human being and his/her thinking, I chose to emphasize the sociolinguistic and emotional aspects of the discourse.

Despite the ambiguity registered in the own definition of the borderland discourse that sometimes refers to something stable, something fluid, moving from one to another position; I would like to make it clear to the lector that it kind of discourse is "complex, rich and depends on the social, cultural and historical context in which it is. (ALSUP, 2006, p.5). In other words, the transformative discourse of identities reflects in a more holistic vision of the identity of the preservice teacher, that is to say, his/her intellectual, corporal and emotional aspects in the regular (re)construction and integration of the self-personal to the self-professional, or still: the interaction among the different personal and professional subjectivities and thus, a eventual integration of those multiple identities facets or the subjectivities of the I.

In consonance with the points of the author, it has vital relevance that teachers engage on that kind of borderland discourse in which, despite the relationship, is sometimes tense and conflictive among those subjectivities. They can develop a professional identity making it richer, reflexive and active in the creation of an own and coherent pedagogy perspective according to its context or educational community. Taking into consideration some studies of the Training Education Area (ROGERS & BABINSKI, 2002; GRANT & ZEICHNER, 1981; ALSUP, 2006), we can point out that there is a baggage of information about the confronted problems by teachers at the beginning of their career and thus, it is still a challenge during that period of experience with teaching, because as Rogers & Babinsky (2002, p. 2) say: "despite all the investigation and all the books, and articles written about the difficulties confronted by preservice teachers, the first year of teaching continues being a moment extremely difficult for the majority of them".

Besides that, according to some investigations (GORDON, 1991; HULING-AUSTIN, et al. 1989), 50 % of the course of novice teachers does not last more than five years for making the situation even more worrying. Many teachers that choose to continue in the profession teach in an inconsistent and contradictory way with the pedagogical conceptions, beliefs, objectives and expectations they had, when they initiated a degree course or the ones that they created during their formation. So, many of them, in order to survive inside a system that generally exists in schools, remain in their classroom surrendered to the traditional system of teaching and such fixed and stereotyped identification of professor that is culturally disseminated in the social environment – emphasized, so contested in the last decades.

In front of those challenges found by the preservice teachers, it makes relevant the study of professional identities of those individuals, whose career demands much more of a professional than what was believed in earlier times, when it was thought that any person could teach just for desiring or vocation. Today, however, it is already observed how complex is the teaching and learning language system and the professor training (VIEIRA-ABRAHÃO, 1992, 1996, 2004; ALMEIDA FILHO, 2002 GIL, 2005; TELLES, 2002, 2009, and others).

To believe in the relevance of investigations that try through interdisciplinary dialogues, to clear the clashes and discursive games present in language classroom, outlining the professional, social and cultural identities; I have as a guiding thesis of this investigation the following: when approaching discussions about identity and emotional aspects at the university, we

will contribute to the more autonomous and critical construction of identities from the agents involved in this initial formation process. Among those actors are the people that act in the disciplines of supervised internship of the degree courses, namely: trainer-teacher, preservice teacher, regent-teacher of the field-school, students of the field-school and pedagogical team, and some others.

It is not my objective just to point out punctual experiences of identity development of preservice teachers, but also to explore and explain how the (re)construction of identities occurs inside and outside the university, for example in practices communities. Keeping this in mind, I discuss in this article, the (re)construction of identities of teachers in initial formation, both in the presence context and the virtual one. For that, we divide the text in four different moments. At the first, I discuss the term identity and its theoretical conceptions and re-significations; in the second one, I analyze some excerpts that connote the identity of preservice teacher and subsequently, in the third, I analyze and discuss also other excerpts related to the identity of language teacher participants to, in fourth, bring some final considerations.

Identity and Its Unfoldings

In a word, multiple theoretical approaches are absolutely essential if we are not to lose sight of real world complexity of our subject (VARGHESE, MORGAN, JOHNSTON, JOHNSON, 2005, p. 40)

In the last twenty years, the investigations in the fields of Anthropology, Sociolinguistics and socio-cultural theories have influenced the investigation related to teaching and teacher training considerably (NORTON, 2000). We can find them in Applied Linguistics and more specifically in the initial formation of teachers (VIEIRA-ABRAHÃO, 2010, 2006; VIEIRA-ABRAHÃO e GIL, 2008; GIMENEZ, 2005; OLIVEIRA e PAIVA, 2005, 2004; COLLINS, 2004; CELANI, 2004, 2003; DUTRA, 2003; COLLINS e CELANI, 2003; CASTRO, 2001), theories that can make us reflecting, questioning and looking at the fertile land of identities through various perspectives. Or still, they can conduct us to several notions that involve the subjective and complex self-human sense in its transformer and transformative essence of the discourse as an inseparable instrument of that interaction of I and the other, and the constant negotiation of identities at the infinitive forms of relations and social actions putting on all those questions in the center of attentions of studies on several areas, mainly the ones that delight with the magic of language and education.

If we keep distant from this tendency, we believe that those studies about professional (re)construction of identities approached in this work will contribute in actual and future ones to a better understanding of what means to be a teacher of foreign and mother languages; how to work in a efficient way in teaching learning languages, as well as in the training of future languages professors, in a context in which the subject on his totality odd is emerging from this process, that is much more than a simple addition of quantitative and evaluative results in its acquisition/learning or fluent in the target language.

According to Varghese et al. (2005), in recent years have increased considerably the number of investigations in Europe and USA that approach the teacher identity in the field of Applied Linguistics, which can be tested by the full bibliography already available (CLARKE, 2008; WENGER, 2008; ALSUP, 2006; MORGAN, 2004; PAVLENKO, 2003; JOHNSTON, 2003, 1999; VARGHESE, 2000; DUFF & UCHIDA, 1997). Also, something similar can be observed here in Brazil, what is evident when we notice the increasing number of studies about teachers' identity of foreign and mother languages in the country (FIGUEREDO, 2007; CORACINI & GRIGOLETTO, 2006; SIGNORINI, 2006; MOITA LOPES, 2006, 2003; CORACINE, 2003; RAJAGOPALAN, 2003; BARBOSA, 2011).

Varghese et al. (2005) in their recent investigations concluded that a professor has a relevant participation in language classroom practices and consequently it became the focus of attention of researches. Also, they added that the researches related to beliefs, knowledge, attitudes, emotions, philosophy and some other factors, led us to conclude that all these aspects of self-professor cannot be analyzed separately at their singularities. On contrary, all of them are joined to form the identities of the teacher when performing in the classroom. Moreover, we believe that "this line of thinking, then, sees teacher identity as a crucial component in determining how language teaching is played out" and learned (VARGHESE et al., p. 22).

Besides, the authors point out that the investigations related to the socio-cultural and sociopolitical aspects also revealed the importance of the identity of the language teacher, because it is already a consensus in literature and not the neutrality pervades the role of the teacher, both in the classroom and in the broad context in which they are situated. According to the authors, those two lines of research are inside Applied Linguistics, the former encompasses the cognitive and affective aspects of a foreign language teacher; and the second one relates socio-cultural and sociopolitical aspects of a foreign language teacher. Those just led a scientific bias, whose orientation is inclined in the following sense: to understand the

complex process of language teaching and learning, "Firstly, we need to comprehend the professor" (VARGHESE et al., 2005, p. 22), that is to say, that we need to have a clear sense of who they are and in which cultural, social and professional context they are positioned or can be positioned by others at the interactional moment.

We agreed with the asseveration of the authors in which all the changes, consequently, provided relevant significations to the identity term in our post-structural times. One essential component of that change point out that the identity cannot be more understood as a something fixed, stable, unitary and coherent; but instead, it is a multiple transitory, transformational and transformative in conflict in its essence and capacity of management of human being in his identity formation –agency in identity formation-, bringing to dance an I as an intentional and administrator being of his identities. Another aspect is related to the fact that the identity cannot be analyzed in a isolated way from a social and historical context and for that reason, emerged an important component that is the relationship between the identity or the identities assumed by the individual, which he/she declares to posses –claimed identity- and the identity imposed by the others –assigned identity- that means, identities that the other affirms or recognizes in the individual.

A third component would be the interrupted verification of identities constructed and (re)constructed in a continuous process of negotiation of meaning through the discourse and language. We would add, still in this topic, the social aspect as an important tool of negotiation of identities. For example, the responsible action by the (re)construction of identities in communities of virtual or presence practices, which will be discuss more in detail. It is important to mention that Wenger (2008) introduces identity and social practices as parts of the same process, which means, our experiences of identities like a form of being in the world. Moreover, he made us know that a language/discourse is not everything in the construction of identities.

These visions and conceptual perspectives of identity are the ones that we will assume in this study and for achieving our goal; we will take as a potential instrument to comprehend these experiences of the participants, their emotions and identities, their narratives, or life stories according with what is conceived by Johnson and Golombek (2011); Fina (2010); Alsup (2006); and Signorini (2006), among others. These narratives are disseminated in the internship reports, which are setting up as a part of a semester evaluation of the professor-beginner. The reports were produced in the lapse of four semester in which participants studied the discipline called Investigation of the Pedagogical Practice and Supervised Internship in English Language -5° period, Reports I; II 6° period, Reports II; III- 7° periods, Reports III; and IV- 8° period, and Report IV, in a total two years, from 2010 to 2011- of data collection.

Identity of the Preservice Teacher

In the text, we will pay attention to the following two participants: Laura and Richard. During the analysis, as we have perceived, this participants showed in their initial teacher-identity formation, dissatisfaction with the academic education they have received in their university course. Laura affirms in various moments, that there is a "breach" in her formation, or that her academic-theoretical formation does not prepare adequately for the real experiences in the schools yet. There is a discrepancy between the theory taught in the university on the one hand, and the experienced practice in schools on the other.

This approximation or relation between theory and practice has being discussed and analyzed by authors of the teaching and learning language area (SILVA; BARBOSA, 2009; GIMENEZ, 2009; VIEIRA-ABRAHÃO, 2002 and others). If, however, this question was rethought in the perspective of the reconstruction of professional identities, it is either "negotiating the tensions of being a student versus being a teacher" (ALSUP, 2006, p. 132). In other words, it would be a tense relationship among theories that were acquired at the university and the philosophies and expectations of the teacher in initial formation, in relation to his performance in the field-school, being this relationship experienced primarily at the borderland discourse.

It is important to mention that the negotiations between the subjectivities of the beginner-student and the trainer professor or still between the formation course received and the experiences of the field-school can provide a development of an odd professional identity, as it is conferred in the next excerpt 1 of Laura. In it, she questions that tense relationship between theory and practice, introducing in Meta Language the development of regulation of her I (JOHNSON e GOLOMBEK, 2011), when she perceives the complexity that involves the movement process from a training student to a language teacher. Thus, 'for us, still future teachers, there are a lot of questions, still unsolved waiting for new ideas', like she mentions in her transformer and transformative discourse:

Excerpt 1

(1) Laura: I confess that during this first internship, I had the anxiety of learning how (2) to teach English and to approach that matter so attractive for the students, which unhappily, (3) did not happen. I perceived that our theoretical discourses are not enough (4) to answer the demand of practice and **still there is a breach in our (5) formation in relation to the English classes and how to teach...** After (6) observing all the classes, I understood that the little acquired at the degree course is not (7) enough with the reality of everyday school... Despite of various (8) discussions witnessed at the university, I realized that the majority of disciplines applied (9) in the degree course do not show how to employ or/and modify the same (10) content in the classroom, that is to say, to the school practice... **For us, still (11) future teachers**, there are a lot of questions and problems **that continue without (12) solutions, waiting for new ideas, new theories, new analyses, new heads** (Internship Report I- emphasis mine).

The reflection and systematization (JOHNSON and GOLOMBEK, 2011) of her thoughts, as well as, the development of her professional identity about the issue of negotiation of her identities of pupil in formation/apprentice and intern teacher happened more intensively in the last semester, when she was studying the discipline called Supervised Internship IV. At that moment, she used the Report IV as a meditational and determined to reflect about her main experiences as an apprentice to analyze those experiences critically and after that, to describe those analyses to her actual conceptions about how to be an internship teacher. On that new conception of Laura can be noticed at the beginning of her writing in the Report IV when she does the following dedication using a literally fragment of the Irish author Oscar Wilde:

When we thought we were experimenting on others we were really experimenting on ourselves.

Laura perceives that during she was testing her students with her lessons plans, strategies, methods and varied approaches; she was actually, testing herself in the new identity of an intern teacher. In other words, it is put a new negotiation of academic I- apprentice- x OTHER- intern teacher. It means that her professional identity was being tested by the negotiation between her subjectivities and the ones of the others involved in her formation process, such as: trained teacher, regent teacher of the field school, students of basic education, principals, coordinators, and others.

Richard is also engaged at borderland discourse through negotiations between his identity of apprentice/ academic student and researcher and as intern teacher identity, as it is noticed in the fragment below:

Excerpt 2

(1)Ricardo: The supervised internship is one of the most challenging moments during our (2) formation. (Even though I was working with the investigation through (3) Scientific Initiation (with my tutor that works with the internship), I feel too much (4) worried with the regencies and I consider them a big challenge, because I leaved from the (5) position of a student and researcher (roles in which I do not feel any pressure) to a teacher (6) position, in which I am being tested and evaluated not only by the trained one of (7) the university, but also by the students and the pedagogical team of the school in which I am (8). (Internship Report II).

In the excerpt before, Richard, in an asymmetrical exchange of power positions (NORTON, 2000) and roles, feels tense and until abashed with the new identity he will assume: the one of preservice professor. He is aware of as a trainer teacher; he will have on difficult, conflictive, or submissive situations for being evaluated not only by the trained teacher, but also by the regent one and by the pedagogical team of the field school.

Furthermore in his narrative, Richard assumes his identity of critical-reflexive student/apprentice and even, he assumes a challenging tone that criticizes his trainer teachers for not considering the real and chaotic conditions of language teaching in public schools. Moreover, the claiming continues when he affirms that the formation he received is still traditional and based on content, and it does not match with the continuing and fast reality in which he will perform through his identity of foreign language teacher or which does not prepare him to be a foreign language teacher in this contemporary and technological reality of XXI century, like it is showed at the following excerpts:

Excerpt 3

(1)Richard: We have theorists at the university, who think about teaching from the top of their (2) formations without considering the contexts in which they are (not) going to be applied. (3)The university is too much worried with the 'how it should be' and does not create (4) purposes to 'how it is'. (Internship Report III- emphasis mine).

Excerpt 4

(5) Richard: The trainer- teachers talk that they pretend to form (6) critics and reflexive professional, but they elaborate, applied and ask for positivist and (7) excluding activities, using some materials and long term and squared methods (8) dates to form professors that would teach in the liquid future and even more (9) fast. All principles of observation, experimentation and uncovering, which are (10) characteristics of the scientific spirit, are put on favor of (11) classic readings that are incorruptible and used on dissertations and theses of guides, without having (12) space to doubt or hesitate: in a test, the subject can approve or reprove. They use (13) methods that evaluate the competency and assimilation content by the (14) student, but they have little to contribute to the performance of the classroom and it (15) seems to start to the conception that just to dominate the content, it would (16) guarantee a good class...*Maybe I am arrogant, but I can wager in a (17) rate between 10 and 1 that any hyper specialist teacher could (18) be able to be better in a public school with all the (19) difficulties that we find today. They can do good as they can, but better (20) NOT.* (Internship Report IV-emphasis mine).

When Richard affirms that at the university all the principles of observation, experimentation and uncovering which are characteristics of the scientific spirit, are put on favor of classic readings that are incorruptible and used on dissertations and theses of guides, or still that at the university **'we have theorists at the university, who think about teaching from the top of their formations without considering the contexts in which they are (not) going to be applied'**, he is unsatisfied with the formation he received in the academic space and he also claims that his trainers are in a privileged space of education, living their experiences and ideologies far from the chaotic reality of public school education.

Zeichner (1987), a theorist of matters of connection and disconnection among theories studied at the university and experienced at the field schools, suggests that the disconnected conception, expressed by Richard – between the formation he received at the university and the experiences at the field- school, happens the majority of times when the trainer is more concerned with the contents and objectives established in the disciplines programs, instead of the philosophies and beliefs generated with and inside the classroom.

When that imbalance between the practice and theory happens in the preservice teacher training, as it is observed in the excerpts of Richard, it can be for the professor in initial formation that they trainer teacher are completely unworried with the challenges that they as training students, will have to confront in public schools, let them to conclude that all the theoretical knowledge they received at the university is not important for their future professions.

However, Richard shows a professional, confident and a develop identity, to the point of being in a symmetric position of its trainers when he provokes them to manage a class better than him: 'but I can wager in a rate between 10 and 1 that any hyper specialist teacher could be able to be better in a public school with all the difficulties that we find today'. As this already called attention, it matters to make clear that is justly in that initiating period of scholar activities, challenging to the novice professor, that his/her professional identity starts to be outlined and gain forms.

Many teachers do not achieve to negotiate this reconstruction of their personal and professional identities, from which can result in negative consequences for the future professional training, or even, the termination of the profession they have chosen with their ideologies, abilities and competencies, which they have thought to be the most compatible. This happened with Ricardo, who was worried about his appearance as an adolescent, due to the fact that he is physically short, compared with the Brazilian male average. The result is the following concern:

Excerpt 5

(1)Ricardo: Initially, **I let my goatee grown, with the (2) expectation to look older and maybe guarantee a little more (3) respect**, but when I met the class, most students had more (4) beard than I. Yes, it's funny, but it's true. (Internship Report II- emphasis mine).

Nevertheless, Ricardo reflects systematically with his participation in CdP, about his identity negotiations through the borderline discourse (ALSUP, 2006), between the Self-Personal and the Self-Professional. This motivated him to pass from an intern-teacher to a professor of languages, to "interfere in the best possible way". Now, we are going to focus on another identity facet: the identity of a language professor.

Identity of a Language Professor

Laura at her identity of a language professor assumes the responsibility of theorizing her own teaching method. She looks to check forms to her own pedagogy (ALSUP; 2006) through a critical reflexion about several methods and approaches of language teaching, without waiting a ready recipe from her internship supervisor. Moreover, she demonstrates the development of her professional identity and recognizes the significant relevance of old theories that at ingenious moments, the professor thinks of substituting using newer methods and approaches, looking for 'innovations' without perceiving that for a real innovations of her/his attitudes happens in relation to teaching, some changes have to occur at herself/himself, at her/his identities subjectivities as the participant demonstrates in the excerpt below:

Excerpt 6

(1)Laura: As teachers, we must not be extremists considering that it (2) is necessary to mix the innovation with what is traditional. Now that we are conscious of those (3) and other aspects, we must look for some alternatives of language teaching that (4) escape from a mere reproduction of methods without excluding the pattern of teaching, but do not (5) let them be exclusive. (Internship Report II).

(6)Laura: In that way, the teacher is obliged to be adapted with the reality of the classroom, (7) leaving aside all those beliefs of how being a good professor to (8) attend the students' demands (Internship Report III).

In the fragments from the Internship Report II and III of Laura, she concludes that the teacher must think primarily of his/her students' interests and not exclusively of himself/herself and the achievements as a professional modifying, in that way, the conception of being a good teacher. Consequently, she also shows some changes of her professional identity after introducing moments of borderland discourse and the negotiation of her personal identity –in which she had beliefs about how 'to be a good teacher'. She stopped it this to assume a new professor identity, that is to say, she perceives that not only by her interests must dominate the classroom, but also her students over all.

Lastly, the participant already expresses, in a firm way, to be a foreign language teacher- teacher identity- and no more an intern-teacher –preservice teacher identity-. So, she defines her conception of being a foreign language teacher, pointing out it worth it to struggle, like on the prior discourse -of other regent teachers- she expressed at the internship II, even though it is frustrating or discouraging. So, let's look at the fragment and discuss in detail its implications for the reconstruction of Laura's identity:

Excerpt 7

(1)Laura: At the end of the Internship we understand, taking into account the acquired experience in (2) our regency practice, that being a foreign language teacher or of any (3) other subject **it is to know how to be adapted to different situations and have a plan (4) B to dribble the unexpected situations** that happen at the moment of (5) 'let's see'. Being a teacher is to have passion for what it is made and believing in education, (6) even though everybody says that it is not worth it. (Internship Report III-emphasis mine).

(7) Laura: The teacher is the most important figure of the classroom and he/she seriously needs to carry (8) that responsibility, assuming that because when he/she is there is the person who (9) directs there. Even though, the system sometimes dictates the rules and imposes the (10) practices, **it is up of him/her to reformulate and adapt the (11) classes**, taking into account the context of every classroom and the (12) students' diversity. (Internship Report III- emphasis mine).

(13) Laura: **What we have now is the worry of our challenge: To be a different (14) teacher** in front of the diversities we will have (15) ahead of our students, remembering the promise (16) that we made of being different of the ones that we criticized and are (17) responsible, in a way, of flying until our 'ivory tower' (Internship Report IV-emphasis mine).

The three narrative segments of Laura reveal that the participant has a flexible professional identity, that is open to changes and adaptations in front of other challenges or negotiations that she will have to do with her self-personal and her self-professional. It can be observed at the discourse of the first narrative segment, when she affirms that being a teacher is 'to know how to be adapted to the different situations and have a plan B to know to dribble with unexpected situations'. It is also, in the second narrative discourse her flexibility when she says: 'It is up to that teacher [my professional identity] to reformulate the proposal [of the OTHER represented here by the voices of governors, principals, coordinators, professors, students and other actors] to adapt the classes'. That flexibility influences in the third segment, as we can observe, it is a

fragment taken from the Internship Report IV, and she retakes that same professional identity face at the following semester when she affirms again: 'What we have now is the worry of our challenge: To be a different teacher' - [I-a foreign language teacher different from the OTHER, the regent teacher of the field-schools, the trainer professor, the I intern professor, the I-student/apprentice and others] -.

Richard also presents a professor identity too much holistic and developed. It can be perceived when it is put in front of the social OTHER and when he confesses his subjectivities changes or even, when he contrasts one change of his I versus the social OTHER. That is represented here by the politicians and governors, who are responsible by the laws that regularize the Brazilian Education, the educational system, as well as the principals, coordinators, secretaries, students, and teachers. That means: the social community involved on the educational process. Look at the following:

Excerpt 8

(1)Richard: The contact with the education by the perspective of the teacher alters, (2) profoundly, the way we feel and perceive the society and it interferes in a decisive (3) manner at the social processes in which we are involved...I believe that I (4) can construct such critics to experience what I defend and I am aware that (5) even I can achieve my own objectives. **For that reason, I do not pretend to desist of (6) progressing and helping to make the positive difference in every classroom** (Internship Report IV- emphasis mine).

It is necessary to point out the development of the professional identity when he shows us that he is aware of his professional identity 'will become' eternal, (re) doing at future negotiations of his SELF-personal versus SELF-professional, when he says: 'I am aware that I can achieve it'. According to Moita Lopes and Bastos (2002, p.9), that 'becomes' is a project of life in which we engage and it moves the subject 'to ambition to reflect about a social life', try to comprehend it at the same time in which "it points out new configurations about who we are or who we can be" (MOITA LOPES e BASTOS, 2002, p 9).

In Moodle, Ricardo echoes in his discourse a paternalistic language teacher's identity and was concerned about his relationship with the students, which is indicated by the use of the two verbs: attend and watch over. In this way, Ricardo calls in himself the responsibility to act like parents who take care for the education of their children's, as can be seen in the excerpt below:

Excerpt 9

(1)Richard: Don't come to tell me that if a teacher explains how a (cult) variety of (2) grammar of determined language (English, for (3) example) behaviors in determined situations to teach a language, but it is (4) not like that. You can be teaching something, except the language: the language cannot (5) be learned, it is lived. **For me, the professor must incentive the student to live the foreign (6) language, attending it what he demands (like (7) parents) and watching over for this experience happens in a more salutary (8) possible way.**

(9)**What is your concept of teaching?** (CdP-Saturday, October, 23rd, 2010).

Also, Laura presents an identity of a language teacher too much developed and critical (FAIRCLOUGH, 2003) when she lets to echo her power awareness at her discourse in Moodle. She believes in the professor as a more important figure in the classroom: 'When you are there, you are the person who directs there!' and also by 'the budget' (NORTON, 2000) in her profession as an objective of improving the practice each day. In a similar way, she presents an active and conscious professional identity of her transformer role inside that social context, given that she thinks, at her professional context, that she is not happy with the conditions that are imposed. In other words, a professional engaged with the aspects and social actions of her environment, according to what is expressed next:

Excerpt 10

Laura: The professor is the most important figure in the classroom and he/she needs (2) to assume that, because 'When you are there, you are the person who directs! And don't come to (3) tell me that the system is the one that dictates your class, because it is not like that. The teacher is the (4) figure more influent in the classroom, and for that reason, it is necessary that assumes his/her (5) position, showing to the student the relevance of the content he/she is teaching. It is (7) just at that moment when he/she can present the foreign language through a vision (8) that is it beyond from the linguistics aspects, giving inside of political and (9) cultural questions. **In that way, I believe that being a teacher is a professional (10) that is not happy with the conditions that are imposed to work, and does not have limits to**

complain, but also look for the perfection and the (12) reflection in order to improve her/his practice each day. "What does mean to be a (13) foreign language teacher? (CdP-Monday, June, 20th, 2011- emphases mine).

Richard continues to express his rejection for being an English language teacher, mirroring himself in the reflex of rejecting English language as the 'other' colonizer, imperialist, and arrogant in a superior relationship and power of I-speaker of the mother tongue, as it is evidenced in the other excerpts of Richard in which he shows that rejection. Sequentially, he believes that he does not have the 'don' or 'vocation' to be an English language teacher and concludes 'that it is not what he desires'.

Some Considerations

To conclude, I would like to come up four inferences which seemed relevant for the analysis and the discussion of the presented data. First: The participants of the institution that was the context of the research, confronted a long period of change that made the contexts analyzed privileged arenas for the negotiation of new professional identities, which made it palpable to verify the (re)construction of the professional identity of both participants. The participant who engaged more in the borderline discourse was Ricardo, despite finishing his course refusing to be a foreign languages teacher, and he developed his professional identity significantly, identifying himself as a teacher of mother language.

Second: To focus the reconstruction of a professional teacher identity in initial formation in some virtual and presence contexts in a Letras Course, we perceive the transiency of the categorized identities such as: 1) student/apprentice identity; 2) the identity of the internship professor; 3) the identity of a foreign language teacher; and 4) the socio-cultural identity. It is important to emphasize that they do not obey to a chronological order of development and interaction represented properly in this study, as a progressive movement of back- and- forth pendulum.

Third: All the discussions presented before about the excerpt of Laura and Richard reinforce our belief of the importance of the discipline Supervised Internship II, in other ways, the knowledge of theoretical and practices for the reconstruction of the professional identity of these teacher/apprentices, as well as for the consciousness of them in relation to the motivation role and the budget in the cultural-capital, that means, the improvement of their future professional career or in a better future (NORTON, 2000; BOURDIEU, 1997, 1991).

Lastly, the fourth: To analyze the interactions of the two participant in Moodle Platform, we observe there the most concurrency in the construction of the professional identity, which indicates that it space is preferentially like a environment of sharing frustrations, emotions, achievements, passions, anxieties, wishes, etc. We understand that this sharing of experiences served as emotional scaffolds (ROSIEK, 2003). Finally, it is evident that the narratives or stories when told in both virtual and/or presence contexts, would be a privileged site to understand synchronically the role of a language in the construction of who we are.

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Impact of Time Management on Personal Development of Master's Degree Students

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Abstract

In juvenile age time management has significant impact on the personal development abilities not only in current period, but throughout the life. Goal of the work is to establish the reasonability of Master's degree students' development and correctness of distribution of their time proceeding from scheduled goals on the basis of Master's degree students' time budget analysis. According to individual priorities the personal development depends on reasonably formed balance between physical, spiritual, vocational, social, mental, emotional development and in no circumstances on absolute disregard of one or another factor. At consequent life stages an even development of the individual has an impact on his (her) physical, mental health and working capacity. 523 Master's degree students of Georgian State University in the capital and regions were subjects of research. Study of 48% of time budget of active students of biggest Georgian university actually gives us detailed picture of state-of-the-art. To what extent do students perceive this stage of their personal development? Time management characteristics directly or indirectly show us, to what extent student are able to control their own development and balance the life. Do they comprehend short-term, long-term goals and plans, or not? How do they distribute their time at work, during study, when resting, doing sports, sleeping, when satisfying their cultural and spiritual requirements or accomplishing short-term or long-term plans? How much time do they lose senselessly during a day, what is their nutrition regime and sleeping schedule? Conclusions and future forecasts obtained on the basis of research contain important and relevant information and recommendations not only for individuals of specific groups, but also in general, on functioning of systems regulating various spheres, especially education and labor.

Keywords: Management, Time Management, Personal Development, Human Potential Management

Introduction

Success, a person's happiness is directly related to the fulfillment of his/her objectives and the level of satisfaction that can be connected directly to the Maslow's Hierarchy of Needs from Physiological to Transcendence, Alderfer's Hierarchy of Motivational Needs or McClelland's Theory. (Robbins, Stephen; Coulter, Mary, 2012)

Satisfaction of the needs, except the external (unmanageable) factors is directly related to the level of spiritual, emotional, mental, physical and social development and is expressed in correct combination skill of three variables: purpose, potential, policy (Figure1) (Gulua, Ekaterine, 2016).

The purpose implies setting goals correctly which leads to the fulfillment of dreams;

Potential is the exact analysis of real possibilities.

Policy involves strategy, methodical and tactical ways through which we will broaden the possibilities, achieve goals and maintain achievements.

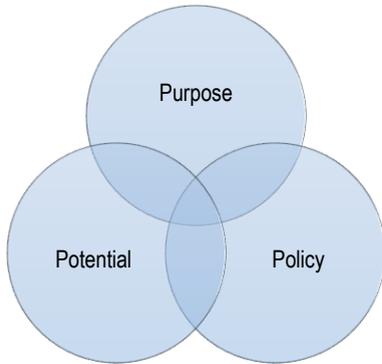


Figure1. Determinants of Success

All three above mentioned determinants are characterized by a specific time frame, beyond which they simply lose sense. The ability to make timely execution of the right actions is an important condition for a person's success and shows his/her level of development, in general a person's potential.

It is important for a person to make his/her own life as a cycle of continuous improvement: diagnose, prioritize, set objectives, action, evaluate (Adair & Allen, 1999) **pg.79**), to cope with changing challenges and retain the level of achieved success.

Time management level is a significant indicator of the level of personal development and potential. The purpose of our research was exactly this: to study the structure of MA students' time budget and their attitude towards time management. The research was conducted by **Human Potential Management Laboratory (HPML)** Ivane Javakhishvili Tbilisi State University, Faculty of Economics and Business. The research was preceded by early studies about students' problems, as well as the qualitative analysis of the specific focus groups' time budget. We have developed the following hypotheses:

Employed students are intensively experiencing a shortage of time;

Workability and learning ability of employed students are reduced;

The most important part of the majority of students' time is monotonous and does not provide multilateral development.

We made a questionnaire that included 37 closed questions. We chose the students of economics and business faculty as research objectives. The survey was conducted at 5 largest state universities: TSU – Ivane Javakhishvili Tbilisi State University, GTU – Georgian Technical University, GSTU – Gori State Teaching University, TeSaU – Telavi Iakob Gogebashvili State University, BSU – Batumi Shota Rustaveli State University. The survey covered 523 MA students. The study was conducted in April-May 2016.

In these universities, 1094 active students were enrolled in Economics and Business at that moment. The number of respondents amounted to 47.8%. The percentage ratio of respondents is unequal and takes a large share (60%), TSU, and GT (21%), which is largely conditioned by the fact that the sizes of the studied universities are significantly different. The percentage share of respondents among active students is shown in Table N1.

| Table N1 | Number of Active Students | Number of Interviewed Students | Percentage of Interviewed Students |
|----------|---------------------------|--------------------------------|------------------------------------|
| TSU | 522 | 313 | 59.9% |
| GTU | 402 | 111 | 27.6% |
| GSSU | 40 | 37 | 92.5% |
| TeSau | 31 | 27 | 87% |
| BSU | 99 | 35 | 35.3% |

The number of interviewed freshmen was 48% and the number of sophomores was 52% (**Figure 2**). 82% of respondents were employed and only 18% were not employed (**Figure 3**). Based on the analysis of the database, it was clear that the majority of the employed MA students' GPI was lower than 2, while the majority of unemployed MA students' GPA is higher than 3. We also found out that 91% of employees are working full-time, which means 9-hour working day, normally from 9am to 6pm, by Georgian legislation (**Labour Code of Georgia**).

Figure 2. Interviewed MA students according to the course

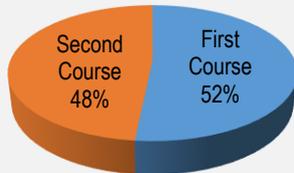
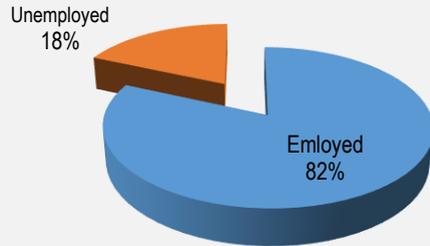


Figure 3. Are You Employed?



As for the studying at universities, it includes attending lectures/seminars, every day for 4 hours except Sunday. MA students' daily auditorial load during 6 days is 24 hours. Students at the universities that we studied except Telavi University start at 5 or 6pm and end at 9pm. Of course it seems that employed students' (majority of students') time schedule is not taken into consideration. Employed students complete their work at 6pm and need at least some extra time for traveling during rushing hours. The observation has shown that employed students often miss lectures and seminars, or appear no earlier than 7pm. Their vast majority (70%) spend 1-2 hours at lectures and seminars. (Figure 4). 65% spend 6 hours a week at lectures. Which is a quarter of their actual loading. (Figure 5).

Figure 4. For how many hours are you at the lecture?

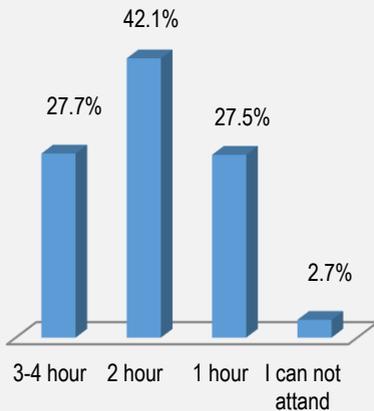
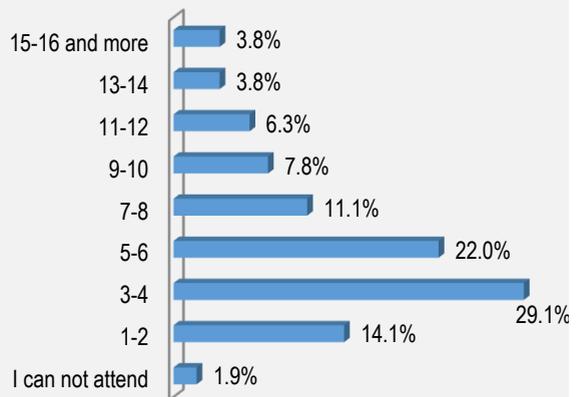


Figure 5. How many lectures (hours) do you attend a week?



Most of the interviewed MA students (51%) spend about one hour and 33% spend less than one hour per day for studying (Figure 6). Their vast majority (72%) states that they learned more when they were undergraduates (Figure 7).

Apart from compulsory textbooks, 22% of respondents cannot use additional literature, 61% sometimes use it, 17% often use it, this is mainly the part of respondents who are not employed.

Figure 6. What time do you need to prepare lectures and seminars during the day?

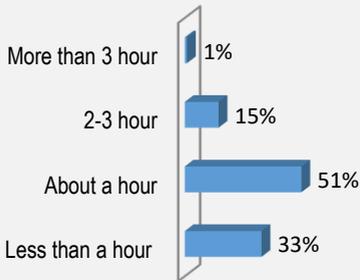
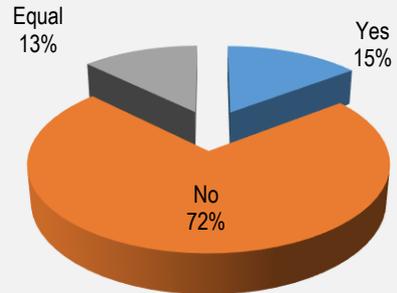


Figure 7. Do you spend more time on studying now as an MA student or when you were bachelor?



It is natural and it is clear from the research that 57% of employed students have to do job related things at home too (Figure 8). And 65% have to study university subjects at work (Figure 9).

Figure 8. Do you have to perform job related things at home?

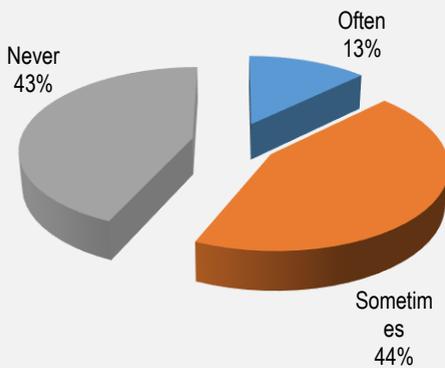
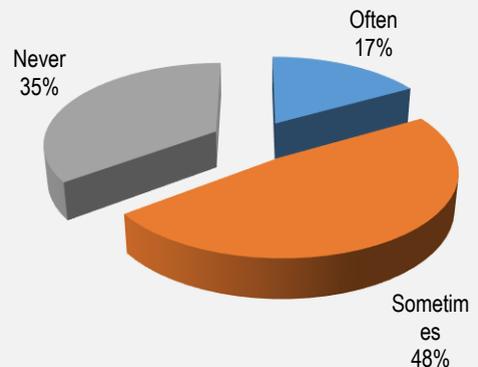
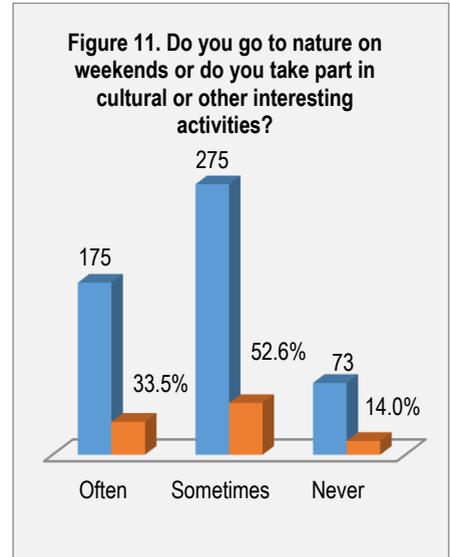
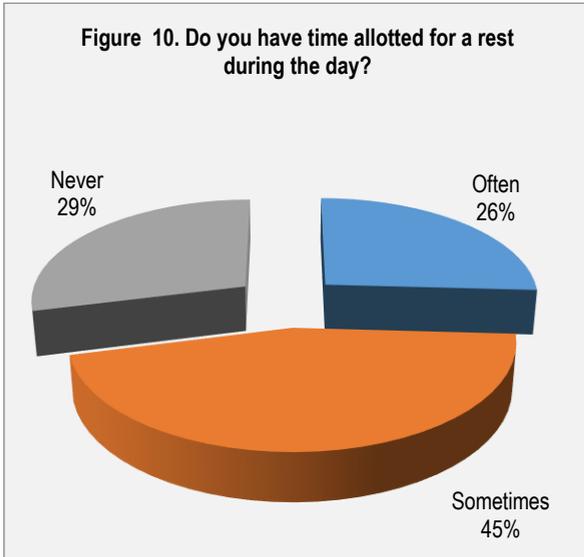


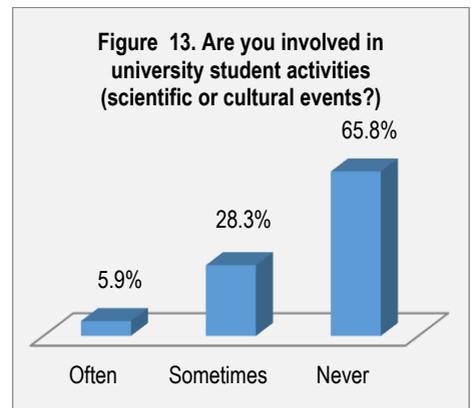
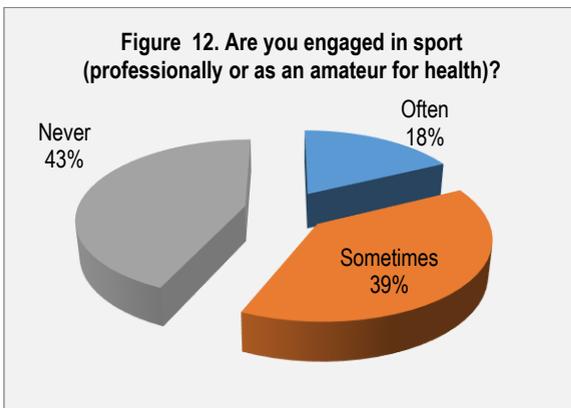
Figure 9. Do you have to study university subjects during working hours?



As for the break, during the day 25.9% have a break frequently, 45.2% - sometimes, unable to rest 28.9% (Figure 10). 34% are often able to go to nature, take part in cultural or other interesting activities on weekends . The majority of respondents (53%) are sometimes able to spend their weekends interestingly, and 14% report that they can not do it at all. In addition, the objective reality is that the largest majority of them have lectures in the first half of the day on Saturdays (Figure 11).



18% of students are regularly engaged in sport, 39% are irregularly engaged in sports, 43% of students are not engaged in sports at all (Figure 12), which directly indicates the need for popularizing a healthy lifestyle among young people. Also, at universities there are fewer opportunities for students to take part in cultural events, extra-curricular scientific activities, it does not happen regularly. Only 6% of the interviewed respondents are active in this regard, 66% never participate in such necessary activities (Figure 13).



For the stable personal development of young people it is important for them to have a regulated sleep regime and it should last up to 8 hours. The study has shown that 67% sleep for 6-7 hours, 8.2% sleep less than 5 hours (Figure 14), 47% go to sleep at 01-02am and 28% - later (Figure 15).

Figure 14. How many hours do you sleep approximately?

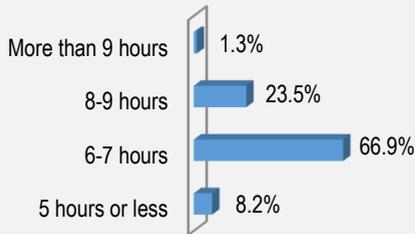
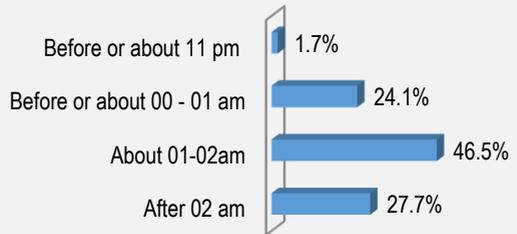


Figure 15. When do you manage to go to sleep?



During the day taking care of hygiene needs some time, for most of the respondents it is one hour on average (Figure 16). As far as nutrition is concerned, the majority of students eat twice a day, but they were reporting in the comments that they cannot eat healthily even once a day (Figure 17). 52% spend 1-2 hours for transportation. Only 0.2% do not need transportation (Figure 18), which is due to the fact that universities have no regulated campuses.

Figure 16. How much time do you spend on your personal hygiene?

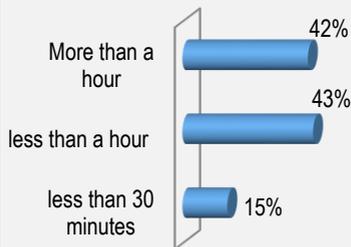


Figure 17. How many times do you eat properly per day?

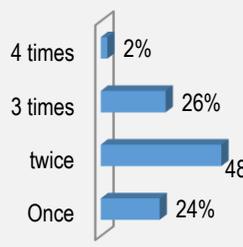
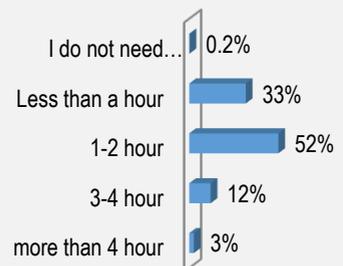


Figure 18. How much time do you need for everyday travelling?



In the unforeseen cases, the vast majority of students-91% lose 1-2 hours (Figure 19). 69% spend 1-2 hours on social networking during the day, 3 hours and more are spent by almost 30% (Figure 20).

Figure 19. How much of your time is lost on daily unforeseen activities?

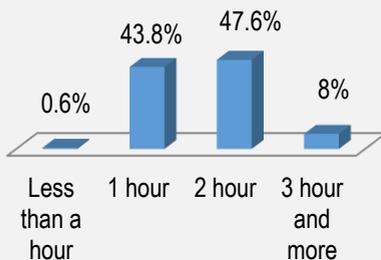
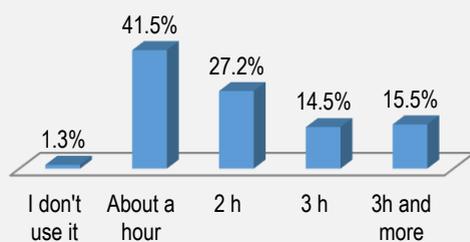
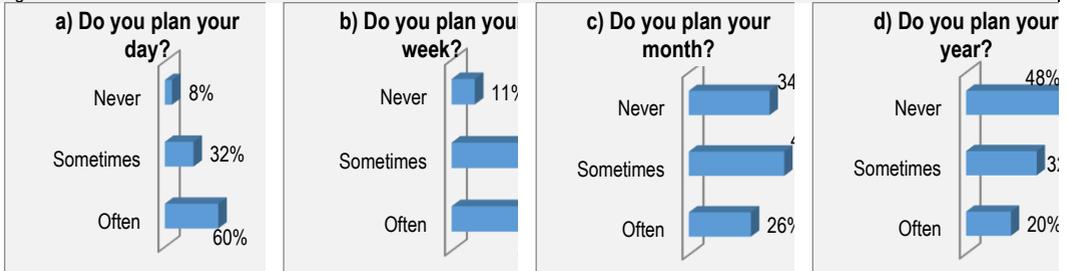


Figure 20. How much time do you spend on social networking during the day?

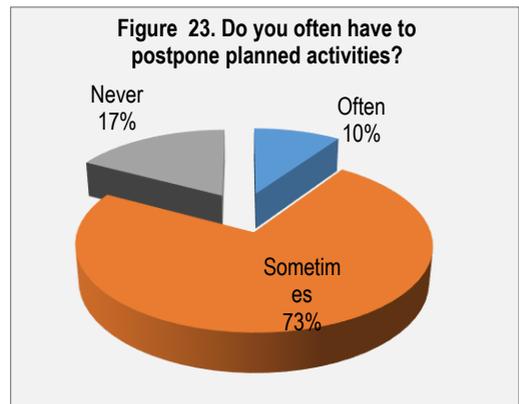
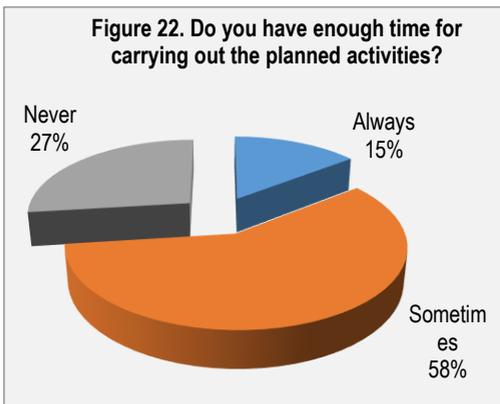


To find out how consciously the students manage their time budget we asked them if they were planning their day, week, month, year. The results showed that 60% of students often plan their day, 45% - their week, 26% - their month and 20% - their year. Only 8% of respondents never plan their day, 11% - their week, 34% - their month, 48% - their year (Figure 21).

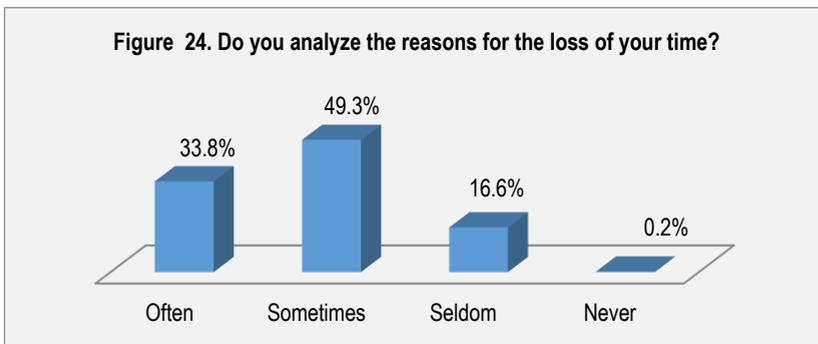
Figure 21.



Despite the fact that the number of planner students is not so small, the study showed that only 15% of the respondents have enough time for carrying out the work that they had previously planned (Diagram 22). 17% never have to postpone the planned activities (Figure 23).



When asked whether they tried to analyze their time loss 34% responded positively and 49% sometimes analyzed the reasons for loss of their time (Figure 24).



Unfortunately, all three hypotheses have been confirmed as a result of students' time budget analysis. It has been revealed that during the working days, which include 5 days a week, essential activities take 23 hours a day. The majority of respondents claim that its structure is as follows: sleep - 6.5 hours; Job - 9 hrs; Attending lectures - 4 hrs, transportation - 1.5 hrs; Hygiene - 1 hr; eating - 1 hour, which in total make 23 hours. The majority of respondents also report that they are not intensively engaged in sports, other cultural or student activities, they spend 1.5 hours on unforeseen cases, 1-2 hours on social networks. Only this data is enough to conclude that the students' time budget structure contains monotonous

activities. Their time budget structure is irrational. It does not consider the alternation of mental, physical and spiritual loading. In case of a full attendance at work and lectures (in total $4 + 9 = 13$ hrs) there is no place for physical activities, learning, and relaxing. They are constantly in a force majeure situation under constant pressure and high stress. In a long time, such loading will certainly cause a person's exhaustion, desperation, and a significant decrease in working ability, learning, and subsequent worsening of stable development skills.

The maturity level of the country's development, perspective of sustainable development is revealed in the form of public relations, with a person's values, physical, mental, spiritual development of the individual and the possibilities of realizing his/her potential. The results of caring for the basis of progress development of human are reflected on the following indicators (**Economic Intelligence Unit, 2015**): 1. Demography; 2. Quality of compulsory education; 3. Higher education quality; 4. Quality of work force; 5. Environmental status of talent realization. 6. The country's willingness to be engaged in the free trade area of labor 7. The willingness of the country to attract talents. The issues we examined are directly reflected on the quality of higher education; Level of work force, environmental conditions for realization of talents. The results showed a sad reality, important work should be done to normalize the situation. The data obtained as a result of the survey provided the opportunity to make conclusions in many directions, the problem of necessity of studying self-management at the earliest age for young people has been singled out by us (Kharadze, Natalia; Gulua, Ekaterine, 2016). The study gave us the opportunity to study specific challenges in each university (**Kharadze, Natalia; Gulua, Ekaterine, 2017**). The research provided us with a prerequisite to learn about the challenges faced by the students in general thoroughly. We have identified 25 important challenges that should be taken into account in the management process of the universities. (Gulua, Ekaterine, 2017) The current situation, the challenges faced by organizations, students and in general employees are directly related to the collapse of the Soviet economy and the lack of knowledge of building new economic relations. Experience of individuals, society, organizations and institutions on which the development of European countries is based is scarce in Georgia as in a post-Soviet country. There are significant deficiencies and regulations are needed, healthier frameworks are necessary for the forms of relationships between the economic subjects, the "rules of the game", which ultimately will be revealed in the forms of doing business, organizational culture and development potential (Gulua, Ekaterine; Kharadze, Natalia, 2014).

References

Recommendations can be divided into four groups based on the analysis of the results obtained from the study:

1. The first one refers to students. It is important for them to take long-term, lifelong learning and development needs into consideration that can not be managed by a person who has an unhealthy lifestyle, unbalanced time mode. It is necessary for them to be able to have a balanced load of mind, body, soul; Without that, organism just feels exhausted and loses the vital energy necessary for an active life. As a result, there are failures in all directions.
2. Universities are required to make learning regime more disciplined. Most students fail to provide regular attendance at lectures and seminars, violation of order becomes a norm for them which is reflected on their attitude towards the discipline and rules. It is necessary to make a study schedule real and feasible for employed students if their enrollment is allowed. Educational programs must be adjusted to the student's time regime, campuses, places for sports and cultural activities should be organized.
3. Business must have a social responsibility towards the employed students. This category of employees perform job related things at home and study for academic disciplines at work, they are likely to be constantly exhausted, which means that in a few years their highly qualified staff will be replaced by demoralized, exhausted, unmotivated employees, so it is important to take the students' such condition into account. They should only be hired half-time or with a flexible work schedule so as not to interfere with learning and not to be extremely overloaded.
4. The state plays an important role in regulating the processes. It is necessary to monitor the norms and their performance. Protection of students and employers' rights is one of its important functions. The above mentioned circumstances should be reflected in the Law on Education, Labor Code. Activities of universities should be controlled, reasonable norms should be set, a healthy lifestyle should be promoted. Sport, cultural, scientific and educational events should become a necessary condition for the existence of universities.

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Information About Ourselves from Ourselves: Young Users of Wearable Technologies in Secondary School

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Abstract

Several researchers have recognized the value of self-tracking technologies used to personally obtain data about ourselves. The aim of the present study was to assess the barriers associated with the "technologies of existence", so-called wearables, including lack of knowledge of these devices, lack of information on their correct use, as well as difficulties regarding data integration and interpretation. To help to overcome these barriers we investigated a project involving two self-tracking activities in an Italian secondary school, performing a quantitative and qualitative analysis of the students using these technologies for educational purposes. Thanks to the project and its contextualized practical and theoretical activities, students were able to become "enhanced users" in terms of their knowledge, autonomy and awareness as regards wearable technologies. Our findings regarding the application of wearable technologies in a scholastic setting may also be step forward in addressing a well-known common pitfall of self-tracking: insufficient scientific rigor. Our quantitative and qualitative analysis showed how the use of wearable devices in educational settings had a range of beneficial effects, above all, eliciting satisfaction among students, but also yielding positive outcomes regarding the acquisition of scientific knowledge perceived both in terms of device applications and data interpretation. In conclusion, our findings may have broad implications in the future design and development of wearable technologies.

Keywords: Quantified Self, Wearable technologies, Secondary school, Scholastic setting

1. Introduction

Self-monitoring involves observing oneself (physiological states, athletic performance, well-being, behaviors, moods) in certain situations and carefully taking note of what is found. It often happens that one is aware of a problem, but unable to clearly define it. Being able to articulate a definition of the problem however can subsequently help us to have a greater control capacity. In fact, in self-monitoring we take on the role of "scientists", i.e. the phenomenon is analyzed by precisely and consistently recording our own observations. In the field of medicine and health, self-monitoring involves keeping track of the symptoms of a disease and their evolution, which a patient can do at home with the appropriate tools. In sociological terms, it is the observation and systematic control of one's behavior. The concept of self-monitoring is very old, but today smart technology makes the task of self-monitoring much simpler, translating every state and process of the self into numbers.

Self-knowledge through numbers has been defined as *Quantified Self* (Wolf, 2010), built on the idea that we lack the tools to make ourselves understand who we are, so to overcome our human limitations we need to enlist the help of machines and technology. In 2007, Gary Wolf and Kevin Kelly, editors of the magazine *Wired*, set up a blog called "Quantifiedself.com", which became a repository for anyone who wanted to share self-tracking practices. In 2010 Wolf spoke about the movement on *TED@Cannes*, and in May 2011, the first international conference on this topic was held in Mountain View, California. The *Quantified Self* (QS) has since become a movement to incorporate technology into data acquisition regarding aspects of a person's daily life (Kyoung et al., 2014) to improve daily functioning and wellness in terms of inputs (food consumption, air quality in their surroundings etc.), states (mood, arousal, blood oxygen levels etc.), and both mental and physical performance. In the United States in particular, this movement has created real communities of enthusiasts who, using wearable technologies, measure calories consumed, kilometers traveled, quality of sleep, and other minute aspects of their daily lives.

But what exactly do we mean by “wearable technology” (Figure 1)? The term wearable technology refers to all technologies, designed around people’s bodies and used as a natural support for their functioning. Sensory detection and monitoring of body signals, including those of an emotional nature, makes these technologies a valuable tool designed to meet the user’s needs, while expanding their sensory capabilities as well. There are distinct categories of wearable devices: those that are capable of processing data, those that can communicate with a smart connected device (PC, smartphone or tablet) and those that can connect to the network independently without relying on other devices.

In the academic world several applications of self-tracking technologies in the field of health and wellbeing have been examined (Klasnja, Pratt, 2012; Swan, 2009). Many researchers conducting such investigations, in accord with what QS members claim, believe that thanks to the self-knowledge approach through data acquisition, it is possible for users to reflect on their activities, make discoveries about themselves, and use technology to make changes in their behavior (Bentley et al., 2013; Lin et al., 2006; Mamykina et al., 2008). Although researchers on the whole have reacted positively to these technologies, they have also discovered barriers to their adoption, including insufficient knowledge for an integrated and coordinated use of data, inadequate skills for an effective use of the devices and insufficient motivation (Li et al., 2010). Other researchers are critical of the commercialization of self-tracking, as they believe that the widespread use of data as a meta-social commentary on a person in his own social position can become the objective basis for a kind of static discrimination. “Disruptive developments are already appearing which show what a new taxonomy of sociality could look like in the future” (Selke, 2016). Some sociologists denounce the emergence of a new form of social and medical surveillance that arises from the merchandising of personal health-related opinions and health information produced and shared on the network by the users of self-monitoring devices (Lupton, 2012, 2014). Others fear the advent of overly accountable patients or users, who may therefore be considered “guilty” of their disease, illness or lack of physical and mental fitness (Morozov, 2013). In the field of health, American researchers (Piwek et al., 2016) point out that it is not yet clear how beneficial these technologies will be in the health field, as the huge amount of information and data collected can generate anxiety and confusion among users in general and patients.

From a commercial standpoint, according to the International Data Corporation (IDC, 2015) (https://www.idc.com/tracker/showproductinfo.jsp?prod_id=962), worldwide shipments of wearable devices reached 101.9 million in 2016, a 29.0% increase over 2015. While most available apps focus on overall wellness, healthcare companies and professionals are increasingly interested in a broader use of these applications, removing barriers to a mainstream adoption of mHealth, especially in the areas of disease management and the promotion of healthy lifestyles. Although the wearable device market in Italy is slightly behind the US market, interest in this sector has been strong for years, and even Italian companies have begun producing wearable devices. Numerous reports, conversations and statements of interest regarding wearable devices from users themselves can be found on the Web. Indeed, a Wearable Technology Observatory (<http://wearable.to/osservatorio/>) has been set up with the aim of developing a kind of virtual laboratory for new wearable technologies that could monitor national and international projects. The market, which is undoubtedly growing according to the Observatory, has three major problems preventing it from really taking off: the price of wearables, which is still too high, lack of knowledge on the part of users, as well as device usability and the difficulty of data integration and interpretation.

For these devices to come fully into mainstream use, knowledge of wearables and people’s ability to use them effectively must be enhanced. Moreover, the functions of these devices must be expanded seeking to develop those that have a high impact on everyday life and are simple to use. Indeed, the aim of this evolving sector is to develop wearable devices that are adapted to the user’s lifestyle, moving away from the concept of a passive accessory to become a fundamental and personal part of our existence. Being ever present in the least invasive way is one of the distinctive features of wearable systems, which makes them different from laptops or tablets and contributes to their success among people of all ages.

2. The project involving the use of wearable technologies in a secondary school

Two scholastic interdisciplinary activities supported by wearables were analyzed. The first activity was called “*Allena..mente*” and involved the subjects of mathematics and physical education. The second was called “*Mobil..mente*” and involved the subjects of natural science and physical education. The first activity consisted in carrying out the “step test”, an indirect test for the measurement of Vo2max, i.e. maximum oxygen consumption, by measuring changes in the heart rate. A heart rate monitor, 36-cm high bench and metronome were used. During the physical education class, one student carried out the test, another monitored it, and a third entered the data into the computer. The data were then processed using an Excel spreadsheet. In math class, the data were then used to plot a graph through equations and the study of the line. Thus,

thanks to the synergy between two subjects, the students learned how to perform a basic assessment test for sports and physical activity and how to interpret the results.

The second activity involved the study of heart rate variation and its relationship to exercise intensity. The goal was to study the cardiovascular system in general and, in particular, the concept of heart rate and its relationship to exercise intensity. The students were accompanied by their teacher on a walking or cycling route. During these activities three variables were monitored: the heart rate of the students, altitude and walking/cycling speed. The students were equipped with a heart rate monitor and a GPS device with an altimeter. The data collected along the route were then processed and recorded on a computer. Subsequently, using a specific software, the data were transformed into 3D graphics and used in physical education and natural sciences classes for the study of this biological parameter and its variations. It is interesting to note that the use of wearable technology devices covered both the practical part of the field, namely measurements with heart rate monitors and GPS devices equipped with altimeters, as well as the theoretical part, namely data processing using specific software and data analysis using computers performed in the classroom.

2.1 Survey and study method (quantitative and qualitative)

A questionnaire (Table 1) with seven questions was designed to evaluate the project results. In particular, we analyzed the following aspects: the interest, the knowledge of the devices and their applications, the level of satisfaction of students regarding the proposed activities, the attitude, their perceived level of autonomy in the use of technological devices and their awareness of the reasons for the use of such devices and the possibility of integrating wearable technologies into daily life.

The survey section regarding the interest, the knowledge and the satisfaction level of the participants consisted of three questions: 1. *Did you find the activities practiced using wearables to be interesting?* 2. *In your opinion, did your knowledge of wearable devices and their data improve?* 3. *Are you totally satisfied with this experience?* Students had to express their opinion choosing from a range of four options: *Definitely No*, *No more than Yes*, *Yes more than No*, *Definitely Yes* (Chiandotto e Gola method, 1999). The survey section regarding attitude and autonomy in the use of the wearable devices consisted of the following questions: 4. *Do you think that your attitude towards this technology has improved after the initial impact?* 5. *Would you be able to use the wearable device in question alone?* The same range of options used in the previous set of questions was used here.

The results were largely positive (Figure 2). In particular, students report that they found the activities to be very interesting (31%) or rather interesting (51%). They claim to have seen an improvement in their knowledge of the devices in question (42%), although some confusion persists (26%). This is one of the first studies of its kind; hence, further research is clearly needed, and we must be cautious in drawing conclusions from a single investigation. However, the satisfaction level with the experience offered through the project was high for students. Students' attitudes towards wearable technologies improved after the initial impact, and most of them also gained real autonomy in the use of these devices, although a number of subjects remained dependent on the support of an expert (14% and 28%). This finding highlights the difficulty of promoting students as active learners at school and the opportunity offered by experiences that go in the direction of learning how to use new technologies correctly and responsibly.

Students were also asked the following questions to determine whether they viewed the integration of technology into everyday life positively and assess the perceived prevailing aspects or functions of this application. 6. *In general, technology is designed to improve our lives. Do you think these wearable technologies can improve our lives?* 7. *If yes, how?* A Likert scale was used for question 7 with the following items:

A. *Improving our health (track blood pressure, track heart rate, log triggers that cause disease ...);*

B. *Improving wellbeing (track exercise, track weight, log sleep, log food, log panic, log mood ...);*

C. *Offering new life experiences (explore new places, orient in contexts, satisfy curiosity, have fun, enjoy relationship ...).*

The results from this part of the questionnaire are also very interesting. For most students, wearables can really improve our lives (73%). But how? Students are particularly interested in the contribution from the field of wellbeing. Perhaps the high percentage of students (40%) who chose *Improving wellbeing* can be accounted for by the fact that students carried out activities in the field of physical performance and fitness, during the project. The second highest percentage of students (35%) indicated that wearables can improve our lives by *Offering new life experiences*. The relatively high percentage of students who chose this option was probably influenced by the young age of respondents for whom technology nowadays

means curiosity, fun, sharing, even functionality, fitness and is less related to health (Figure 3, Figure 4). However, it is interesting to note that even though it was ranked third, *Improving health* was chosen by 25% of students. These findings are in agreement with world-wide figures that see wearables used mainly in the fields of fitness and wellbeing and less in the health field.

To complete our study, a qualitative survey, based on student interviews, was used to more effectively address three aspects related to the use of wearable technologies, namely knowledge, autonomy and awareness, and to discover any pitfalls related to their use.

Knowledge - What did you learn?

In the interview, most students stated that they had made some progress in terms of improving their knowledge of these technologies, their applications and in the reading and interpretation of data. Students emphasized above all the enjoyable nature of this way of acquiring knowledge as a kind of “learning by doing”. Some students thus describe a process that involves learning about the devices and at the same time gaining confidence in their use. 1) *At first I felt embarrassed because I wasn't familiar with this technology, then I learned to manage it, and it became easier.* 2) *It's amazing how many things we can learn about ourselves in this way, and it's not hard at all. The machine does almost everything, and you just have to go about your everyday life as if it weren't there.* 3) *It was also very interesting to read the data about ourselves and compare them to those of other classmates.*

Some students stated that they were initially afraid of not being able to meet the performance requirements and of having their performance compared with those of classmates. 4) *At first I was pretty worried about not providing the right data or not being able to do the work. How embarrassing in front of all my classmates!* In fact, the use of these technologies that produce numerical data related to the subject in quantitative terms (*Quantified-self*) can generate performance anxiety in the subject, and fear of comparisons being drawn with others.

There may be a risk of losing sight of the sociality component (Maturò, 2014). However, it is interesting to note how in this case, the social component was called into play. Subsequently, subjects who yielded data uploaded and shared them on social platforms. 5) *I can't wait to add this information about myself on my facebook profile, and then I want to talk about it with my coach and football teammates.* In addition, the data collection and processing activities, although related to individual subjects, were carried out in a groups in which each student was assigned a specific task to be carried out in collaboration with other group members.

Autonomy - How did you work?

In the interview, students stated that they were fully engaged in this experience and felt freer, more active and more creative while learning. The conditions in which the activities were carried out made them practical and enjoyable, especially the fact that the contents were generated by the students themselves. 6) *I felt that the data we were working on hadn't been taken from books, they had been created by us. It was very rewarding!* 7) *It seemed odd to me that those numbers concerned us, our bodies and our work. This made them more interesting in our eyes.*

Awareness - What has changed?

From the students interviews a new approach to understanding technology emerges. It is undoubtedly more conscious, as it prompts reflection on how technology can be a simple mild tool for everyday life, but also a “powerful” means to be used carefully by an “improved” or rather, “properly equipped” user. 8) *I want to recommend this tool to my grandfather who has heart problems, but I will have to evaluate it well. The risks could outweigh the benefits because having this device on him all the time would be a constant reminder of his illness. Besides, I don't know if he could figure out anything from the data.* Finally, some hope that the project will be continued. 9) *I have certainly learned useful and important things for my life. It would be nice to be able to do it again in the future at school.*

Our quantitative and qualitative analysis shows how, the use of wearable devices as “learning environments” at school, is first of all, a rewarding experience for students, it also yields positive outcomes in terms of the acquisition of knowledge regarding both device applications and data interpretation, it increases perceived user autonomy and skills, also prompting reflection on the fundamental reasons for the introduction and implementation of these technologies in everyday life. In addition, the results of the qualitative analysis show that the initial impact of wearable technologies can generate anxiety and worry; however, such feelings are dispelled through the study and application of these devices. The users enhanced sense of autonomy, and confidence was confirmed throughout the entire device application process.

3. Conclusions

As school in general is the biggest engine for innovation, investing in it to implement the use of new technologies and to verify their effects can be a useful and far-sighted strategy. Indeed, this early exposure to wearables, provided at a young age, can also help subjects later as adults to avoid certain pitfalls associated with these technologies while at the same time enhancing their ability to reap the benefits that can be obtained from contextualized knowledge and proper use of these devices. School can become a research lab to introduce novel ideas regarding cutting edge devices and their features, to prompt reflection about technology, and to verify the usability of such technologies.

Our project has yielded positive results in terms of enhancing subjects' knowledge, autonomy and awareness in the field of wearable technologies. The development of "enhanced wearable users" could help to provide what is said to be lacking for the mainstream development of wearables: widespread dissemination of the technology which would help reduce costs, skills related to the reading and interpretation of data and the need for scientific rigor, contextualization and integration of the devices into everyday life. These results are to be understood not only quantitatively in terms of an increase in the production and dissemination of wearable technologies, but also in terms of an enhancement of the quality of their application and use. In addition, the present study lays the groundwork for further investigations of this kind with the aim of pursuing the desired wider application of wearables in the field of health and, at the same time, improving their application to other areas of life (well-being and other experiences) in which they are already widely used.

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Tables and Figures

| Questions | Definitely No | No more than Yes | Yes more than No | Definitely Yes |
|---------------------------------------------------------------------------------------------------|---------------|------------------|------------------|----------------|
| 1. Did you find the activities practiced using wearables to be interesting? | 4 % | 12 % | 51 % | 31 % |
| 2. In your opinion, did your knowledge of wearable devices and their data improve? | 12 % | 26 % | 42 % | 18 % |
| 3. Are you totally satisfied with this experience? | 3 % | 7 % | 55 % | 32 % |
| 4. Do you think that your attitude towards this technology has improved after the initial impact? | 13 % | 15 % | 49 % | 21 % |
| 5. Would you be able to use the wearable device in question alone? | 14 % | 28 % | 46 % | 11 % |

| | | |
|---------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------|-----------|
| 6. In general, technology is designed to improve our lives. Do you think these wearable technologies can improve our lives? | Yes 73% | No 27% |
| 7. If yes, how? (score: from 1-2-3) | | |
| Improving health (cure a condition, distinguish healthy and unhealthy lifestyles ...) | track blood pressure, track heart rate, log triggers that cause diseases ... | 25% |
| Improving wellbeing (performance, find balance, experience wellbeing ...) | track exercise, track weight, log sleep, log food, log panic, log mood ... | 40% |
| Offering new life experiences (explore new places, orient in contexts, satisfy curiosity, have fun, enjoy relationships ...) | track every street walked, track the use of time, log activities in a day, track the connected self ... | 35% |

Table 1. Questionnaire

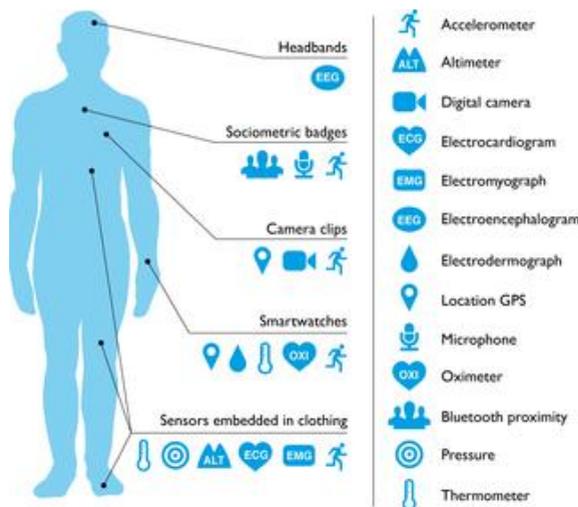


Fig. 1. The Rise of Consumer Health Wearables. Source: Piwek et al. (2016)

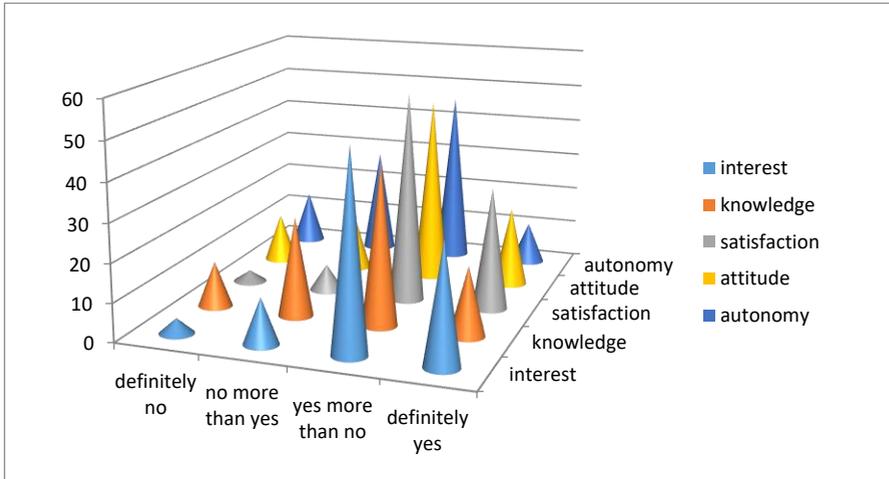


Fig. 2. Factors related to use of wearable technologies at school

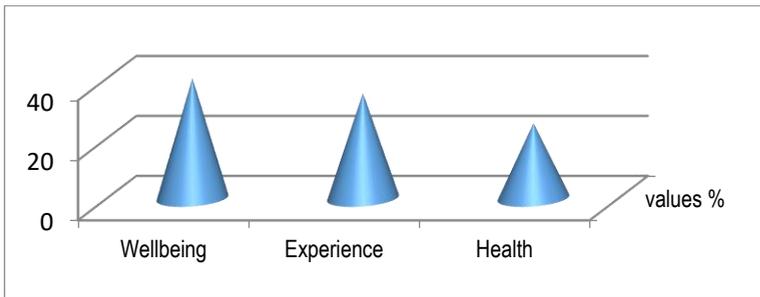


Fig. 3. The fields of application of wearables

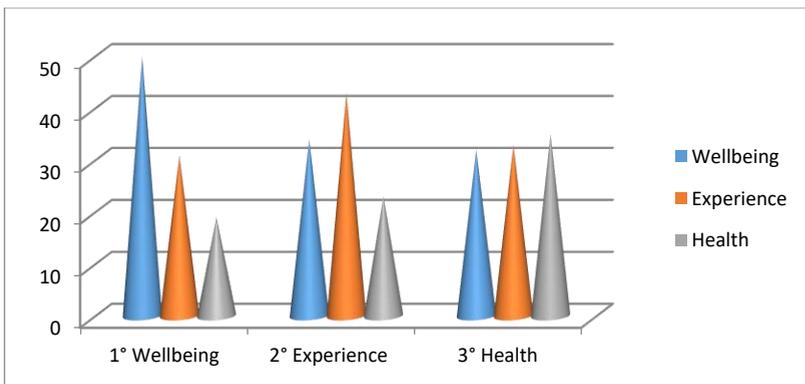


Fig. 4. A classification of the fields of application of wearables

Big Data and the Demand for Court and Legal Services

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Abstract

Law and Economics literature has dealt with the factors determining the demand side of justice for more than 40 years. Both theorists of economic analysis and applied researchers have focused on the different variables that influence demand, such as direct and indirect costs, the chances of winning, the chances to settle out of court and delay, among others, which in turn may be affected by the judges, lawyers and parties incentives. Many of these variables cannot be directly observed by the ordinary citizen. In this paper, we contribute to the Law and Economics literature by showing that Big Data must be considered a new way to approach demand for court and legal services as it introduces new criteria to take into account and a new way to make the decision of whether or not to proceed to trial. **Keywords:** BIG DATA, Law and Economics, Demand for Court Services, Demand for Legal Services

JEL Classification: K40 K49

1. Introduction

Since the 1970s, numerous papers have examined the possible determinants of the demand for court services. Under the premise that agents are rational, they have studied the incentives to go to trial or reach an out-of-court settlement.

The relevance of litigation that should not be there, or that some conflicts that should go to court do not actually do, is not small. Firstly, because litigation that should not occur generates social and private costs, which could be channelled to other uses, increasing the efficiency in the use of public and private resources. And because this litigation, inefficient because it is unnecessary, can increase the delays of the judicial system, reducing its ability to effectively solve other problems that do require the decision of a judge. And secondly, because disputes that do not reach the courts, even though they should, imply that a group of individuals or companies have breached a contract or broken a law and got away with it, whereas the victims do not receive the justice they deserve.

Decisions on whether or not to go to trial depend on, among others, the estimates of the costs of going to trial, the estimates of the chances of winning, the estimates of the waiting times to obtain a court judgement, the belief that obtaining a judgment means that the defendant will automatically pay what the sentence states¹ or the belief that no tax must be paid on the amounts received after the trial (which includes the winning party's costs paid by the losing party). That is to say, the demand for court services crucially depends on the information parties have (and the estimations they make) on different variables that are often unknown to a greater or lesser extent and/or factors that are not under their control, even after filing the lawsuit and during the legal proceedings.

In this paper, we contribute to the Law and Economics literature by showing that Big Data must be considered a new way to approach the demand for court and legal services as it introduces new criteria to take into account and a new way to make the decision of whether or not to proceed to trial. As we will show later, the fact that Big Data allows agents (plaintiffs and defendants) to obtain much more precise information, both on costs (money, time, stress,...) and on the legal

¹ Vargas and Peñaloza (2004) address the economic and social costs of not complying with judicial decisions, making estimates with Spanish data.

proceedings and the chances of achieving a certain outcome in their specific cases, is significantly changing the decision to litigate and introducing a new logic in the behaviour of the consumers of legal and court services. In addition, the possibility for clients of legal services to access that Big Data in turn results in suppliers changing their strategies with respect to clients and the market in general.

In Section 2 of this paper, the influence of various factors on the demand for court services according to the most standard theory in the absence of Big Data is briefly described. In Section 3 we discuss the several ways in which such effects and behaviors are modified because of the recent incorporation of the Big Data logic and the access to this massive amount of information. Finally, Section 4 presents some Conclusions.

2. The Traditional Approach to Litigation and the Demand for Court Services

The main variables that have traditionally been considered to determine the demand for court services are schematically presented in this Section. In the next Section, this will allow us to show how the decision criteria are modified, significantly in some cases, with the new appearance of Big Data in today's society.

Studies on this issue began more than forty years ago, being especially noteworthy the pioneering works of Landes (1971), Posner (1973), Gould (1973), Landes and Posner (1979), and Shavell (1982)¹.

Pastor (2016) makes an interesting classification of the main factors affecting the demand for court services as follows:

- ** Information problems that result in differences in the parties' estimates of their chances of winning the case.
- ** Information problems that modify the parties' estimates about the amount at issue and the costs of litigating or reaching an agreement.
- ** The fact that litigation costs are low in relation to the costs of reaching an out-of-court agreement.
- ** Strategic behavior of the parties (and the number of lawyers²).
- ** Asymmetry of costs and amounts in general among parties.
- ** Agency problems, as a result of lawyers having interests different from those of their clients.
- ** The initial conflict itself, for example, a breach of contract, because someone considered that the expected benefits of doing so were greater than the expected costs, including the risk of being sued and the costs involved.

Other factors to mention may be the quality of legal precedents (Vereeck and Muhl, 2004), the level of economic growth³, the allocation of court fees to the participating parties, the existence of legal protection insurances (Pastor 2016), court delay⁴, the time preference, the general propensity to litigate (Buscaglia and Ulen 1997), the attitude towards risk and other factors affecting individual preferences, among others; not forgetting the interaction between supply and demand⁵, and the circular relationship between delay and the demand for court services (Vereeck and Muhl, 2000). Let us consider some of those factors.

- **Estimation of the Chances of Winning the Case**

Many authors agree that the degree of optimism of the parties is a crucial determinant of litigation, and it is common to read that the degree of realism of their estimates will reduce the demand for court services. For example, on the one hand, Voigt

¹ Surveys on the literature on the supply and demand for court services can be found in Shavell (2004) and Kaplow and Shavell (2002), or more recently in Voigt (2014).

² For empirical results, see for example Mora & Garoupa (2015).

³ See for example the estimates of Rosales and Jimenez Rubio (2016) and Rosales (2017). There are potentially two opposite effects of economic growth on litigation. On the one hand, the greater the economic growth is, the more transactions and conflicts there will be, which indicates a positive correlation. But on the other hand, when there is a recession there are more unpaid debts and more lawsuits, which contributes to a negative correlation between these variables.

⁴ In Vargas and Peñaloza (2007) we use Survival Analysis to assess the duration of civil cases in Argentina and then proceed to analyze the explanatory power of several variables.

⁵ See Priest (1989) and Dakolias (1999) or the recent book by Pastor (2016).

(2014) concludes in his recent survey "if both parties have a realistic evaluation of their chances of winning (but also of losing) the case, then we should not observe any civil trials as a pre-trial bargain is expected to be systematically cheaper than taking the case to court". On the other hand, Pastor (1994) states that agreements occur when the perception of results coincide, or when the parties are very pessimistic; in particular, he concludes that lawsuits are less likely the smaller the difference ($P_a - P_b$) is, where P_a is the plaintiff's estimate of the chances of winning the case and P_b is the defendant's estimate of his chances of losing the case.

It is true that if the parties are realistic they will not go to trial as Voigt says; but in reality the probability of an agreement that does not depend much on being realistic - finally, when they negotiate, the parties do not know how realistic their forecasts are- but on the relation between the parties' forecasts, regardless of whether those beliefs coincide with the actual probabilities of winning or losing the case.

Let's set a simple example to illustrate this (see Table 1). For simplicity, let's say that the amount at issue is $Q = 100$, and there are no costs of litigation or settlement¹. Let us call A the plaintiff, and B the defendant. Let P_a be the Plaintiff's estimate of the probability P of the judge's reasoning for A, and let P_b be the Defendant's estimate of this happening (and thus having to pay $Q = 100$): The expected value of the amount to be received by A (paid by B) is $P_a * Q$ or $P_b * Q$ (depending on who makes the estimation). Let us first suppose that the real probability that A will win (and therefore B will lose) is 30%.

TABLE 1. Assumption: True value of $P=0.30$

| | $P_b=0.20$ (optimistic) | $P_b=0.30$ | $P_b=0.40$ (pessimistic) |
|--------------------------|----------------------------|------------|-----------------------------|
| $P_a=0.40$ (optimistic) | Trial | Trial | Bargain |
| $P_a=0.30$ | Trial | Bargain | Bargain |
| $P_a=0.20$ (pessimistic) | Bargain | Bargain | Bargain |

Source: Own Elaboration

As we see, if both are realistic ($P_a = P_b = 0.30$; Expected Values to receive/pay after trial = 30), the trial will not take place as Voigt says. But, if they are far from being realistic the result may be Trial or Bargain. For example, when $P_a = 0.40$ and $P_b = 0.20$ (both optimistic compared to $P = 0.30$), B will not accept to pay more than 20 to avoid trial, not enough to convince A (who asks for 40 at least), so they will go to court. And in the opposite case, being both pessimistic (again compared to reality) there is room for negotiation and they will not go to trial. The reason is that the result has nothing to do with the realism of their estimates, but on "how optimistic A is with respect to B".

Let's check this in a very similar example (see Table 2). Now the parties' estimates (P_a and P_b) are the same as before, but the true value of P is 0.01 (i.e. a new judge who will almost always say yes to the defendant). So now A seems to be very optimistic (not realistic in any case), and B is very pessimistic (not realistic at all either).

TABLE 2. Assumption: True value of $P=0.01$

| | $P_b=0.20$ (pessimistic) | $P_b=0.30$ (very pessimistic) | $P_b=0.40$ (extremely pessimistic) |
|-----------------------------------|-----------------------------|----------------------------------|---------------------------------------|
| $P_a=0.40$ (optimistic) | Trial | Trial | Bargain |
| $P_a=0.30$ (very optimistic) | Trial | Bargain | Bargain |
| $P_a=0.20$ (extremely optimistic) | Bargain | Bargain | Bargain |

Source: Own Elaboration

In this second example, although both A and B are far from being realistic (compared to the true chances of winning or losing the case), the results are exactly the same. The reason is clear. What allows the parties to bargain is that the minimum amount that A is willing to receive -not to go to trial- is not greater than what B is willing to pay to A (in our example, that equals $P_a < P_b$). Such negotiation does not depend on whether their estimates are realistic or not, but on the

¹ We will also assume that there is no risk aversion, strategic behavior or other distortions.

relationship (and difference) between such estimates. In both tables, it is evident that if the plaintiff and defendant estimates coincide (on the diagonal), no matter if they are right or not, they will bargain instead of proceeding to trial.

Such estimates will depend on many factors such as the perceived quality of the judicial system, the tools lawyers have to present evidence, and their ability or willingness to spend on the case. And to a great extent, those estimates will depend on the information transmitted by lawyers to their clients and in general on the amount of information that the parties have, a matter we shall return to in the next Section of this paper.

- **Estimation of the Litigation and the Agreement Costs**

The private costs of a legal dispute can be direct (lawyers and experts' fees, transport, court fees, etc.) or indirect (for not being able to make use of the assets under dispute, for investment opportunities lost, for lost revenues for attending the trial, for other possible uses of the time spent there, etc.)¹.

At this point, it should be remembered that the demand for court services is a supply-induced demand. In the decision-making process, clients usually have much less information than lawyers about the stages of the proceedings, the time that can elapse until a final judgment is reached, the private costs of the proceedings or the possibility of an out-of-court settlement. And yet, in case of a conflict, this data is considered essential when deciding whether or not to sue.

As we will see later, the lack of knowledge among the European citizens - potential users of the courts - about the judicial system in their own country, the costs they will have to bear or the possibility of reaching an out-of-court settlement is high overall and can be extremely high in some EU member states. Furthermore, the estimation of costs by the client may be influenced by the strategic behavior of lawyers, as their incentives to go to trial or to bargain may be different from those of their client's.

- **Adverse Selection and Moral Hazard / Principal-Agent Problems**

The theory of asymmetric information, and in particular the analysis of Adverse Selection and Moral Hazard, are a great help in studying the problems with efficiency that occur in the legal services market. When hiring the services of a lawyer, given the client's ignorance about the legal system, the latter suffers, in the first place, an "Adverse Selection" problem: being perhaps the first time that he hires a lawyer, and without much more information than the one given by his lawyer, the client has serious difficulties in evaluating his qualifications and assessing if the lawyer he is hiring is the one that best suits his interests. This same asymmetric information produces a "Moral Hazard" problem because the client (the "principal") is not in a position to determine if the actions taken by his lawyer (the "agent") are the ones that best suit his interests.

- **Possibility of Reaching Out-of-Court Agreements**

As pointed out by Gravelle (1990), this is a determining variable for court demand. This effect will depend on whether these agreements are considered to be close substitutes for litigation (Murrel, 2001), and in particular whether there are alternative dispute resolution systems (Voigt 2004). This issue is discussed by Pastor (2016) who focuses on the possibility for judges to encourage this option and on the willingness of lawyers to influence their clients in favor of this way of resolving the conflict; which, in turn, depends to a large extent on the interests the lawyers have, and which may not coincide with those of their clients.

3. BIG Data: A New Approach to the Demand for Court and Legal Services

3.1 What is Big Data

Big Data used to be defined in terms of the three Vs (Volume, Velocity and Variety) although some added other Vs (Veracity, Visibility, Value...)².

¹ For a discussion on the different types of public and private costs, and estimates using Spanish Data see for example Pastor and Vargas (2001) and Pastor (2016).

² The first definitions of Big Data or Massive Data made reference to how to make use of enormous datasets, and their analysis and assimilation, which allowed obtaining information and knowledge that could not have been known, stored or analyzed with the traditional methods and technology.

Unfortunately, scalability problems caused by the exponential growth of digitized data have conditioned the definition, goals and research areas in Big-Data, reducing it to just a technological tool (3vs or 5vs definition).

It is estimated that 95% of the information used today has been generated only in the last two years, thanks to the improvements in storage capacity and the cost reduction of computing tools. This data is generated and stored either on a planned or an unplanned basis, as a result of the regular activities of different agents (individuals, companies and entities of all types). We produce this data directly and indirectly second after second. It is generated in several ways. The first, and the one that we are more interested in this paper, is the one made by people: using WhatsApp, social networks, forums and chats; when googling or searching other internet platforms; when using mobiles, the GPS or the email; by consulting other users online, or simply visiting a web page (with the "cookies" we accept). Other forms are by bank transactions and purchases, from machine to machine (power consumption or vital sign readers) and with biometric data generated by security or intelligence agencies. This data is being sent to the internet in real time, leaving a "digital fingerprint"¹ that can potentially be used to trace the owner of that data.

Big Data begins to give the ordinary citizen an enormous amount of information about what happens to other citizens in similar circumstances, the decisions they made, the variables taken into account, and the mistakes they made and their consequences. Therefore, it offers the possibility to take advantage, practically for free and in real time, of the experience of thousands of citizens about legal proceedings and their outcomes, both in the most formal aspects (such as the money invested and received, or the time until they got a court decision) and others more indirect or subjective (such as stress, discomfort, costs of travel or paperwork or others not normally accounted for), which ultimately affect the demand for court services; and with the additional advantage of coming from the actual users' experience and not just from the information offered by the lawyer.

As we will see in the next Section, this access to this massive amount of information is crucially changing the criteria and the logic of the demand for court and legal services in general.

3.2 How the Logic of the Demand for Court Services Changes in the Big Data Environment

Although the academic literature shows indicators to describe the functioning of the judicial system (indicators of productivity, quality, delay, congestion...) these studies are not usually available to most judicial operators and, more importantly, this information is not usually at the citizens and lawyers' disposal when deciding what their behavior in relation to this market will be. Rather, the statistics that have been more available to date have been opinion polls, especially those on television or newspapers.

Evidence indicates that citizens have little information about what possible outcomes legal proceedings may have, what costs he may have to bear, or whether there are other alternatives to resolve the conflict. And they are often unaware of the fact that the judge can order the losing party to pay the expenses of the winning party, or that on that money can be imposed an income tax, even if the money goes to cover the lawyers' fees.

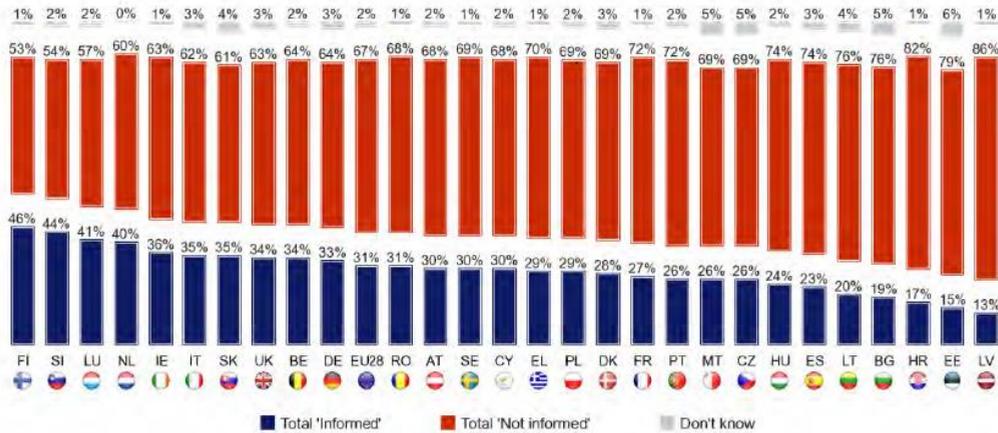
Eurobarometer 2013 data shows that, even in the best situated countries, the percentage of citizens who do not feel informed about the justice system in their country exceeds 50%, and that this proportion can reach 80% in some countries (see Figure 1).

¹ Also called device fingerprint, machine fingerprint or browser fingerprint is a compact summary of software and hardware settings collected from a remote computing device.

Figure 1. How well informed do you feel about the justice system in your country?

Q2.4. How informed or not do you feel about the justice system in (OUR COUNTRY) on each of the following topics?

The alternatives to court (e.g. mediation)



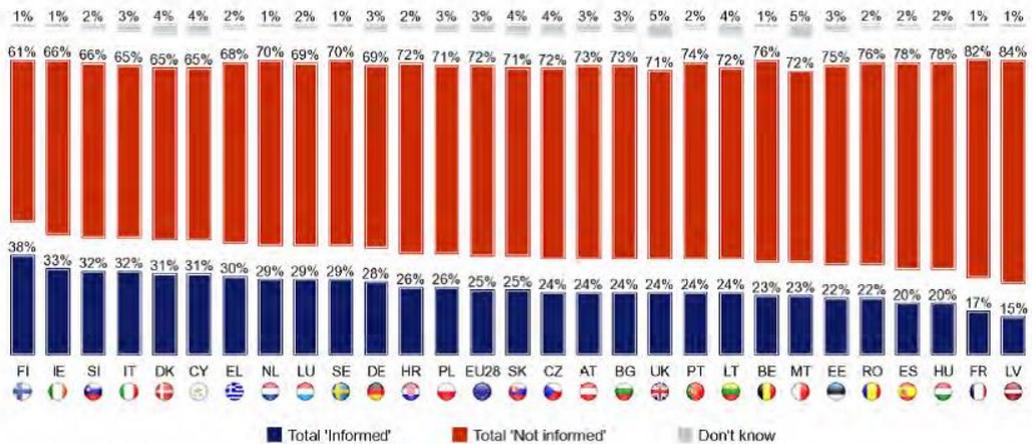
Source: Eurobarometer 2013. See the symbols in the Annex.

Moreover, the percentage of citizens who do not have information on the costs of proceedings is quite high, up to 85% of the population in some countries (see Figure 2).

Figure 2. How informed or not do you feel about the justice system in your country about the cost of proceedings?

Q2.2. How informed or not do you feel about the justice system in (OUR COUNTRY) on each of the following topics?

The costs of proceedings



Source: Eurobarometer 2013. See the symbols in the Annex.

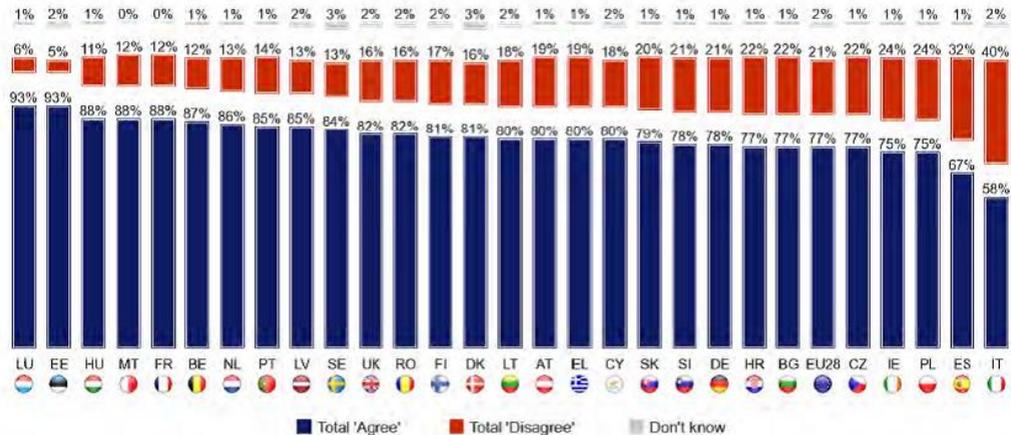
In addition, European citizens can have huge differences in their trust in their judicial system and, in particular, in their belief that not all citizens can go to court to defend their rights, from 6% in Luxembourg to 32% in Spain or 40% in Italy (see Figure 3).

Figure 3. Do you agree or disagree that in your country

All citizens can go to court to defend their rights?

Q3.3. Do you agree or disagree that in (OUR COUNTRY) ...

All citizens can go to court to defend their rights



Source: Eurobarometer 2013. See the symbols in the Annex.

• **Estimation of the Probabilities and the Litigation Costs in the Big Data Environment**

At this point, it is crucial to take into account that the demand for court services is a supply-induced demand. At present, the client suffers from having little knowledge about proceedings, so the lawyer is almost the only source of information when facing the choice of going to court or not¹. And that legal advice is mainly influenced by two factors. First, by the lawyer's own estimates of the possible outcome that this particular case may have. And secondly, by the lawyer's incentives to go to court -instead of reaching an agreement, for example- which may not match with that of the client².

However, the increasing use of Big Data not only allows for more and better information obtained from several sources ("actual users"), but it also changes the way the client deals with the legal proceedings. The logic of Big Data motivates citizens to get first-hand information about court proceedings and other possible ways of resolving the conflict, and also on the costs incurred by hundreds of users; everything in real time, detailing the type of matter, the amount at issue, the location or any other variable that may alter the outcome, variables that will change their decision to go to court, and the strategies to follow.

The logic of big data is changing both the estimates and the process of estimation of the parties to the conflict about the costs and the probability of success in their particular cases and other important data. In the previous Section we showed that the demand for court services depends on the difference between parties' estimates of their chances of winning the case. Now, in the context of Big Data, these estimates will be increasingly similar -as this same information will be available to both parties- which is likely to increase the number of cases solved by out-of-court settlement and will lead to a reduction in the demand for court services. In addition, it is possible that the demand for legal services will remain relatively constant since both forms of resolution of the conflict -litigation or negotiation- require lawyers' advice.

¹ Something similar happens with the demand for health services. That demand is also supply-induced as the patient has little knowledge of the available treatments in his particular case and what the possible outcomes are, so he cannot assess the options or decide without the doctor's advice.

² The incentives of lawyers to a fast process (through out-of-court agreement, for example) will be very different if they charge contingent fees than if they are paid on an hourly basis or a flat fee.

• Actual Costs of the Proceedings for the Client with Big Data

The logic of Big Data not only changes the "estimates" of the costs of the proceedings. In our view, the costs themselves, especially those relating to lawyers' fees, are also changing, because the market is becoming more competitive and the fees per case tend to fall; and because agreements will move towards contingency fees in some types of procedures, especially in those countries where current fees depend mainly on the type of matter or the time devoted, regardless of the final outcome.

As an example, we can mention the case of Spain where, as a result of the housing bubble and the economic recession, there was a huge number of evictions (with their corresponding court cases¹). And almost at the same time, since 2016 there has been an explosion of lawsuits against the banks, after the final ruling by the EU on the so-called "floor clauses", ordering Spanish banks to repay all earnings from "abusive" mortgages. This has produced a large niche-market that has been exploited by some law firms that have specialized in this type of business, accumulating hundreds of similar lawsuits.

This specialization reduces the costs of the process which, in the event of a reduction in prices, tends to increase litigation even more. But why, although there have been many other massive conflicts in the past,² they did not end in a lawsuit? To a large extent, the reason is that citizens do not have sufficient confidence in the judicial system, because of the enormous uncertainty about the costs and the possible outcomes of court proceedings. Thanks to Big Data, the citizen starts to find relevant information on the internet, not only the one offered by law firms (something relatively new in Spain) but especially the one coming from ordinary citizens who share their experience on how they started the claim, what procedures were followed, what obstacles were encountered and how they were resolved, so his lack of information about the judicial system is being greatly reduced. At the same time, the costs of finding information is also significantly declining. This information is not yet structured, but is available almost free of charge to anyone with minimal internet skills.

All of this has meant that, in order to finally attract these potential clients at least in this type of litigations, Spanish lawyers are modifying the way they charge their fees onto a contingency fee system. That is, they advertise themselves as risk-free services, paying the other party's costs in case of losing the case. This type of fees increase efficiency (because they encourage only those expenses that will be productive for the outcome), improve the outcome for the client (for the incentives given to lawyers) and in general reduce market uncertainty.

Thus, as prices are being reduced also for this reason, access to justice may increase (both in courts and by out-of-court agreements) and the consumption of legal services will probably be higher as is happening in Spain in these last two years in this type of matters.

Additionally, thanks to the logic of Big Data, a large number of cloud-based legal practice software applications have now appeared allowing lawyers to improve their performance by reducing their search time for legislation and legal precedents, also including tools for time tracking, billing and case management of cases, among others³. Moreover, in recent times, and as a result of the increasing power of computers, large law firms start to incorporate Big Data in their private activity and their internal operations, gathering information about thousands of their own prior clients, which allows them to estimate their chances of success in each specific case, depending on which court the case has been assigned to and other specific factors⁴.

This information allows lawyers to increase their chances of success at a lower cost, which will reduce the "cost of production" of their services. *Ceteris paribus*, this could also mean a lower price for the client.

Of course, all this will result in price reductions, depending on how much more competitive the market becomes. If, as we anticipate, competition in the legal services market increases, the price reduction will tend to increase the use of court services, perhaps increasing congestion and delay, and generating interactions that partially compensate for the initial increase in consumption of court and legal services.

¹ See for example CGPJ (2016).

² With telephone companies, utilities and other basic services that accumulate thousands of claims each year.

³ See for example <http://www.capterra.com/legal-case-management-software/>.

⁴ Some studies are concerned about this software, because it handles private data about millions of citizens and their cases, and is being used by (lawyer) firms who, despite knowing the legislation on data protection, are not used or prepared to protect that information, so it could easily be captured via the internet for unintended uses.

- **Adverse Selection and Moral Hazard/Principal-Agent Problems in the Big Data Environment**

To illustrate the logic of Big Data on these two issues it may be useful to recall how Amazon has changed the logic of market functioning in a large number of goods and services. Ten years ago if a person wanted to repair an appliance at home, he had to go to the nearest hardware store, get the necessary tools and spare parts, and then repair it himself, or hire the services of a technician. In this context, in the first place Amazon makes available information to the customer about dozens or hundreds of suppliers of such tools and spare parts, which can be compared thanks to the opinions and recommendations of other users; so it is now possible for the consumer to compare sellers before deciding and he will probably end up buying from some other supplier. Additionally, thanks to the logic of Big Data, the customer learns that there are multiple options for this replacement and even different alternatives, so he may not buy the same tools and spare parts he would have bought before. Finally, he can implement the logic of Big Data, available on the internet platforms, to learn how to do the repair himself, so he may not hire the same technician as before, or perhaps he will hire another who offers different alternatives to what he had initially thought. In short, the logic of Big Data changes the goods that are bought and how they are bought, the suppliers that are chosen, and finally, the services that are contracted. And more importantly, Big Data changes the logic of the customer's behavior and the procedure followed when deciding how to solve his initial problem.

A similar reasoning can be followed to forecast the effect that the logic of Big Data will have on the demand for lawyer services.

First, with the greater access to available information, the problem of adverse selection will be reduced, as potential clients will be able to access the internet and obtain very extensive information, from actual users, about the type and quality of the services offered by different law firms, which will allow them to better choose the services they need to contract.

And secondly, although the individual citizen will only have few additional tools to carry out the monitoring of his own lawyer's performance, by accessing the internet platforms he will be able to get comments from other users -each with a different level of legal knowledge- who share their own experience; for example about a mistake they observed in their lawyers's work; or whether or not the procedural deadlines were met. This will be perceived by law firms as a greater control over their work, bearing in mind that this information will now be available to other current or future clients. This will change the lawyers' performance, their strategies in court and the overall effectiveness of their work.

Obviously, this massive amount of additional information available to plaintiffs and defendants incentivates in turn the suppliers (the lawyers) to change other behaviors in the market and in relation to their particular clients. Keeping other factors constant, they will not only improve their advice to clients during the development of the case, but will also provide with more and better prior information to prospective clients on the possible costs and outcomes of the different options available to resolve the conflict, in or out of court.

So, with the logic of Big Data, the potential customer begins to make decisions in a different way. The client learns that his decision must be made after searching for the relevant information on the internet platforms, comparing the different services, studying the different possible outcomes both when going to court and when initiating an out-of-court settlement, taking into account all variables that may affect the outcome (which may depend on his own behavior or on his lawyer's) and finally evaluate each available alternative in all the dimensions that may interest him (time, money, stress, opportunity costs of resources invested, etc.). This will allow him to follow a decision-making process that maximizes his interests, both when hiring a lawyer and when deciding whether or not to proceed to court, taking into account the specific characteristics of his particular case.

4. Conclusions

As we have seen, the logic of Big Data changes the way citizens, and the potential clients of court services in particular, make use of the massive amount of information available on the internet. The use of this huge amount of information is drastically changing the expectations of the possible users regarding costs and the court outcomes. It also changes the structure of "production costs", both in monetary terms and in the number of hours invested, and the efficiency and the effectiveness of the lawyers' services (and probably also the behavior of judges¹).

These advantages can be passed on to the client, therefore increasing the consumption of these services, together with the greater and better information provided. But the biggest contribution of the logic of Big Data is that it is significantly changing the process of evaluating the decision to go to court and the way in which legal services are contracted.

In this paper we contribute to the Law and Economics literature by showing how the logic of Big Data not only provides the parties to a dispute with more information, but also introduces new criteria to take into account, and a new way to approach the decision of going to court or to reach an out-of-court agreement, thus modifying the demand for court and legal services in several ways.

First, we have shown that the estimates of plaintiffs and defendants regarding the costs and possible outcomes of the proceedings will be closer to each other, which, according to economic theory, will reduce the number of cases going to court (lowering demand), by making out-of-court agreements more attractive. This will not only reduce private and public costs, but will also reduce congestion, thereby improving the functioning of the courts.

Secondly, following economic theory, we can predict that reducing uncertainty will significantly change the decisions about going to trial. Some prospective plaintiffs who would have filed a claim will not do so, and some others will conclude that it is worthwhile to enter into litigation.

In addition, we have shown that not only the estimates of the costs of going to trial will change, but that the costs themselves will tend to decline. With Big Data, citizens are more likely to compare prices and services from different law firms, which contributes to a more competitive market. Although the proportion of this savings that the client enjoys is dependent on how the market structure evolves, it is clear that the logic of Big Data is changing lawyers' behaviour and also their fees onto result based fees at least in some civil matters. This not only reduces the cost of these services to the client, but also increases the specialization, increases the quality of the services offered by lawyers and the efficiency of their production, and reduces the search costs for clients. Price reductions for clientes incentivate the consumption of lawyers' services and court services in general.

Furthermore, the fact that the logic of Big Data allows the citizens to use actual users' information about the different options available, and their pros and cons, will reduce both the adverse selection problem and the principal-agent problem as well. To be more attractive in the market, law firms will give more and better information to their clients on the different strategies and possible outcomes, and the advantages or disadvantages of going to court, or reaching an out-of-court settlement.

Thus, the logic of Big Data is improving the quality of court and legal services, increasing efficiency in the judicial sphere, and increasing access to justice, which is definitely improving the well-being of citizens.

Since there are many opposite effects on supply and demand as a consequence of the incorporation of Big Data into the judicial logic, it is not possible to determine a priori whether the logic of Big Data increases or reduces the demand for court services. In the Short-Term, we believe that it will increase the number of lawsuits -given a number of conflicts- mainly due to the lower costs faced. However, in the Long-Term it is possible that the combined effect on the demand is negative: with more realistic expectations, the theory of litigation indicates that the use of court services will be reduced by increasing out-of-court agreements, provided that the necessary mechanisms for that are available.

¹ In this context, judges may have a tendency to pass sentences similar to those of their colleagues' not to appear as an "outlier". That does not necessarily mean an increase in the quality of the sentences, but the reduction in randomness and uncertainty does have positive effects on the system.

In addition, being easier to claim rights in court and less uncertainty about court outcomes, there will be less incentive to commit certain specific types of offences¹, which may also contribute to a lower level of litigation and a lower congestion. Of course, the partial compensatory effect due to the interaction between supply, demand and delay should be taken into account.

We believe that the major contribution of this paper is to show that Big Data is significantly changing the logic of behavior of both consumers and providers of court and legal services in general, leading to a change in the decision making criteria by all the agents involved. Not only does it change the way legal services are offered. As we have seen, users of court services are beginning to follow a decision-making process that starts off by looking for the relevant information that is beginning to be available on the internet. Citizens are starting to learn that now, in the judicial sphere, they can more directly assess each available alternative both in terms of benefits and of direct and indirect costs, in all relevant dimensions, taking into account the experience and advice of thousands of previous litigants, to adjust their decision based on the specific characteristics of their particular case.

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¹ For example, in Spain some banks begin to eliminate the so called “abusive commissions” in mortgages to new clients and even some of them offer compensations to former ones, in exchange for refraining from suing them.

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Annex. Symbols in Figure 1, Figure 2 and Figure 3.

ABBREVIATIONS

| | | | |
|----|---------------------|------|-----------------------------------|
| BE | Belgium | LV | Latvia |
| BG | Bulgaria | LU | Luxembourg |
| CZ | Czech Republic | HU | Hungary |
| DK | Denmark | MT | Malta |
| DE | Germany | NL | The Netherlands |
| EE | Estonia | AT | Austria |
| EL | Greece | PL | Poland |
| ES | Spain | PT | Portugal |
| FR | France | RO | Romania |
| HR | Croatia | SI | Slovenia |
| IE | Ireland | SK | Slovakia |
| IT | Italy | FI | Finland |
| CY | Republic of Cyprus* | SE | Sweden |
| LT | Lithuania | UK | The United Kingdom |
| | | EU28 | European Union – 28 Member States |

The Use and Functions of Mother Tongue in EFL Classes at the Language Center of South East European University in Tetovo-Macedonia

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Abstract

The use of mother tongue (L1) in foreign language classrooms at Language Center is obvious. In this paper, the use and functions of it in various classes have been analyzed and discussed. The purpose of the present study was to find out to what level the instructors use mother tongue in their classes. We attempted to find out whether their mother tongue use changes according to different variables, for which functions they use it, whether they are aware of the amount and the functions, whether the instructors are satisfied with the amount of L1 they use, and whether their students are satisfied with it, and whether this satisfaction differs according to the amount used by their instructors. The study was conducted in the Language Center of South East European University in Tetovo, Macedonia, and it was based on both qualitative and quantitative research designs. The participants were 20 English teachers working in the Language Center and their 167 students. The data were collected through classroom recordings, questionnaires that were administered both to the instructors and the students, and interviews were conducted with all of the teachers and randomly chosen 49 students. The data have revealed that mother tongue is an indivisible part of language teaching, and it actually has different functions like "building up relations", "making the topic/meaning clear (by giving examples, explaining, making extra explanations, etc.)", "explaining difficult concepts or ideas", etc. It was also found out that both the instructors and the students were aware of the importance of using the target language as much as possible in the classes, however, they could not disagree with the need of mother tongue from time to time.

Keywords: Language Center; Use of mother tongue, Function of mother tongue; foreign language.

1. Introduction

The use of mother tongue (L1) has been a necessary part of second or foreign language teaching in different contexts where both the teachers and the learners have the same mother tongue. Despite the fact that it was prohibited at certain periods according to different language teaching methods such as Direct Method and Audio-lingual Method, it is allowed in various methods and approaches such as Natural Approach, Communicative Language Teaching, Task-Based Language Learning, etc.

Larsen-Freeman (2000, pp. 101-102) states that "the native language of the students is used in the classroom in order to improve the security of the students, to provide a bridge from the familiar to the unfamiliar, and to make the meanings of the target language words clear." Having various learning settings, most teachers are anxious about the use of mother tongue in the classes and cannot decide whether it is a good idea to use it or not, or if it is going to be used, when, why and for what purposes. In reality, the use of mother tongue may have a say to language learning process in various situations in the learning-teaching process; but still, the excessive use of it may result in too much reliance on it, which is not a wanted effect or outcome in the classes. According to Tang (2002), reasonable and thoughtful use of the mother tongue is supportive and can facilitate the learning and teaching of the target language. Schweers (1999, p.7) argues that "starting with the L1 provides a sense of security and authenticates the learners' lived experiences, allowing them to express themselves. The learner is then willing to experiment and take risks with English." Teachers use L1 for the purpose of motivating students, helping students cope with some problematic situations, explaining some grammatical patterns (Duff & Polio, 1990), explaining their ideas in writing composition or in oral work, and translating the reading passages (Patel and Jain, 2008; Nation, 2003). Also in many studies it has been reported that the use of L1 is used for different other purposes in EFL or ESL classes: explaining the grammar, giving instructions, helping students/checking them, correcting the activities (Atkinson, 1987; Cook, 2001; Greggio & Gil, 2007; Patel & Jain, 2008). Moreover, using L1 helps maintain class discipline,

build rapport and reduce social distance with students (Nation, 2003; Jingxia, 2009; Ramos, 2005). According to Moghadam et al. (2012), teachers use code change to check understanding, to clarify and to socialize. In addition, it is used to give the meaning of unknown vocabulary (Çelik, 2003; Ünel, 2010), which is found “economical and is a direct route to a word’s meaning” (Thornbury, 1999, p.78).

Another important aspect of its use is the time saving. Atkinson (1987) focuses on time saving aspect of using L1 too; “a without delay ‘How do you say X in English?’ can often be less time consuming and can involve less potential uncertainty than other methods of eliciting such as visuals, mime, ‘creating a need’, etc.” (p. 243). In addition, it arouses students’ interest towards the lesson. However, the use of L1 should not be exaggerated because the more the students are exposed to the target language, the better they will learn it. For this purpose, Atkinson (1987) points out the danger of overuse of the mother tongue in language classes which will lead to the translation of most language items into L1. Nation (2003) warns that using the mother tongue in the classroom reduces the amount of input and the opportunity of practice. Furthermore, Cook (2001) points out the importance of modeling the target language and encouraging L2 use. It is a reality that teachers may use the mother tongue in various situations for different purposes. Therefore, this study has tried to discover all these issues by collecting both qualitative and quantitative data. For this purpose we had some research questions as follows:

How much mother tongue (L1) do the instructors use in the classes and in which situations, and are they aware of it?

Are the instructors’ use of L1 affected by different variables?

-Level of class

-Content of the course (Writing, reading, core language, listening & speaking).

-Instructors’ educational background

- Instructors’ experience

What are the beliefs of the instructors regarding the use of L1 in the foreign language classrooms?

-Are these beliefs and the applications in the classes consistent?

-Do these beliefs differ according to the instructor related variables?

Instructors’ experience.

Instructors’ educational background.

-Do these beliefs differ according to the content of the course?

What are the beliefs of the students regarding the use of mother tongue in the foreign language classrooms?

- Do these beliefs differ according to the target language levels of the students?

Are the instructors satisfied with the amount of English they use in the classes, or do they want to use more or less than the present one?

Are the students satisfied with the amount of English their instructors use in the class or do they expect their them to use more or less English than the present situation?

2. Methodology

This study is a descriptive designed with mixed methods using with both qualitative and quantitative data. The study was conducted in the EFL classes that the instructors were teaching in the Language, South East European University. In the language center, the learners have to take the English courses for four semesters, with 6-8 hours of classes each week. The curriculum encloses four levels of classes; elementary, pre-intermediate, intermediate and upper-intermediate. The decision as to which a student is going to attend an appropriate level is made through the placement test conducted at the beginning of the academic year. The core language course includes all four skills (listening, speaking, reading, and writing) and related grammatical patterns and vocabulary. The students at the same time continue with their main courses at their departments.

2.1. Participants

The participants in the study were 20 instructors who teach English and 167 learners studying English in the Language Center, South East European University University. In addition, the instructors had different educational backgrounds in terms of BA, MA or PhD degrees that they held and all of them had language background. On the other hand, the students included in the study, were in twenty different groups with three different levels of English, namely, pre-intermediate (51.7%), intermediate (28.3%) and upper-intermediate levels (19.9%). The students were grouped according to their placement test scores. The range of their age was between 19-22.

2.2. Data collection

For the purpose of the study, we had both qualitative and quantitative data: audio recordings of instructors in their classes, a questionnaire administered to instructors, a questionnaire administered to students, semi-structured interviews with 20 instructors and 39 students. The recordings were completed in about 8 weeks in each class. Each class hour lasted for about 50 minutes, and all 20 instructors (each one) were recorded 6 times in different courses, which is a totally 120 record. The instructors themselves audio recorded their classes. In addition, the questionnaires were designed to support up the data collected through the audio recordings. The questionnaires were adapted from various researchers who conducted similar research in the literature (Jingxia, 2008; Schweers, 1999; Duff & Polio, 1990; Levine, 2003; Bateman, 2008; Cook, 2001). The first questionnaire intended at finding out the attitude of the instructors towards the use of L1 in the classroom. The second questionnaire administered to the students aimed at finding out the amount of L1 the instructors used in the classroom, and the students' perceptions about it. Both questionnaires were reviewed by some ELT experts and piloted. The questionnaire for instructors had Cronbach's alpha value of .90, and the questionnaire for students had Cronbach's alpha value of .87.

Additionally, the follow up interview sessions were conducted in order to back up the questionnaires and the audio recordings, and triangulate the data. The Interviews were semi-structured and conducted with 20 instructors and 29 students, who were composed of two randomly selected voluntary students from each instructor's classes.

2.3. Data analysis

The data collected through audio recordings in this study were analyzed by listening to the recordings and taking notes of the instances when the mother tongue was used by the instructors. Thus, the functions of the use of mother tongue have been categorized under various group headings/themes. The total use for each pre-determined category was marked. While listening to the recordings, if an extra category was decided, it was added in the table. Five of the recordings were also listened by two other instructors to ensure that the researchers were correctly categorizing the instances when mother tongue was used. The cases of L1 use were marked and categorized as 51 items. They were also ranked from 1 to 51.

The data collected through the questionnaires were analyzed through the Statistical Package for Social Sciences (SPSS) 16.0. First, the data were calculated by using Kolmogorov-Smirnov test whether they were parametric or non-parametric. It was calculated that some parts of the questionnaires were parametric and the others were nonparametric. Next, independent sample t-tests, two-way ANOVA, were used for parametric data, Mann-Whitney-U Test and Kruskal Wallis test for non-parametric data in order to find out whether there was a major variation between instructors' use of mother tongue and variables such as their educational background, teaching experience, gender, the level of the class they were teaching in. The results of the audio recordings were compared to the results of the questionnaires and to the answers given in the interviews in order to be able to see whether the instructors were aware of how much L1 they used in the classroom or not.

3. Results and discussion

Regarding the first research question as to how much L1 the teachers use in the classes and in which circumstances they use it and whether they aware of it, the results of the instructor questionnaire revealed that the instructors used L1 often to communicate with students outside the class. They usually used L1 for relationship building purposes (making jokes, showing concern to the students, showing empathy, etc.), to explain difficult impressions or ideas, to talk about organizational information (course policies, syllabi, assignments, announcements, deadlines, etc.), to explain grammar rules, and to talk about the exams (see Table 1). Th relationship building is one of the functions mentioned for which L1 is used in most of the studies done previously such as Schweers (1999), Saxena (2009), Al-Nofaie (2010), Bateman (2008).

On the other hand, what the instructors acknowledged about the use of L1 in their classes was different from what they actually performed in their classrooms. They stated that L1 was usually used for rapport building purposes (making jokes, showing concern to the students, showing empathy, etc.), but it was 45th place in the ranking list in the audio recording. Next, they stated that L1 was usually used to explain difficult concepts or ideas; however, it was in 49th

Table 1. The most frequent L1 use the instructors claim in the questionnaire, and the class recording results.

| Situation | Mean | SD | Level of Participation | The Rank in Recordings |
|---------------------------------------------------------------------------------------------------------|------|------|------------------------|------------------------|
| 21-To communicate with students outside the class | 4.40 | .68 | Often - | - |
| 25-For rapport building purposes. (Making jokes, showing concern to the students, showing empathy, etc) | 4.00 | .86 | Usually | 45 |
| 22-To explain difficult concepts or ideas | 3.95 | .89 | Usually | 49 |
| 20-To talk about administrative information (course policies, 3.80 announcements, deadlines, etc.) | 3.80 | .95 | Usually | 7 |
| 26. Because of time limitation. (I have to cover too much material in a short time). | 3.50 | 1.00 | Usually | - |
| 09. To explain grammar rules. | 3.45 | .89 | Usually | 9 |
| 14. To talk about the exams. | 3.41 | .88 | Usually | - |

Place in the ranking list. In addition, they also stated that L1 was used to talk about administrative information (course policies, announcements, deadlines, etc.), which was the only item parallel with what they actually performed in the classroom (see Table 1). Although instructors had such beliefs regarding the L1 use, the actual use of L1 in the classrooms was different. According to our data collected from class recordings, instructors used L1 to make the topic/meaning clear (by giving examples, explaining, making extra explanations, etc.), to present & explain the topic, to give feedback, to teach the meaning of new vocabulary, to translate sentences that the instructor utters or those in the book/listening text without considering if it is understood or not, and to give/explain tasks or instructions (see Table 2).

Table 2. The recorded use of L1 most in classes

| Rank | Item | Recorded Items | Tally |
|------|------|--------------------------------------------------------------------------------------------------------------------------------------|-------|
| 1 | 22 | To make the topic/meaning clear (by giving examples, explaining, making extra explanations, etc.) | 896 |
| 2 | 2 | To present & explain the topic | 474 |
| 3 | 13 | To give feedback | 378 |
| 4 | 5 | To teach the meaning of new vocabulary | 339 |
| 5 | 48 | To translate sentences that the instructor utters or those in the book/listening text without considering if it is understood or not | 262 |
| 6 | 8 | To give/explain tasks or instructions | 260 |

During the interview, the instructors stated that they used L1 mostly in the grammar and the writing sections while they were explaining difficult parts of them. They also pointed out that they switched into L1 when they realized the students did not understand the topic/task/presented item, etc. For feedback, except one, all of the instructors claimed that they used L1 while giving feedback. 30% of the instructors stated that they directly used L1 for vocabulary teaching, but the others stated that they tried to explain the words in English, drew pictures, or acted out, etc. However, if the students still did not understand, then they used L1. All of the instructors emphasized that when they realized that the students could not

understand, they used L1 to explain more or to translate. When giving/explaining tasks/instructions, some of them stated that they used L1 to explain the instructions. On the other hand, all of them pointed out that they used L1 to give homework in order to avoid students' complaint or any confusion among them. Greggio and Gil (2007), Morahan (2007), support this idea by pointing out that the key with teacher use of L1 is that it is used for clarification purposes, after an attempt has been made to communicate ideas in L2, and students still appear to be confused. One of the students interviewed, S8, pointed out that since they sometimes did not understand when the explanations were in English, the teachers were forced to use Albanian/Macedonia by the students in class. Timucin and Baytar (2015) found out that teachers exploit L1 to translate when students do not understand, to check understanding, to explain procedures, to give directions, to explain grammar and to manage the class.

In addition, the instructors' claimed that they sometimes used L1 to explain what s/he aimed to tell the students, to catch the students' attention, and to explain the meaning of new words. They stated that they rarely used L1 to elicit English words or sentences (see Table 3).

Table 3. The least frequent L1 use the instructors claim in the questionnaire, and the class recording results.

| Situation | Mean | SD | Level of Participation | The Rank in Recordings |
|-----------------------------------------------|------|-----|------------------------|------------------------|
| 08-To explain what I aim to tell my students. | 2.80 | .52 | Sometimes | 1 |
| 18-To catch the students' attention. | 2.75 | .97 | Sometimes | 32 |
| 10-To explain the meaning of new words. | 2.70 | .92 | Sometimes | 4 |
| 17-To elicit English words or sentences. | 2.70 | .47 | Sometimes | - |
| 12-To give instructions. | 2.55 | .94 | Rarely | 6 |

On the other hand, what the instructors declared in the questionnaire was different from what they actually performed in their classrooms. Although they claimed that they sometimes used L1 to explain what s/he aimed to tell the students, it was in the 1st place in the ranking list. Next, they claimed that they sometimes used L1 to catch the students' attention, it was in the 32nd place in the ranking list. In addition, they stated that they sometimes used L1 to explain the meaning of new words, but it was in the 4th place in the ranking list. Another remarkable use of L1 was that they claimed that they rarely used L1 to give instructions; however, it was in the 6th place in the ranking list (see Table 3). Our class recordings revealed that the instructors were not aware how repeatedly they used L1 for various purposes. As a matter of fact the instructors used L1 least for the purpose of talking about something that is not related to course; confirming students' understanding; conflict management; discussing course policies, attendance and other administrative information; transition from one topic to the other (OK, well, now, let's); and helping students find the correct answers for the questions & activities in for the tasks in their textbooks (See Table 4).

Table 4. The recorded use of L1 least in classes

| Rank | Item | Recorded Items | Tally |
|------|------|------------------------------------------------------------------------------|-------|
| 46 | 38 | Talking about something that is not related to course | 7 |
| 47 | 15 | Confirming students' understanding | 6 |
| 48 | 10 | Conflict management | 6 |
| 49 | 20 | Discussing course policies, attendance and other administrative information | 4 |
| 50 | 40 | Transitions (OK, well, now, let's) | 4 |
| 51 | 51 | Helping the students find the correct answers for the questions & activities | 2 |

The second research question focused on whether the instructors' use of L1 were affected by different variables such as level of students, the content of the course, educational background, and the experience of instructors. Our findings showed that there was no statistically significant difference regarding the level students ($p = 0.357 > 0.05$). However, the upper intermediate level had a rather low mean ($m = 6.50$), which showed that the use of L1 fell down as the level increased. Qing (2010) has emphasized that "code-switching represents one of the strategies that EFL teachers often use to

accommodate the students' level of English proficiency." (p. 112). Atkinson (1987) claims that "while giving instructions talking about the classroom methodology, while presenting and emphasizing the language, L1 is mostly used with the early stages of proficiency levels" (p. 244). Cole (1998) also claims that "the best use of L1 is with the beginning and low level students" (p. 2), which supports that L1 use in the classes differ according to the levels of the students. Regarding the content of the course, only writing course was statistically significant ($p = 0.03$ 0.05 ϵ) among core language, reading, writing and listening and speaking courses. Instructors claimed that they used L1 most in writing courses. Apart from this, the results in the recordings and the questionnaires support their argument. Our recording results showed that the instructors used L1 while teaching as to how to identify and write topic sentences, supporting sentences/ideas, paragraphs, thesis statements, and types of essays as well as giving feedback about their productions.

This result is in line with the results in the study of Stapa and Majid (2009) who claimed that when teachers use L1 in L2 writing classes with limited proficiency, students produce better quality essays. On the other hand, our statistical computation revealed that there was no statistically significant difference regarding instructors' educational background ($p = 0.29 > 0.05$), the degree the instructors held such as BA or MA ($p = 0.067 > 0.05$), and the year of experience they had ($p = 0.28 > 0.05$). Our next research question was related to whether the attitude of instructors differ according to some variables such as instructors' know-how, instructors' educational background (ELT or Non-ELT, BA or MA degree), the content of the course. Our results showed that there was no statistically significant difference for instructors' practice ($p = 0.73 > 0.05$), instructors' educational setting (ELT or Non-ELT, ($p = 0.15 > 0.05$), the degree the instructors held such as BA or MA ($p = 0.76 > 0.05$), and the content of the course ($p = 0.067 > 0.05$). This is parallel with the results of Oflaz (2009) and Moran (2009). The fourth research question focused on as to what the attitude of the students regarding the use of L1 were in the foreign language classrooms. Students totally approved that the more English they used, the better they would learn it ($m = 4.70$). In addition, they agreed that they could help each other during the classes by using L1 ($m = 3.76$); using English needed extra effort ($m = 3.74$); L1 should be used in order to talk about the class rules, attendance or organizational information in class ($m = 3.72$); use of L1 aided comprehension ($m = 3.69$); in order to successfully acquire English, they should separate it from L1 ($m = 3.57$); they felt more contented about some functions or topics in L1 rather than in English ($m = 3.65$); they could talk in L1 in the class both with the instructors and with the students ($m = 3.43$). Students are aware of the importance of using target language in classes; however, they believed that they needed L1 for better grasp, to learn some key issues in grammar, and to discuss their problems in learning the target language. On the other hand, students totally opposed the item that when the instructor was too weary, s/he did not use English. In addition, they disagreed that they were used to the instructor's using L1, and it was hard for them to change it ($m = 2.40$); the instructor and students should use only English to discuss course policies, attendance, and other administrative information ($m = 2.36$); there was no use in using English in the classroom ($m = 2.23$); they thought they did not understand when the instructor spoke in English ($m = 2.18$). Students also revealed that their instructors had a tendency to use the target language most of the time, and they expected them to use it because they stated that they could understand them when they spoke the target language to most extent. Our last research question was whether the instructors were satisfied with the amount of English they used in the classes, or whether they wanted to use more or less than the present one. The same question was asked to students, too. Among the instructors, 12.5% of them stated that they needed to use less English, 51.25% of them pointed out that they should keep the same amount they use at present although 36.25% stated that they needed to use more English in their classes. On the other hand, what students stated regarding the amount of use of L1 was parallel with the instructors. Among the students, 6.5% of them expected that the instructors should use less English, and 60.25% of them expected that the instructors should keep the present amount of L1. However, 36.25% of them expected more English in the classes, which is also parallel with the expectations of the instructors.

4. Conclusion

It is a good idea for sure to use L2 most of the time; however, teachers should also know that they should not feel at fault while using L1 when it is really crucial and appropriate to do so. The situation might also be in the contrary way, that is, the teachers might be counting too much on L1, which provides less amount of target language input. In this study, we have found out that the instructors used L1 most for relationship building purpose, making the topic/meaning clear (by giving examples, explaining, making extra explanations, etc.), explaining difficult concepts or ideas, etc. However, they used it least for the purpose of talking about something that is not related to course; confirming students' understanding; conflict management; discussing course policies, attendance and other organizational information; transition from one topic to the other (OK, well, now, let's); and helping students find the correct answers for the questions & activities in for the tasks in their textbooks. It was also found out that both the instructors and the students were aware of the importance of using

the target language as much as possible in the classes, however, they could not disagree with the need of mother tongue from time to time. Both the instructors and students were satisfied about the amount of L1 use in their classes.

Through this study, we hope that teachers will be able to see the situations in which the others use L1, and have better understanding concerning the role of L1 in their classes. This study may have an impact on teachers in terms of questioning their own L1 use, and being more aware of their own teaching. Teacher trainers may also make use of the present study while they are training the prospect teachers. They may explain that using the target language as much as possible should be the goal of every foreign language teacher, however, the use of the students' L1 might also be necessary from time to time, so it should not be a unthinkable for them. This study might create some awareness as to how much and for which task some teachers feel the need of using L1 in their classes. They might find some solutions for some of the functions for which L1 is used, and thus, teachers can use more of the target language, which will lead to more target language communication in their classes.

We had some hypothesis and limitations for the study. The participant instructors and their students were assumed to represent the population. The classes recorded in the study were assumed to follow the normal procedures that the instructors had while they were not recorded. In addition, the instructors were expected not to make any changes in their teaching. The answers given to the questionnaires and the interview questions both by the instructors and the students were assumed to be truthful and reflect their real thoughts and feelings honestly.

As for limitations, one of the limitations of the study was that it was not a repeated study. Although it was tried hard to have as many recordings as possible in order to make the instructors and students grow more used to being recorded and to prevent them from conducting themselves, it was still not acceptable. Another limitation is that, since the study was conducted in the Language Center, South East European University, the results were limited only to the instructors and students in this center. If it were applied in different universities, it could have some different results. A further study that will look into the same scope with the present study may use multidisciplinary studies and a higher number of participants. Furthermore, the participants may be asked why exactly they used L1 in the situations straight after the recordings to find out the real reasons for it. Moreover, further study may look into the students' use of L1 in L2 classrooms, too. Finally, a further study might also look into the effects of the use of L1 on the achievement of the students. Whether the use of L1 contributes to the achievement of the students or holds back it or whether the various functions of using L1 help the students learn the target language better can be analyzed through a repeated study.

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Republic of Macedonia – Reform Priorities in Public Administration for a Pro- European Country

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Abstract

The problem of research is very current for several reasons. Namely, the dominant approach on the basis of which are based all have developed and established theories of European integration, developing modern theories of international relations is a realistic basis. Neo-functionalism, inter-governmentalism, neo-liberalism, institutionalism (in most of its variants) as the most developed branches of the theory of European integration, despite differences in their settings to keep the basic premise that states are rational, unitary actors, whose interest stems from the assessment of their position in the system of states. For our study caused a special interest model of constructivism using Habermas theory of communicative action according to which entities in mutual interaction is open to other arguments and their validity appreciate having regard to the outgoing reasons and norms on which they are based, thereby seeking consensus as a common goal. Apply to the European Union, this approach allows European institutions were perceived as a place of discussion to reach consensus on solving common problems, rather than just the arena for bargaining. Functional adaptation to the numerous petitions which sets the European Union, requires thorough and integrated activities in the economic, institutional, administrative and legislative spheres. This process should be understood as a continuous, painstaking and long process, not a single radical surgery. Republic of Macedonia, as countries aspiring for membership in the European family must meet the political and economic criteria and to adapt political institutions in the country with those of the European Union and their needs and requirements. The aim of this paper is to perceive the key features and trends in the politics of enlargement and to make a comparison between the policy of expansion applied in the process of accession Central and Eastern Europe and the policy of expansion in the process of stabilization and association, with special emphasis on the Republic of Macedonia. Of course, previously been necessary to develop theoretical and practical approach to the concept of policy integration, development and its major elements and modalities.

Keywords: European Union, integration, theoretical, practical, association

1. Introduction

The problem that this research tackles is very current for several reasons. Namely, the dominant approach, on the basis of which all European Integration theories have been established and developed, can be a realistic foundation for developing modern theories of international relations.

Neo-functionalism, inter-governmentalism, neo-liberalism, institutionalism (in most of its variations) as the most developed branches of the theory of European Integration, despite differences in their approaches, they all stand by their main premise: states are rational, unitary actors, whose interest stems from the assessment of their position in the system of states. For the purpose of our study, with a special interest in the model of constructivism, Habermas's theory of communicative action will be used, according to which, entities in mutual interaction are open to other arguments, and their validity is appreciated having into consideration the outgoing reasons and norms that form their basis, thereby seeking consensus as a common goal. When applied to the European Union, this approach allows European institutions to be perceived more as a space for discussion on how to reach consensus for solving common problems, rather than just an arena for bargaining. Functional adaptation to the numerous petitions, which the European Union sets, require thorough and integrated activities in the

economic, institutional, administrative and legislative spheres. This process should be understood as a continuous, painstaking and long process, not a single radical surgery.

After the fall of communism in Eastern Europe, the process of integration of former communist states within the European Union was made possible to start. In the period from 1987 to 1996, 10 former communist states- Poland, the Czech Republic, Slovakia, Hungary, Bulgaria, Romania, Slovenia, Lithuania, Latvia and Estonia, as well as Turkey, Cyprus and Malta had already submitted an EU membership request. On the meeting of the European Council in Luxemburg, from the 12th to the 13th of December, 1997, the procedure for acceptance of these countries in the EU began. It was decided that "each candidate-country will progress by its own speed, according to the degree of its readiness". The EU, in the framework of its pre-accession strategies helped these candidate-countries adjust to its regulations via financial aid for development of institutions, infrastructure and the economy.

Under the influence of the influx of aspiring member countries, after the Cold War, the European Union, taking into consideration the already developed experience with international financial institutions, develops a system of measures that both aspiring member countries and the Union itself should fulfil so that they're entirely ready for their integration within the Union. This system of measures means a gradual fulfilment of conditions by the aspiring countries, which is supported and monitored with specific mechanisms by the Union's side.

The issue of this research paper is the theoretical and practical overview of the European Union's integration policy towards the countries that wish to become its members.

2. Multi-Leveled Governance

An alternative characteristic of EC's nature, which explicitly gave up on a larger part of its principles of inter-governmentalism, is that it represented a system of multi-leveled governance.

Initially developed in the study of the structural funds of the EC, this idea was later broadened in a fully-fledged theory. An earlier definition of Gary Marks¹ spoke of:

the phenomenon of multi leveled governance, a system of continuous negotiation between governments on several territorial levels- supranational, national, regional and local.

The way in which the structural funds are distributed indicates the phase of the implementation of policies.

However, along with other writers, at a later stage he broadened the concept so that the phase of decision making is incorporated as well.² While inter-governmentalism represented the process of European Integration which is ongoing according to the pace and level wanted by the governments of the member states, the ones who advocated for multi-leveled governance, even though accepted that integration incorporates inter-governmental bargaining, they considered that certain governments did not control the process.

Even if one accepts that the Council of Ministers dominates in terms of decision making, there are some limitations of the capacity of a country to control the results of such a joint decision making.

Supranational actors such as the Commission, the European Parliament, and the European Court of Justice, can be formed by the countries so that they are of help, but they do not remain under state control. Taking into consideration that there is a large number of member states, it is difficult for them to act together in terms of maintaining control; and since all institutional changes require a unanimous agreement, if the supranational institutions manage to increase their competences through legal and political means, it is very difficult to take away these competences from them via changes in the agreements.

Another reasons why the governments have difficulties to control the supranational institutions is because the state itself is not a unified actor. Moravcsik³ accepts this in his liberal inter-governmentalist stance as far as the process of defining national interests is concerned.

¹G. Marks, L. Hooghe, and K. Blank, 'European Integration since the 1980s: State-Centric Versus Multi-Level Governance', paper presented at the American Political Science Association Meeting, Chicago, August 31-September3, 1995.

²Moravcsik, A. (1993) ' Preferences and power in the European Community: a liberal intergovernmentalist approach', Journal of Common Market Studies, vol.31, no.4, p.473-524

³ Hoffman, S.(1966) Obstinate or obsolete? 'The fate of the nation state and the case of Western Europe', Daedalus, vol.95, p.892-908

The concept of the EU as a multi-leveled governance system has a similar structure as the original neo-functional formulations. It can be considered as the newest manifestation of an approach of comprehending the EU that is contrary to the inter-governmentalist stance.

The debate between inter-governmentalism and multi-leveled governance is the last phase of a long lasting debate about the dynamics of European Integration, even though in its current manifestation it is more a debate about the nature of the European Union rather than a debate about the process of integration. The adopted approach in the other part goes back to the initial question and tries to identify the dynamic of integration, defined as a transfer of political competencies from a national to a supranational level.

The question inevitably focuses our attention on the position of the states, because the governments of the states should agree to the transfer of competencies. Hoffman¹ and Moravcsik were concrete in terms of pointing out the fact that states possess a formal sovereignty, and that only recognized legitimate state representatives can agree to give up or to "team up" the sovereignty. The reason why they have to agree to do that is a question that could be answered by looking at the limitations that the governments face in their governing.

3. Theoretical and Practical Aspects of European Integration Policies

In the Republic of Macedonia there is almost no professional literature or research that deals with the theoretical and practical perspectives of the policies of European Integration and there is especially a lack of it in terms of the relation of these policies towards the Republic of Macedonia. Due to all this as well as due to the importance of these policies and the theories that represent their basis, with the goal to come to new insights with these questions that have not been researched in our place so far.

- Our assumptions are the following:
- In the drafting of EU integration policies, the key influencing factors are:
- The number of aspiring candidates, how large they are, their geographic proximity to the Union at a particular period.
- The readiness of the aspiring countries for membership at the EU.
- EU's capacity for accepting new members.
- The interests of the existing member states.

The policies of conditioning are applicable to aspiring countries that will be net beneficiaries of the European Union and for which the fulfillment of the political conditions is not assumed beforehand.

The conditions for accession as key elements of the conditioning policies are becoming more and more difficult due to the following reasons:

The more extensive reforms which the state- subject of policies of conditioning should apply until the moment of accession.

- The lack of institutional and economic capacities of the Union for accession of new members, out of which the prolongation of the mandatory time for absorption of new members results.

The success of the policies for integration depends on:

The balance of its encouraging and punitive elements

The capacities of the aspiring country to create its national policies in order to be able to fulfill the membership criteria.

The development of dialogue and communication action could intensify the process of convergence between the aspiring countries and the Union, so that they maximise the positive implications of the policies of conditioning of the Union and minimize the negative ones.

4. Effective and Efficient Implementation in the Context of Integrative Processes

In the context of integration there is one aspect of policy implementation that stands out- the imposed costs on partner countries from the national implementing measures. There are two types of relevant costs here: those that are caused by

¹ Chou Ta-kuan, *The Custom of Cambodia*, Bangkok: The Siam Society, 1993

direct expiration (ex. loose inspection on safety of imported food) and the extra costs for harmonization that are imposed on the products and firms of the partner countries when they enter the national market.

Trade happens because the economies differ. Sometimes it pays off to stress the economic, technologic and regulatory differences. But open economies also gain from the fact that they do not differ drastically from their partners.

If the essence of integration, in this context, is to see the problem via “collective eyes” and “overall interests” of all partner countries; afterwards, the effective implementation of policy requires to rely on a transparent and well understood general standards and procedures; as well as on avoidance of using too complex and idiosyncratic standards and procedures.

An implication for candidate-countries is that they should strive for open and simple procedures, and perhaps copy good practices of member-states.

A question that is raised by the civil servants of the candidate-countries is how detailed should the implementation measures be? The sole question reveals that they understand that the task of implementing of the *acquis* is not merely copying of the directive provisions in the national law but also implementing them.

Why does the capacity to implement the *acquis* depends a lot on the quality of the incorporation of provisions into national law?

The amount of details that need to be included in the implementation measures depend primarily on two factors:

- (a) the level of discretion in decision making that has been given to the competent organ for implementation, and
- (b) the level up to which individuals and companies can take action of evasion in order to avoid harmonization. The bigger the level of discretion of decision making of the organ, the more general the implementation measures can be, and vice versa.

5. How to Build Capacities for Efficient and Trustworthy Implementation of Eu Rules

The countries that applied for membership in the EU are currently preoccupied with the big task of accepting and implementing the laws, policies and practices of the EU, otherwise known as '*acquis communautaire*'. Even though the implementation of *acquis* is mainly understood as a technical issue and for now receives no significant meaning in the public, one of the goals is to explain the reason behind the large possibility that in the following twelve months, as the time toward the end of negotiation between the EU and leading candidate- countries approaches, this issue will become more relevant.

The need for trustworthy duties lies in the essence of integration, in whatever form that may be. It will be easier for the candidate-countries that demonstrate trustworthy duties towards the EU in terms of implementation of EU rules, if the task of implementing EU integration rules is given by institutions that are authorized and safe enough, independent in terms of deciding and which are subject to specific duties.

The fulfillment of whatever task requires three indispensable conditions: knowledge , skills and will (stimulating measures).

6. Conclusion

The question between inter-governmentalism and multi-levelled governance is the last phase of a long-lasting debate related with the dynamics of European Integration, even though in the framework of its current manifestation it looks more like a question of the phenomenon of the European Union more than of the process of integration.

The goal of this research paper is to go back to the original questions and it's an attempt to identify the dynamics of the integration, such as the transfer of political competencies from a national to a supranational level. This question inevitably focuses the attention on the stance of states, because the governments of the states will have to agree on the transfer of the competencies.

Hoffman and Moravcsik are right when they state that states possess a formal sovereignty, and that only recognized legitimate representatives of states could agree to transmit or to “join” that sovereignty. Starting from a European level: the neo-functionalists identified processes of enlargement that formed on an internal integration dynamic. They claimed that after the first steps were taken in the process of integration, inevitably, other steps will follow, since in modern, independent

sector economies, the integration in one sector, itself will generate deviations in other sectors as well which could be solved with additional integrative steps, or to withdraw from the already achieved level of integration.

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Heart Based Meditation: Panacea for Today's Youth

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Abstract

Restlessness alloyed with negative or destructive emotionalism and experiencing meaninglessness in life in an existential manner has become almost the order of modern life. It is needless to say that for sensitive people it is a perennial problem. Those who take on things defying all the moral and ethical codes seem to have little or less botheration. They do escape the severity of the problems or challenges faced by intellectuals, although they end up with a disaster. It is truly a frustrating fact that reading does make a man learned but not necessarily wise. Therefore it would be better to first delearn and then systematically relearn with proper understanding so that one can equip self consciously with a right and pragmatically suitable knowledge to tread on a righteous path. The youth of today is groping in darkness and periodically snared in the mesh of pessimism. Everything is available in abundance around him but he lacks the art of pruning for self betterment. Therefore, this paper envisages the life free from all shackles for today's youth and for the same proposes a practical way of experiencing heart based meditation- Heartfulness. So let's get ready to get involved in a transformation process where one who goes in never comes out. Not because he has ceased to exist, or is dead, but because he has transformed into master. Spiritual power will give the strength to the purpose of living. Finally the paper would attempt to replace stress, conflict and the chaos within by peace, love and harmony, through heart based meditation.

Keywords: Restlessness, Righteous, Pessimism, Heartfulness, Meditation

Introduction

Why do we need a balanced existence?

Present day young minds are being excellently prepared for future challenges in an increasingly competitive world, but still there is a pressing need for the youths to equip themselves with better values, behavior and attitudes. Its about striving to provide them with means of overall wellness rather success and power. Today we are in the midst of multiple crisis – economic, environmental, and social. And we cannot wait for a leader to ride in on a white horse to save us. We all need to find the leader in the mirror, and take the steps needed to make a difference, both in our communities and at the other end of the world[1]. What kind of future do we view for the world as a whole? Is it a world of jealousy, fight, restlessness, anarchy and intolerance? Or a future filled with happiness, contentment and high performance individuals, not limited to materialism, but human condition. If it's the second case then what are we doing today? There are people from all fields doing extremely good work for humanity. At the same time we also see the people of opposite qualities. If we constantly put future in our view, how can we change our attitude to achieve this?

We live in an age of disruption. Any review of underlying forces will convince us that the rate of disruption will continue to go up, not down. It's too late to reverse these forces and trends. So if we cannot control the rate of exterior disruption, what, if anything, *can* we control? The only thing we can really control or shape is *our interior response*: how we show up when disruption hits. The future of our social systems, societies and the planet as a whole depends in no small way on the choices we make in these moments[2]. We need leader who should be a role model and not just an inspirator. There are many personalities such as Mahatma Gandhi, Mother Teresa who lived and followed what they preached.

Many times looking around the world, we see smart leaders – in politics, in business, in media – making terrible decisions. What they're lacking is not IQ, but wisdom. Which is no surprise; it has never been harder to tap into our inner wisdom, because in order to do so, we have to disconnect from all our omnipresent devices – our gadgets, our screens, our social media – and reconnect with ourselves. Being connected in a shallow way to the entire world can prevent us from being

deeply connected to those closest to us – including ourselves. And that is where wisdom is found. After all, the function of a leadership is to be able to see the iceberg before it hits the *Titanic* [3].

What's necessary today is not only a new approach to leadership. We need to go beyond the concept of leadership. We must discover a more profound and practical integration of the head, heart and hand – of the intelligences of the open mind, open heart, and open will – at both an individual and a collective level. The leaders or individuals or groups who initiate innovation are the “artists”. They create something new and bring it to the world. We can observe *what* leaders do, *how* they do it, what strategies and processes they deploy. But we can't see the inner place, the *Source* from which people act when, for example, they operate at their highest possible level or, alternatively, when they act without engagement or commitment. It is their interior condition – the source and quality of attention. The same person in the same situation doing the same thing can effect a totally different outcome depending on the inner place from where that action is coming. We can call it “seeing from our deepest source”: that is sensing and operating from one's highest future potential. It is the state each of us can *experience* when we open not just our minds but our *hearts* and our wills – our impetus to act – in order to deal with the new realities emerging all around us[4].

Fundamentals of meditation :

Meditation means to think continuously of the same thing. It is the time that we spend with our inner self.

Meditation is defined as “inner observation in silence”, which has got a positive influence on both mind and the body. For millennia, Raja Yoga meditation has proved its efficacy in producing calmness and peace, improving emotional stability, managing chronic ailments, enhancing health status and quality of life. Patanjali presented his practical approach to the world a few thousand years ago as the eightfold path:

Yama: (Good conduct) Abstention from harming others, from falsehood, from theft, from incontinence, and from greed.

Niyama:(Regularity,Observation)Observance of purity, contentment, mortification, self study, devotion to God.

Asana:(Posture) Steady and comfortable posture, in reference to posture used for meditation practices.

Pranayama: (Breath Regulation) Control of breath.

Pratyahara: (Inner withdrawal) Withdrawal of the mind from the senses and external objects.

Dharana: (Mental focus) It means concentration, or fixing the mind.

Dhyana: (Meditation) Meditation on the goal.

Samadhi:(Original condition / Balance / Super conscious state) Perfect balance as in the spiritual condition of absolute or bliss.[5-6]

In the current times it is not very easy to follow this method meticulously. So many simplified methods have emerged with subtle modifications to suit the current life styles. Example : Heartfulness meditation, Transcendental meditation, Kundalini yoga, Sudarshan kriya yoga etc.

Heartfulness provides a way of integrating various elements of yoga, without having to take up each step individually, through the practices of relaxation, meditation, cleaning of subtle body, and connecting with the Source through prayer. It is a complete package that provides simple practices for anyone who aspires to evolve.

The Oxford dictionary has given following definitions of Heartfulness: The fact or quality of being heartfelt. Sincerity or warmth of feeling or expression[7]. According to Hindu tradition and Sanskrit scriptures this concept can be defined as: “the realization of the inner self of its eternal connection with the higher self inside one's own heart and seeking its guidance from within- so as to be free from the burden of the results of one's own thoughts and actions.” This produces a state of “Dependence on the guidance from within” - in all the aspects of day to day living resulting in a well-balanced thinking and approach to life[8]. It is the unregulated mind, which is the main culprit of all the mental stress and its associated ill effects on the person [9].

Heart Based Meditation :

Heartfulness is heart based meditation. It is a simple and practical way to experience the hearts unlimited resources. Through Heartfulness, we are able to really listen to the heart which enables us to master our life in a joyful way. This

exercise of fine – tuning the heart with the mind is done through a stepwise scientific approach to meditation. In Heartfulness meditation you sit in a comfortable position, close your eyes and start with a thought that divine light is present in your heart. Why do we meditate on the heart?

According to P. Rajagopalachari, "It is universally accepted in the system that **the heart is the seat of Divinity**. So when we approach Divinity through human system, we can do so by feeling this presence in our heart. Also human being is described by his heart. For example : kind hearted, soft hearted, bitter hearted, good hearted etc. Human character is defined by the heart. Human life is itself centred in the heart, as even if every other organ fails, life still exists. But if the heart stops everything stops. While meditation on the heart, we are able to affect the whole system in a total way. This is because blood circulation starts and ends with the heart. So this Divinity is passed on to each and every cell of human body. So when heart is purified it helps in the purification of each and every cell of human body and the whole system. According to Master, human heart has infinite capabilities well beyond those attributed to the organ of flesh-considered as the main organ of the body. The heart is the seat of the soul". [10]

Heartfulness is a process of discovering meditation first, just like that of a child learning through wonder and direct observation. These programs are designed in a way so as to touch the heart, offer relaxation, introspection and meditation.

Practical Experiences :

Being a part of conducting such a program at Government Engineering College, Aurangabad, I have seen the change in students' approach towards their friends, their career, their aim in life in general. Heart based meditation workshops are being conducted throughout the world but I would refer some of these conducted in western part of India. Harshal Jawale, zonal co-ordinator of Heartfulness, had a unique experience at MIT School of Management, Pune (India). The staff of this institute were concerned and worried about the defaulter students. To everyone's surprise it was seen that more than 70% of them did attend it regularly for 3 days. Further we were told that trouble makers changed to trouble shooters. A similar session was conducted at Bhima Institute of Management and Technology, Kolhapur, where nearly 1000 students attended and experienced heart based meditation.

I had an opportunity to co-ordinate in various such sessions and also the ones for faculty of the Institute/ College/University. In December 2016 we started this program for the students of "Earn and Learn" Scheme of Dr. Babasaheb Ambedkar Marathwada University, Aurangabad which went on till the end of academic year that is March 2017. Actually the students enrolled under this scheme come from rural areas and poor socio-economic background and University provides them the work for which they are paid and this helps to lower the financial burden on their family. After the 3- days workshop attended by more than 200 youths, they were more than willing to go for weekly sessions which our team volunteered for. It was very encouraging. Presently weekly sessions are going on at Girl's hostel in the University Campus. The Vice-Chancellor of the university, Directors of various student welfare schemes like NSS, NYKS, etc. have been very co-operative to carry on such an activity which is so simple at the same time very effective, has no pre-conditions and demands nothing than willingness on the part of the one who wishes to experience it. There are now some colleges, who have come forward in making Heartfulness meditation as their regular activity. Also the colleges affiliated to the University come under NSS (National Service Scheme), where college each adopts a village and the youths of NSS team stay in that village for a period of 7 to 10 days and volunteer for various welfare works like cleanliness drive, spreading health awareness and so on. During this camp Heartfulness team is invited to conduct meditation. Now because of these camps even villagers have started meditating.

Heart based meditation is also conducted for faculty members of various educational institutions. Teachers are first and foremost inspiring role models for students, encouraging them to be the future citizens and decision-makers of the world. It is a responsibility that requires commitment and, most of all, love.

Conclusion:

According to Coralie Imbert, a French freediver and meditation practitioner-" By evolving through meditation and asking myself questions, I was in a position to channel and regulate my mind, and to much better manage stress and pressure". She adds by saying that today her approach is totally different and now she lives it as a competition with herself"[11]. All educationalists and especially those associated with youth recognize the need for interactive, dynamic learning environments and holistic education, and this has been so since the ancient gurukula style of learning in the East and Socratic learning in the West. So enter the need for the heartfulness approach for teachers. It creates a balanced outlook

towards their responsibilities. Heartfulness embraces critical thinking, questioning, observation and experiential learning. It also embraces the dimension that is critical to 21st century education, and that is the role of the heart in self-development.

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The Cross Thai-Cambodian Border's Commerce Between 1863 -1953 from the View of French's Documents

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Abstract

The purpose of this research aims to study and collect data with detailed information of the cross Thai-Cambodian border's commerce in the past from French's documents and to provide information as a guideline for potential development of Thai-Cambodian Border Trade. The method used in this research is the qualitative research. The research instrument used historical methods by collecting information from primary and secondary sources, then to analysis process. The research discovered the pattern of trade between Cambodia and Siam that started to be affected when borders were established. Since Cambodia was under French's rule as one of French's nation, France tried to delimit and demarcate the boundary lines which divided the community that once cohabitated into a community under new nation state. In each area, traditions, rules and laws are different, but people lived along the border continued to bring their goods to exchange for their livings. This habit is still continuing, even the living communities are divided into different countries. For such reason, it was the source of "Border trade" in western concept. The Thai-Cambodian border's trade during that period under the French protectorate of Cambodia was effected because of the rules and law which illustrated the sovereignty of the land. At the same time, customs have been defined including several details that have affected the traditional trade. The border's commerce was more sophisticated. The products had transformed according to the needs of the developed world market and social conditions.

Keywords: Border's commerce, Thai, Cambodia

Introduction

Trade or commerce occurs with the evolution of human society. In Southeast Asia, people exchange their goods between ancient kingdoms for over centuries, as the same as the Thai-Cambodian trade, through various trails or routes which connects two lands together. However, when Cambodia became a part of French Protectorate in 1863 under Indochinese Federation, French imperialism arrived with the idea of nation state, which claimed absolute sovereignty within its borders. They delimited and demarcated state boundaries. The research aims for the awareness of the changing dynamics of border trade, after the birth of Southeast Asian nation states by using French documents from Center of Archives nationales d'outre-mer in Aix-en-Provence and Center of Archives diplomatiques de La Courneuve. In which they had fulfilled some details which could not be found in both Thai and Khmer documents and other secondary sources for completed information with types of merchandise, trade routes, the adaptation of merchants and people at the border, which are the basis of the relation development with neighboring countries in terms of aspects of international relations, apart from political context. In addition, due to the fact that Cambodia was under French's rule, the official information or documents on border information were recorded in French. The French documents open up the perspectives or helped to educate the Thai-Cambodian border trade, and provide a basis for understanding the economic situation between the two countries in preparation for membership of the ASEAN Economic Community later on.

Background

The Thai-Cambodian trade relations dated back in the 16th century from Ayutthaya period. Ayutthaya was one of the major important seaports of the region, many western countries made journeys to trade. Trade's role of Ayutthaya can divided into two parts: seaport and entrepot. The kingdom was the center to buy or exchange wild products from interior area of the continent, which were highly demanded in the global markets, also to distributed goods and products along the shipping route. Cambodia paid tribute in the form of such goods as well. Pepper was one of the most important spices to trade between Ayutthaya-Cambodia-France. Cambodia was the area where pepper was popularly farmed. In Chou Ta-kuan's

report described "pepper planted in Kampot and sold in Ayutthaya with France as a monopoly, the pepper's trade made France a huge beneficiary".¹

As mentioned above, Cambodia has been important to Siamese trade since ancient period. It is located along the Mekong River, a major trade route in the past. Cambodia links with the rich interior of forests and coastal trade. Trading network brought together Siam, Cambodia, Laos and Vietnam along the Mekong River basin.

In Cambodia, there were many trade routes. People can cross between Vietnam and the left bank of the Mekong River, along the three little rivers to Mekong and the Northeast of Siam. From the right bank of the Mekong River, traders can travel straight to Korat Plateau into Nakhon Ratchasima, but through the dense jungles filled with wild animals and the disease of Dong Phraya Yen mountains before entering northeastern Bangkok.²

Another route that connects to the inner Bangkok is Mekong river cruise from the south of Luang Prabang and made journey on foot through the mountains, follow by boat to Pichai. It took another twelve days by boat to Bangkok. The Phuan used this route to bring expensive exports goods to sell in the lower lands, such as ivory, gold, cinnamon, cardamom and rhinoceros horns. On the trip back, they bought salt from the Annam coast and Luang Prabang. Some merchants bought salt from Vietnamese merchants who crossed the mountains to distribute in the Mekong and the southern part of the Korat plateau. Products from Bangkok were shipped from China, Europe, India and Siam were then shipped to Laos via the Puans. Laotian merchants who trade and export goods such as frankincense, honey and gold would bring cotton and opium from back to India. Traders from Laos and Korat Plateau who often trade to Bangkok chose to travel through Prachin Buri and the Phanom Dong Rak mountain range (Surin), Tako (Sa Kaeo), Samed (Surin), instead of the mountains of Dong Phraya Yen which was more difficult.³

The Alternative way was through Samed (Surin) and Tako (Sa Kaeo), which was also a tract of merchants who trade in Cambodia. Silk from the east of Pak Thong Chai District, Nakhon Ratchasimawalk to Nangrong district, Buriram, went through south east of Bann Pra Kham or Bann Pha Kham and went southward to Som Poi. This is a cliff channel and a steep hill, when it reached the low land, merchants would walk to Ta Phraya in the Aranyaprathet border into Cambodia, across Angkor Thom.⁴

In addition, Cambodia is also a route for goods from the Central Mekong to coastal cities. There are records of trade along the Mekong basin between Laos and Cambodia. Sombok, which is located between Laos and Cambodia, was a trade city in the 17th century when Cambodian merchants bought wild products from the highlands. Normally, the cargo were loaded into a boat or rafts until reached to Li Pee waterfall in the south of Laos, where the boat could not accessed, and then they changed to the land route with carts to Cambodia. These trade routes were used until in the late 19th century. Products from Laos and hill tribesmen were brought to Khmer merchants in Phnom Penh before being transported to the junk at Haitian.⁵

In the northeast of Cambodia (Battambang and Siem Reap), was another route for transferring goods from Laos and hilltribes. Although there was an obstacle from Li Pee waterfall, but native traders often chose trail Battambang - Prachin - Bangkok more than the route that passes through Phraya Yen Mountain. Products from the eastern Cambodia also entered the seaports of Siam, Chanthaburi and Trad which is the hub for wild products from Cambodia and Vietnam before being sold to China.

Internal trade routes also helped to make the trade along the seashore bustling. John Crawford described the trade routes throughout the Gulf of Siam in the early 19th century, from Bang Saphan, Banglamung, Rayong, Chanthaburi and Thung Yai (Trad) in Siam until Kampot in Cambodia and Rach Gia, Camau or Long Xuyen and Saigon in Vietnam. It was estimated that in the early 19th century, there were about 40-50 Siamese junk ships traded on this route. Most of them were small boats with a tonnage of 60-100 tons. The Siamese junk that travels to China often visited these coastal ports such as Hue and Fofai to buy cardamom, ivory, leather, deer, and salted fish. On the other hand, they brought Chinese West and Indian

1 Puangtong Pawakapan, Songkhram Kankha lae chatniyom nai khwamsamphan thai-kampuchea (Wars, Trade and Nationalism in Thai-Cambodia Relations). Bangkok: The Social Science and Humanity Textbook Project, 2011, p.7.

2 Ibid

3 Jit Phumisak, Sangkhom thai lum maenam chaophraya kon samai si-ayutthaya (Thai Society in the Chaophraya River Basin before the Ayutthaya Period, Bangkok: Fah dieu kan, 2004, p.302.

4 Puangtong Pawakapan, op.cit.

5 Henri Mouhot, Henri Mouhot's Diary, Kuala Lumpur: Oxford University, 1966, p.33.

goods to sell in Cambodia and Vietnam. There were also products made in Siam such as steels, wood, pans, tobacco, opium, and Cambodian rice. Foreign trade in the coastal cities of the port city was not very active; Henri Mouhot stated that the flourish trade in Kampot was not comparable to the port in Bangkok. Kmapot has about 300 residents, which were less than Chanthaburi province alone because this city was located far from the source of goods. Traveling from Kampot to Phnom Penh took up to 12 days using carts and was convenient only in the dry season. The trade in Kampot consisted of products such as ivory, rice, fish, cotton and rare woods.¹

Trade networks in the Mekong region have resulted in both Siam and Vietnam trying to gain commercial advantages from Cambodia. During the political turmoil in Vietnam, the Tayson rebel (In the early Rattanakosin period) was affected to uncomfortable situation and faced problems in Vietnamese trade routes. Siam has benefited from such political turmoil. The hill tribesmen who imported wild products to export to Vietnam can not send their goods. French missionary record described that Vietnamese merchants in Tonkin had to trade with Laos instead to avoid the routes danger affected by the fighting in Vietnam. In such situation, Local traders, both Lao and Cambodians preferred to sell their goods in the Chao Phraya River basin instead, which was more peaceful.² At that time, Bangkok royal court became a monopoly on wild products in the Mekong region.

When Vietnam was able to restore its political and economic power, Vietnam's important sea port is Huatien or known as Banteay or Phatthamas Mas among Siamese, became the hub of the goods until the 1820s. Haitian was the port of Siamese junk ships to buy goods from Cambodia. Vietnam prohibited foreign ships traveling to Cambodia; also, they must do business deals through Vietnamese agents only. The French document stated that in 1862, goods leaving Phnom Penh paid a tax of 20 percent, half of the tax paid to the Khmer court. Once again, it has to be paid to the Vietnamese taxpayer at Chau Doc. The Siamese ships had to pay more for the Khmer and Lao goods that passed down the Haitian. Products from Phnom Penh became major export commodity of Vietnam to the Chinese market, including cardamom, fang, cotton, rice, ivory and leather. They were sent from cities in Cambodia, Northeast of Siam, South of Laos and South of Vietnam because Phnom Penh is located on the intersection of four rivers, which was more convenient to transport goods.

From the booming era of trading, traditional trade patterns were appeared to be the movement of traditional trade in this region eventually. They started to trade products which related to living and occupation. These goods were needed in the general market as in 1884, two Ubon merchants bought the buffaloes and sold them to Phnom Penh in the big caravan. They divided buffaloes into herd of 200 and 300 respectively, controlled by 76 and 93 men guards. In addition, the currency of Vietnam and Laos was widely used in Cambodia and Thai currency is also used in Khmer Lake area.³

Discussion

In the early Rattanakosin period, Siam started war with Vietnam with political and economic reasons. This area was then a significant hub as a fertile food resource of the region. There were rice growing areas and the Khmer Lake, which was a large freshwater fishery. The economic benefits of the land was what the French visioned for. French evidence has highlighted Cambodia's bustling trade, "Each year, there are eight million kilograms of fish exported, worth about two million dollars in that city. These fish are sold to markets in the Far East", "Cambodia's location is strategically important especially to Phnom Penh," and "It's located at the southern end of the four rivers." The city is thus connected to the Great Lake by the Mekong River to Cochinchina. The Quatre-bas point became entropot and natural military base at the same time.⁴

After seizing Vietnam, France has a policy of expanding its influence in the Indochina region. In French's perspective, Khmer region was important to France. On February 9, 1861 the French consul insisted on the need to make a treaty with the Khmer. With the cause from the stated record "Firstly, Khmer is a land with the Mekong flowing through, France hoped that the river might be the way from France to China, especially to Yunnan where France is expected to locate as the major trading market. Second reason, large-scale fishing activities made Khmer an important economic center. Last reason, Cambodia would help promote South Vietnam, which was annexed to France in 1862 and officially in 1867 to be more stable and as a way for France to expand its territory to the north. Cambodia is also a major food hub. Because of the

1 "Chotmai het khong phuak bathluang farangset ton phandin phrachao ekkathat, khrang krung thonburi lae khrang krung rattanakosin ton ton" (Records of the French Missionaries during the Periods of King Ekkathat, Thonburi and the Early Bangkok), in Prachum Phongsawadan Part 39 (Collected Chronicles), pp. 93-94.

2 AOM, Indochine, Amiraux 12705, "Rapport sur le Cambodge, Voyage de Saigon à Battambang par Spooner", le 30 decembre 1862

3 Ibid.

4 Ibid.

abundance of animals such as cattle, buffaloes, fish, this species will be used as a good food for French soldiers in the South."¹

As a result, in September 1862, General Bonard was the leader to explore water route in Tonle Sap, along with two small boats, not far from Angkor Wat. In his point of view, the Cambodian construction of the economic prosperity of Angkor Wat has made Cambodia a very attractive economic destination for France.² He referred to a report by Spooner, a trader who surveyed in November 1862, claiming that Cambodia deserved restoration and effective governance which made France's trade effectively flourished in cotton, silk, indigo, turmeric, ivory and rubberwood. Bonard pointed out the importance of Cambodia trade in the Mekong delta as Cambodia was strategically essential in commerce with the junction of the Mekong, Bassac, Chi, Moun.³ Gabriel Aubaret, the political secretary of Bonard, showed his opinion, "Trade in Cochinchina in the future depends on the Cambodian lowlands. With its flat geographic, interspersed with beautiful mountains and covered with abundance of natural resources, it will help Europe to prosper. Cambodia is at the center of its production".⁴

Bonard saw Siam as a major obstacle to the French advantage of trade in the region, because Siam occupied the territory that was considered to be the most fertile: Battambang and Siem Reap, which adopted the same culture and religion. Siam can easily assimilate their culture to Cambodia. Siam also took advantage of the possession of the Cambodian territory to use northern Cambodia as a trade route linking Mee Tho and Saigon. In addition, at that time, Siam was close to the British, in the French's view. It may have made British influence over Cambodian territory through the Siamese court as well. The French analyzed that they need political control in the Cambodian territory. Bonard's idea was approved by Chasseloup-Laubat, Minister of French Naval who considered it was necessary for France to extend its influence over Cambodia to eliminate Siam power out of the country.

However, the purpose of General Bonard was unsuccessful. He was retired in 1863. General Pierre Paul de La Grandiere, the French Governor (Indochine française), took responsibility from him. De La Grandiere has appointed Doudard de Lagrée to explore the geography of Cambodia. He created a report on the prosperous trade of the land: "From Cochinchina, goods sent to Phnom Penh were sugar, beet, weapons, medicinal materials, and Chinese goods and Cambodians sent rice paddies, cotton, woven fabrics made of silk, turmeric mat, hornbeam and salted meat back".⁵ On August 8, 1863, he brought two warships in order to make Cambodia a French protectorate. Norodom signed the agreement. Finally, Cambodia became a protectorate of France on August 11, 1863, except for Battambang, Siem Reap and Srisophon which were under Siamese rule.

Battambang, Siem Reap, a city rich in resources and a major freshwater fishery, still remained with Siam. Thais called this area the "Inner Khmer". The abundance of this area shown that "In the water there are fish, in the field there are rice; in the forest there are cardamom".⁶ The product of rice in Battambang is enough for their own population. From the French documents stated that in 1862, Battambang was more densely populated than Phnom Penh. According to a survey of French colonial officials in 1862, they said that it was rich in wild cardamom and was located near Cardamom Mountain. Cardamom was regularly sent to Bangkok. Although Chanthaburi is another place that was a source of cardamom to the Siamese court, but their quality was not good enough compared with Pursat.⁷

French Documents in the 1860s indicates that caravan trips between Battambang and Siem Reap to the Thai's border was tax free. But on the other hand, goods leaving Battambang to other cities of Cambodia and Vietnam were subjected to a 10 percent tax,⁸ which was not excluded from taxation at several points until to Vietnam, making taxation a major barrier trade between Battambang and other areas.

1 AOM, Asie, Indochine V (1862-3), Lettre du Contre-Admiral Bonard au Phya Phra Klang, le 10 deembre 1862.

2 AOM, Indochine, Amiraux 12705 "Rapport sur le Cambodge, Voyage de Saigon à Battambang par Spooner", le 30 decembre 1862

3 AOM, Indochine, Carton 45, Dossier C1 (222), Contre-Amiral Bonard au Ministere de la Marine Chasseloup-Laubat, 7 janvier 1863.

4 AOM, Indochine, Siam (1863-1864), B. 3 (1), Lettre du Contre-Amiral de la Grandière au Contre-Amiral Chasseloup-Laubat, 27 septembre 1863

5 Puangthong Rungswasdisab, Battambang kab polprayot tang seththakit kong Siam yuk ton Rattanakosin (Battambang and economic interest of Siam in the early Rattnakosin) in journal of Thammasat, 19 (3), 1993, p. 29.

6 AOM, Indochine, Amiraux 12705 "Rapport sur le Cambodge, Voyage de Saigon à Battambang par Spooner, le 30 decembre 1862"

7 Dourdat de Lagrée et autres. (1873). D'explorations en Indochine effectue pendant les années 1866,1867,1868, Paris: Librairie Hachette, p.222.

8 AOM, Indochine, Gouvernement General 47453 "Monsieur Breucq à Monsieur le Gouverneur General de l'Indochine Hanoi, le 30 mars 1906

While trading in the Indochina region using the Mekong is more convenient and economical. Traveling from Battambang to Prachinburi required a cart that was only available during dry season and then cruised in Bang Pakong River for no less than 15 days, while cruising from Battambang to Tonle Sap took only 2 days. With no tax border, the cost of goods closed to the price of goods which were sent to sell or buy from Phnom Penh and South Vietnam.

The French documents of 1897 and 1906 indicated that the main export commodities of Battambang were rice, dried fish, buffalo, cotton and textiles. Import products included Iron and steel shipped from Singapore and Hong Kong, purchased through Bangkok, Phnom Penh and Saigon.¹ In addition, Battambang also collected taxation followed the Siamese policy, from ship which came from other parts of Cambodia and Vietnam to fishing in Tonle Sap. In 1868, King Norodom of Cambodia pleaded to France to allow Siam to abolish the fishing tax on the lake because the tax were troublesome for merchants and fishermen.²

The boundary line came with the concept of modern nation state, followed by the exploration of area to created map and define the boundary lines to limit their sovereignty in each state with the application of Western-style modern law. The boundary line in Southeast Asia, especially the Thai-Cambodian border, was just happened in the modern state, but it showed the parttern of the border trade and movement of peoples and goods related to the history and the relations networks of people and goods before the birth of modern state.

When France occupied Cambodia with the concept of modern state, the boundary line between Siam and Cambodia, under French Indochina Federation was created. The border line conflicts has become a major problem in the history of Thai-French relations, and also linked to the Thai-Cambodian relations after the Independence of Cambodia. In 1877, France offered to construct telegraph line in Battambang and requested Siam to hire Mr.Pavia, French colonial officer in Cambodia to execute a survey with an agreement that after the end of this survey, Siam has to continue to employ France for telegraph operation system. On October 3, 1893, there were issues related to the 25-kilometer boundary. The treaty stipulated the 25-kilometer at the right bank of the Mekong River, Siem Reap, Battambang and Tonle Sap and delimited this area as a tax free zone, and for security issue to continue to do as previously. France asked Siam the requirement of consular in Battambang and Siemreap with the same consulate. Siam gave authority to France according to treaty of 1893, because of the unrest situation was due to often robbery escape to hide in the area. This led Siam to committed more intensive surveillance. Also, Siam insisted that in the treaty determined only the import and export goods between two countries.

In the negotiations for the treaty in 1902, France began to pay more attention to the inner Khmer which Thai refused to give up this territory to France. However, the problem of Khmer territory was related to the withdrawal of troops from province of Chanthaburi. In April 1903, France demanded to resolve the border issues from the Tonle Sap to the coast because of the confusion over the boundary territory. Thai responded by explore and survey border's area, but there was no clear evidence, they found only anthropological evidence of people living along the western side of the Banthat mountain, spoke Thai and the other side spoke Khmer. Thai and France agreed to create a joint committee on border demarcation.

In addition, border issues were also related to other problems. France wanted to build a railroad in the Mekong River Basin; Battambang area was under Thai soverginty in 1901. Until 1903, France officially proposed a railway project to Siamese government, France wishes to build the line of Battambang-Phnom Penh. France insisted that the creation of railways was for trade interests, not only for France's benefits, but also Siam would gain benefit from this railway line. The transportation between Battambang-Phnom Penh mostly used by water way, it was not only convenient because they can use only in rainy season, in contrary, the railway can be used every seasons. This line will helped Battambang more prosper and became more urban, but Siam was suspicious of French's policy. France assured that this railway will be built for commercial reason, and allow Siam companies to build railway in their territory or hire Thai-French to show the sincerity of France. Besides the railway, the water transportation between Battambang and Tonle Sap was one of the issues. In the late January 1904, France requested Siamese government to facilitate the navigation of the area. In Siamese view, they responded quickly to this issue. They believed that if the water way was more convenient, it may not be necessary to build a railroad.

However, even the attitude of the Siamese government was compromised, but the French trade commissioner, more aggressively, has appealed to the French government asking to annex Battambang and Siemreap into protectorate. The

1 AOM, Indochine, Amiraux 10120" Lettres du roi Norodom a.s. du Grand Lac, le 16 septembre 1869

2 Amarawongwicht, "Phongsawadan huamuang monthon isan" (Chronicle of the Northeast), in Prachum Phongsawadan Part 4, Bangkok: Khurusapha,1963, p. 221.

Battambang - Phnom Penh Railway will instantly belong to France. Normally, Cambodian in this area preferred to send goods to Siam more than Phnom Penh or Saigon. They pressured the French government to take over the lands around Tonle Sap into French Indochina, because this land was abundant and rice in the area would not be sold in Bangkok.

France demanded heavily to control Battambang, since they found that Trad, where they occupied did not provided sufficient economic benefits. Battambang was a fertile region. It was the most successful area to produce rice in Cambodia and was an economic center for fishing around the Tonle Sap, also, population immensely lived in the area. While Trad, most of the population is Thai and the population was not too much. France would like to exchange Trad with the Battambang area. In February 1907, Siam agreed and signed on the treaty to exchange Battambang, Siem Reap, Si Sophon with Trad.

After Siam lost territory of Battambang, trade between the Siamese and Cambodian states under France has become more tangible, apparent and organized, as the new national state borders became nation after Cambodia's independence by demarcation and delimitation the borders and mapping separated clearly nation between Cambodia and Siam. The ethnic problem was decreased as well. Customs system was created in ancient Thai territory of Battambang, from tax free to be taxable. However, the rules that follow the modern framework did not enormously change the way of life of border trade. It was just a pattern of change that is subject to more regulation. The emergence of boundary lines led to the determination of the extent of sovereignty, which defined spatial authority in a border trade pattern.

The emergence of boundary lines led to cross-border trade, which was moving across between people and goods in established boundaries. This territory has a historical development and network of people and goods relations since pre-modern state border town continued as a commercial center. The new patterns did not destroy relation of people's who live or trade near border. On the other hand, border trade continued as a way of border's people, goods were not limited to the laws and powers of the modern state, but trade was more universal and more complex. However, local structures have been affected by the arrival of colonialism, or can be said of the concept of modern Western states. There were rules that regulate the crossing or passing of the lands, people and goods in each states. The emergence of rules, regulations and laws, affected to people in border regions who try to change and adapt new way of trade or commerce. The emergence of a modern state border happened along with the symbols of the state, such as police officers, customs officers were portraying a new regime. In addition, the authority of officers or people in the border became more complex in social context and indistinguishable

In the past, Dong Rek Mountain or the people living on the both sides of Thai-Cambodian border were considered as a mountain of combination between two parts of Cambodia (lower and upper). Along this mountain, there were many large cities such as Phimai, Korat and also the junction between Siam, Laos, Vietnam and Cambodia. Many historical accounts referred to trade routes in the Mekong River basin that used in peace situation. In addition, Cambodia also traded along the coast, where Sombok was the center for collecting goods from the land.

Most Thais and Cambodians along the border exchanged trade and kinship relations. Commodities traded was often daily consumer goods, including fish, salt, and livestock as a means of equipment in the profession. In the 1990s, there were published stories about the lives of people on both sides. Apart from of the way of life, similar culture and religion between two sides of Dong Rek, they also mentioned trading network throughout Dangrek. Each year, there were Cambodians traveling by carts across the mountains, taking products such as fish, dried fish, rattan products to sell in Thai side. The main trade along the Thai-Cambodian border, for example, consisted of three parts:

1. Cattle Trade - Most of the people in both countries are in agriculture sector. Buffalos or cows are valuable tools for farmers. Livestock farming is done along with rice farming. Northeast of Thailand is Cambodia's largest livestock market and neighboring country. There are traders from Vietnam buying cattle in Khukhan (Sisaket) and selling them to Phnom Penh.¹ On the other hand, some merchants crossed over to pick up cattle in Cambodia near Dongrek Mountains. Khmers liked to sell cattles to Thai traders because they can sell high prices. The cattles are often stolen from the Cambodian side to the Thai side.

2. Fish and Salt Trade – Fish and salt are one of the basic foods. Tonele Sap is one of the largest freshwater fisheries in Southeast Asia, while Northeast of Siam is a large salt producer. Salt, which is used to preserve and cook fish out in various

1 Alexandra Denes. (2006). Recovering Khmer ethnic identity from the Thai national past in ethnography of the localism movement in Surin Province. Itacha: Cornell University. p. 248.

forms, dried fish, salted fish, especially fermented fish. Therefore, salt is the most important ingredient. The growing of fisheries around Tonle Sap is like the small household industry. Salt from Northeast of Thailand has played a role in helping Cambodia's fish industry since from the past. November to April is a season in which fish are abundant. During this period, there will be many immigrants from other areas, especially in neighboring around the lake. Caught fish will made to be dried. Villagers from Surin and Buriram will travel by carts to buy these fish for their own food supplies throughout the year.¹ Each year, caravans carrying wagons of salt from two provinces crossing to Cambodia, to the Tonle Sap for salt to be sold and dried fish and fishes return. The Importance of salt and fish trade of both Thai and Cambodian are remain trace until present. The largest Thai-Cambodian border trade market: Rong Klua in Aranyaprathet, Sakeow Province. It is the central market for border trading and as a salt storage.²

3. Gems trade - The creation of boundary lines as a whole did not created any barriers to trade between Siam and Cambodia. On the other hand, they found new products such as the discovery of gemstones in Pailin during the 20th century. Pailin has grown rapidly since the late 1950s after the First World War. Pailin has become a gem trading center in Cambodia and is a major exporter of gemstones to other urban markets. Pailin town is located in the east of Battambang Province, at the foot of the Dong Rek Mountain, adjacent to Thailand, and is located on a natural communication route between Battambang and Chanthaburi, the coastal city of Siam and Bangkok. Pailin is connected to Battambang by Highway No.2. The city's major resource is the gemstone, which consists of Sapphire, Ruby and Zircon that make Pailin's people can live apart from other parts of Cambodia.

The importance of sapphire in relation to Thai-Cambodian trade was began in 1872. When the Shan people from Burma began to dig for minerals, after the success of the discovery of many minerals in Chanthaburi and Trad, they figured that maybe they can find Ruby and Sapphire in Pailin, which are in the same line of gems. Pailin at that time, was in a dense forest and abandoned. Among all the stones, sapphire is the most discovered gemstone in this area and has a very fine texture.³ Pailin prospered rapidly, just like gold rush period in California. The major markets for gemstones are Bangkok and Calcutta, India through Chanthaburi. According to French documents, "Chanthaburi is full of sapphires. Some shipped to Europe make merchants are rich". Cambodian ruby and sapphires are in demand around the world because of the good quality and color. These gems originated from Cambodia, but most people often call these gems as "Sapphire from Thailand" or "Siam Ruby", because part of the smuggled out to market in Thailand.⁴

Pailin has economic growth and can be self-dominant from the power of the state. This is an example of how spatial authority can not expand or tighten its power in that area. In 1915, Pailin was in a privileged state and autonomous city, even though Cambodia was under control of France according to the Treaty of 1907, but the Siamese court still demanded a tribute from Pailin.

When the border line up with the cost of transportation, gems trade was a case to concern. Geographically, Pailin is closer to Chanthaburi than Cambodia's Battambang province. The close relation between Pailin and Chanthaburi became huge concern to France. According to a report by French government official, Burnet in 1941, it stated that France had lost many profits from gems trading because road connecting between Pailin and Battambang was in bad condition and not convenient. Many gems traders choose to buy their gems in Chanthaburi. In his view, the route between Pailin and Chanthaburi took a long time and unsafe, sometimes carts could not travel. If France developed the road to be more convenient, it would make gemstone in Battambang cheaper than in Thailand. Also, it may helped traders turn to buy gemstones from Battambang instead of paying for travel and customs duties in Thailand. The importance of the gemstone in the border trade has begun to decreased as the sapphires in Pailin start to become increasingly rare. Since the 1970s, the gemstone trade market has been declining, and it has been virtually ineffective.⁵

Conclusion

The pattern of trade between Cambodia and Thailand began to change when borders were established. The delimitation of boundary lines divided the community that once cohabitated into a new community in established countries, but trade or commerce still continued. For such reason, "Thai-Cambodian trade" during the French was portrayed as a change of

1 AOM, Indochine, Residence Supérieur 210 " Délégué à résident Kampot à Commissaire de Police special Kampot

2 Ibid

3 AOM, Indochine, Rapport sur la région de Pailin, carton 665.

4 AOM, Indochine, Rapport sur la région de Pailin, carton 665.

⁵ For more on concepts of time throughout history cf. Klein (2009a: 5-38).

style with clearly defined rules and procedures, in accordance with the law, which demonstrated sovereignty. At the same time, customs tariffs have been set which have affected some traditional trade with new pattern and more complex. There are more characters associated with border trade. Products changed according to the needs of the developed world market according to the current social conditions.

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Immigrant and Urban Re-Generation

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Abstract

This study has started from the knowledge of the juridical-normative frame regulating the foreigners' social rights in EU and in Italy and from the reading of directives, programs and documents produced from the EU and from the Region Campania. After this, the study has moved toward the tab of around fifty national and international case studies related to the activity of inclusion and of integration of the immigrated ones. From the comparative reading of the case studies, some immediately transferable strengths have been individualized. Then, we compared the cases studies with the European, Italian and regional Program; the next step has been the examination of the weight of the population immigrated in Italy and in the Region Campania and of its burden in the variation and formation of the real estate. In this way we have had useful "suggestions" for the elaboration of Urban Plans able to support the construction of the inter-cultural city and urban community (Consiglio d'Europa, 2003). In fact, in conclusion, the paper proposes an urban design in the city of Castel Volturno, which is one of four municipalities, along with Mondragone, Sessa Aurunca and Cellole, that belongs to the Domitian coast (Caserta). Since the nineties, the migrants who arrived on Italian territory recognized in the Domitian coast a new attraction center. This immigrant's presence has led a change in the morphology of settlement. They live in a small town where there is social, urban and environmental decay.

Keywords: Immigrant and Urban Re-Generation

Introduction

1. Inter-ethnic city and inclusive citizenship

The city has always been diversity and collective memory place. It is the space where are handed down and materialized the values of the culture. (Beguinot, 2008) How can the urban plan answer the new questions coming from the new population? Assuming that the new morphology of the society and the new cities are cosmopolitans, it is undergoing a change of perspective in the planning, moving towards a generated by the difference in planning theory. As Leonie Sandercock writes: "if we want to achieve social justice and respect for cultural diversity in the city, we have to theorize difference political, that must be productive. If we want to foster a more democratic and inclusive process in planning, we must begin to listen to the voices of difference" (Sandercock, 2004). But which are these voices of the difference? They are a part of the city, that often not heard by planners. They are the voices of multicultural city that must be in intercultural city. The cross-reading/comparison of some European and Italian cases shows the importance to implement at the same time social and urban measures. In this way we can build the relationship between indigenous and migrants citizen. The participation helps the relationship process and helps to build a share urban space.

Since human beings began to be permanent and, therefore, to turn the space of the nature into place for the social cohabitation the problem concerning the organization of the space in optimal way for the carrying out of the activities arose. This problem has always been dealt with despite the techniques and the available technologies and the dominant power that, in every epoch, curtains to influence the formal and functional model.

Currently it is not possible to put aside the ethnic-cultural difference that is by now integral part of the social component of the sustainable development (UNESCO 2001).

The phenomenon of the cultural coexistence has assumed different denominations but the used terminology has always been reported to identify the overcoming of the "contingent differences" (Ghisleni, Rebughini 2006), to point out the ability to harmonically refer it to the "All", to identify the affirmation of an unifying common principle. The IOM (2005) estimates a migrant population of over 240 million (40% more in comparison to the 2000) and, out of these, the 20% settles in the great cities, going to constitute consistent quotas of the total population.

Their arrival (of the immigrants) arriving in a consolidated social group (the autochthonous ones) requires a contemporarily intervening on the social spatiality and on the physical space. The policy mainly acts on the first term while urban projects predispose the physical component of the territory, both urban and not, so that working and social activities can effectively be carried out. Put simply: if the right to the house needs to be guaranteed to everybody, including immigrants (social politics) then it will be necessary to predispose the areas destined to residences with the connected services and the necessary net of infrastructures (urban politics). The cohabitation in same civic spaces – a phenomenon started in the past and because of needs that differ from the actual ones – may produce conflicts between autochthonous and immigrant groups and also among groups of immigrants of different origin. It is in the city, in fact, that you can realize the maximum interaction among the different social groups. This interaction involves public spaces, half-public (Jeffery, 1977; Moeckli 2016) and also private spaces. Thus, also the urban organization, in its material, functional and relational components, can contribute to feed the integration or the conflict, the fusion or the marginalization. In order to determine the conditions of a qualified urban cohabitation, it is appropriate to wonder about the role of public institutions and the degree of freedom for personal actions, social groups and market logics.

2. The problems to be solved

From the ongoing of cultural exchanges inter-culture arises, i.e. an innovated social "identity" in which every culture participating to the dialogue becomes wealthier thanks to some contribution of the other and, preserving its own cultural patrimony of base, it builds, together with all the others, a new common culture on which to establish the sharing of a same territory and the cohabitation in a same place (Remotti 2010). This is also true for the urban identities that stand for the codified materialization of spaces and volumes of the society in different moments of their history. By urban inter-culture, you must not exclusively mean the change of physical spaces but also the different ways by which a same space is used over different epochs and in different ways by several social groups (Petrella 1989). An inter-cultural city is, by definition, a resilient city. If the cultural differences of immigrants are assumed as external strengths, the resilient city "deforms", reorganizes itself by suiting itself to the "external solicitations", without losing the secular structural identity of its own urban history. In other words, it evolves by adapting and it adapts by evolving. For a project that effectively supports appropriate models of cohabitation, it is necessary an urban plan able to predispose conditions of resiliency, flexibility and elasticity: a plan that is not rigidly prescriptive but is able to adapt again and again to the dynamism of the social supply. The need to save on housing rent requires uncomfortable accommodations and peripheral location. These houses often are founded in other municipalities far from people work. In this way the immigrants increase the commuting time and costs.

The lack of an effective institutional action has determined that the new comers could autonomously adapt, by confiding on the mutual help of the ethnic community already settled and of the no-profit associations that operates in the sector. Despite heterogeneity of places, the immigrated population has two preferential areas where to settle: the residential public districts in the degraded outskirts and the historically popular districts, also in central areas, where the small local economy and nets of social mutuality withstands (Palazzo, 2008). Beyond location, diffused or assembled, the housing uneasiness of the immigrants is shown by the fact that despite an income equal to an Italian citizen, the foreigner (in particular way if woman or people which come from country outside the European Union) lives in a less comfortable house, paying a more expensive lease. The need to save on the lease of housing compels a little comforting lodgings and peripheral locations that often are in different municipalities from the one in which the foreigner works, with the consequent increase of the times and the costs of the commuting.

Different sciences have elaborated – at first according to a single approach and then according to a multidisciplinary one – several theories and methodologies finalized to prevent criminal activities in urban areas, with contextual interventions on social aspects and on the conformation of the physical environment. Jacobs, Wood, Newman, Jeffery, Cozens, etc. have marked the milestones driving to the *Crime Prevention Through Environmental Design* with its various declinations and therefore to the directive EU (CEN / TR 14383 -2) which delineates a *modus operandi* of the urban and house-building planning for the containment of the criminal behaviors and therefore dangerous. Such approach is based on the minimization of the environmental ability to facilitate or to support criminal behaviors (dangers) or on the production of feelings of insecurity. Generally speaking, this kind of structural interventions can excessively appear expensive but,

through a more careful analysis, such type of investment needs to be compared with the individual and collective costs related to a traditional intervention (increase of policemen in the street, private vigilantes, cameras, etc.). In reference to the application of urban plans, it is possible to intervene for demolishing the building, urban, environmental and social degrade that feeds the perception of insecurity and in which diverted attitudes can nurture. Beyond raising the safety degree of our cities, the safety itself and the safety perception they contribute to the cohabitation and the social integration and, therefore, to the integration among autochthonous and immigrants' groups.

Safe urban spaces feed the sense of affiliation to the place and the sense of affiliation strengthens the social integration, also the one of individuals differing in terms of culture (Patalano, 2006). The vitality of an urban space, or the continuous and variegated attendance of a place, is one of the qualities of the urban safety; besides the coexistence of people operating spontaneous overseeing, vitality increases interactions among the ones belonging to the local community, by offering further sap to the integration of the diversity (Body-Gendrot, Martiniello 2016).

It is accidental the fact that the earlier main contributions on these problem were authored by two researchers (Jacobs, 1961; Wood 1961) who face the urban (the former author) and the spatial (the former one) organization with attention, but without exasperation, by paying attention also on the particular aspects of the female safety.

3. The possible actions

In order to realize an inter-cultural city, the urban plan (u. p.) is only one of the necessary tools or, more precisely, the u. p. is the tool regulating a spatial dimension aiming to effectively organize the distribution of the activities that the social arrangement requires. The inter-cultural urban planning studies must predispose spaces projected with the share of the community, spaces realized with sustainable and maximally recyclable materials, "beautiful" spaces in which every difference can be felt in safety, spaces that every individual succeeds in perceiving as proper, where each one has the impression to have already been there and, therefore, does not perceive those places as extraneous and dangerous; the public places must be projected to stimulate the meeting among all the citizens; these spaces must be areas for which both the maintenance and the management are easily executable and with low costs (also foreseeing the active participation of the inhabitants); the public areas must not rigidly be determined but they must be easily transformable and adaptable to the continuous changes. The "heart" of the urban Plan is in the Technical Norms of Realization; they must point out in clear way and in terms of performance all the possible shrewdness to pursue the aim of inter-culture. For the direct realization and in the delay to the PUAs, the implementation of the participative process must be anticipated; not as mere affirmation of a principle but pointing out the participative model that mostly fit with the specific socio-cultural reality. The knots to be faced are different, but primarily they concern the lodging, the public spaces and the services for the collectivity.

3.1 Housing

The house, as primary need, is even more important for the immigrants since they cannot receive the residence permit without a domicile and they have difficulty to rejoin the family without a suitable lodging. The housing problem must be solved both for Italian and immigrant citizens. The housing offering must keep in mind of the staircase of the needs that, also united by the lower part or void income, is represented by different demands: homeless, single mothers and fathers, elder people, people with handicap, young couples – straight and homo -, foreigners, etc.

Aiming to urban inter-culture, the system of the assignments should avoid assembling in one building or, even worse, in a same block, only foreigners or only local citizens, and similarly should avoid assembling only disadvantaged categories in one area. The inter-ethnic and inter-social sharing of the residential space is an important component of the process of social and cultural integration. The smaller is the communication among groups (for difference of status or for difference of origin) the greater is the possibility that "special spaces" are formed that isolate themselves from the context and confirm the native vision that, often, in some societies and cultures, strongly penalizes the female component (Boal 2000). If the communication with the immigrated populations is not immediately activated, it will become then very difficult to proceed to a real integration with the autochthonous population (Vallega 2003). The actions to be completed are different and of different type and some can also be activated to limited costs, they can concern: buildings of public ownership not used, under-utilized or improperly used; buildings forfeited to the mafias, unauthorized buildings acquired by the public administration and usable, forms of solidarity residence.

For the buildings recoverable to the housing function, the interventions of restructuring must foresee housing units of different sizes, also with the possibility to adjunct (provisionally) those of smaller surface. The intercultural urban Plan owes define the size of residential components by recalling the principles of the unity of neighborhood and borrowing them for a

project that intervenes more and more on the recovery and the retraining of the existing one, by structurally integrating residence and services. For instance, the project *Sulla soglia - Accompagnamento all'abitare* (promoted by the Provinces in Naples, Caserta and Salerno, from the Region Campania and from the Comune in Naples) that pays particular attention to the female problems, has included the realization of innovative and experimental practices of *co-housing* among immigrants, elder people, young workers, students and it has foreseen the activation of brief courses of formation for the respect of the safety requisite in the residences. The initiative *Mamme di giorno*, started in 2009 to Milan, promoted by Fondo immobiliare etico per l'edilizia sociale, foresees the possibility to have/offer neighborhood kindergarten in the house for the resident families in the new lodgings of social housing. It stands for a stimulus to the local economy, to the job and the self-production, beyond the creation of bonds within neighborhood. The initiative tends to reconcile job and family – a typical female problem – and to facilitate the emerging from the black market labour, the insertion in the world of the job both for the young women that for the less youths.

3.2 Collective services

A founding role in the project of intercultural city is developed by the public services, whose sizing and location are competence of the urban plan. The first public service is the school. The friendship among children of different nationality is able to demolish the prejudice and to influence the behaviors of the adults (Aboud, Sankar 2007: 445-453). Kids are poorly conditioned by the cultural preconceptions, because they have the tendency to promote their personal need satisfaction. So school and family can develop a decisive role for the education to the interculturality (Zannoni 2007). In the urban plan the traditional factors of location based (in operation of the scholastic degree) on the unities of neighborhood (united or less) on the rays of accessibility, on the customer base of use and on the net of the service of transport public, is worth also for the intercultural school.

In the intercultural city, among the equipments for the collectivity, must also be included spaces for the reception and the meeting of the local community and also social and cultural integration spaces.

Among the cases of study, there are virtuous interventions that often set attention to the female component; the women are inserted both as promoting subjects of the action and as subjects which the action is turned. The Alma Mater Intercultural Center for the Women of Turin is an example: Italian and immigrated women realized it in 1993. The Center is both a place of reception and aggregation than a place of exploitation of competences and professionalism of the immigrants, through the promotion of new job opportunities (Observatory on the immigration in Piedmont). Alma Mater has developed also besides tutoring courses in Emilia Romagna and Tuscany for the diffusion of a model of economic independence. Always in Turin, the project *Azioni per le Periferie torinesi (AxTO)* foresees the measure *Mai più sole: insieme contro la violenza sulle donne* that concerns - with particular reference to the immigrants - also the realization of reception and listening Counters in informal aggregation places.

Public services for collectivity are central in a project addressed to the multi-cultural city and, in order to confirm the importance of these equipments, we need to remember that ethnic differences are an appraisable good also from an economic perspective (Putnam 2007:137-174). They meaningfully contribute to the production of social capital: an urban territory surely is a fertile environment able to make rise and develop shared values and to contribute to the structuring of a new closed community.

3.3 Public open areas

The life of urban relationship mainly develops in the public spaces and, particularly, in the open areas of the city. Though the quality of the live is also function of the relationships system between the public space and the services accessibility.

The immigrants, both for culture and for lack of aggregation spaces, use more than Italian people the open public spaces. In the public spaces the multifunctionality, the permeability, the polysemy, and the green and performance project must be central elements in the urban project and mostly held effective to activate material and symbolic interactions finalized to the construction of the social relationships among the individuals and the space in which they act.

The technical laws of the urban plan together with the building Rule must foresee intercultural intervention rules and also the maximum social integration. The open spaces must be equip to favor meetings and ethnic mixture that, also in this case, can contribute to avoid the emergence of enclaves in the public spaces.

Other wedge concerns the sport (Gasparini, Cometti 2010). Our attention is payed on the daily physical activities that every inhabitant could want to practise. Remembering that urban standard regard not only the sport spaces but also the leisure

time spaces, it is useful that together with the space equipped for the sporting activities, areas is also equipped for sedentary activity. An example can be the "table games" that, generally practiced from the older population. This type of games can be enriched from the games typical of other cultures. Another step can be the creation of spaces where can be practised the "street games", where every child can know the games of the children of other Countries.

The urbane Plan must foresee the re-examination and the possible reorganization of the urban areas, also keeping in mind some small surfaces able to be used for least activity and the urban laws must regulate the interventions so that the school open areas can also be accessible also from an external use.

Cities, in conclusion, must be thought as a place characterized by a balanced development among society and social demands, guaranteeing dignified lodgings, infrastructures and integrated services and public participation to the choices of the Administration. Such objectives must be pursued in the light of the principles that regulate the good course and the accessibility and the transparency of the Public Administration: only in this way a correct sustainable growth of the whole social fabric of a territory can be pursued.

4. CastelVolturno and the masterplan

Two the motivations that have brought us to designate Castel Volturno as place of study and project. The first reason is the big immigrants presence on the territory: 3.880 regular immigrants compared to a population of 25.281 inhabitants, therefore 15,3% of the total one of inhabitants.

The second reason concerns, instead, the elevateddecay state in which pours the territory, due not only to the problem of the many abandoned or partly destroyed houses in Castel Volturno, but also, and above all, the absence of services to the population that lives that places; Urban Services that must answer to the demands of a changed population. Castel Volturno is a municipality in which the urbanization process has totally unhooked from the services.

So te city of Castel Volturno can be considered the ideal scenery for the development of concrete opportunities of integration among populations of different cultures.

The project aim is to offer occasions to know who is different and to allow to the natives to recognize themselves in in the places daily lived of their city, togheter with "new" people.

The thick foreign component that lives Castel Volturno, in fact, has often been cause of inside conflicts, whit autochtonous population.

Heart of the project becomes, inevitably, the desire to give space to the population of Castel Volturno, a population that the events have changed making it a multietnich popolutation. A population that pose a new demand.

The concept of "space" to which we do reference it is only not understood as realization of physical space, but also as possibility of all the components of the population, without distinctions of etnia, to assume a role inside the urban society.

In reason than said, the choice of the district in which to operate has been dictated by the results of an analysis turns on the territory of Castel Volturno, stamped on the search of the places with great concentration of foreign population. From the analysis it is possible to identify two districts ethnically characteristics: the first one more to south continuing toward Villaggio Coppola, in the zones of Messina street, Caltanissetta street and Palermo street; the second in the zone of Right Volturno.

Among the two we select the district of Right Volturno as area of intervention, predominantly residential zone, crossed by a road axle - Avenue Anthony Gramsci that it continues then at the street Phillip Brunelleschi - that ransom the whole area. The first step regards the localization of urban services.

In this area there are a Christian church, two Pentecostal churches and a supermarket, over then a private postal office and the center of the Asl district 23. So it's clear that there are few opportunities of development for the citizens and for the same city, few occasions, in spatial terms, to do community and to integrate with whom is different.

The intention has fundamentally been to bring life in a place that seems by now to have it lost, so that can again become attractive, accessible to everybody, and in which different cultures can succeed to pacifically cohabit with the entertaining society.

Further passage has been the individualization of the roads to retrain and to make practicable in the new urban project. So we have compared the proposals of the preliminary of urban plan: some roads has been designated already from the plan as object of recovery. In parallel we have improved with the localization of buildings subjects to recovery.

Every of these buildings can be an opportunity to give funzionalità to the district, because the project provide to insert of services for the community.

Another step is the localization of urban voids. So thanks to the sum of more interventions ferrules, the project aims to connect various urban areas.

The avenues the main threads of urban restyling, through which it is possible to reach every some anticipated services in the district, as well as to live the same district.

Departing from the principal road axle, avenue Gramsci and then on the Brunelleschi street, the project has articulated in three macros fields: the first one is the urban green spaces, with the realization of a new pine grove beyond the Voltorno, and of green spaces with sensorial runs. The second regards the places of the productivity, a productivity able also to do community; the third aims to develop integration spaces, making lever on the lack of services for the community, especially immigrants services and, therefore, it explain also the choice to add new services that can become themselves new integration places.

Green spaces

In the urban green, the first initiative has been the prevision of sensorial gardens, that are green spesces with typical essences of south Italy and also of the countries of origin of the immigrants. In particularly we provide to place Africans and east european essences togheter with Mediterranean typical vegetation.

This garden will be realized in the spaces among the built, for the purpose to create some green traces of him pine, trees of banana tree, to trees of mangrove, or still among plants of heather or ulivo. In this way also a green area among the built can be example of integration. Together with the gardens of sense, peculiar it is also the hypothesis of the realization of a new pine grove for Castel Voltorno, symmetrical to the note pine grove of Villaggio Coppola. The principal road system of the pine grove proposes the rigid weft of Roman *centuriatio*, alternate with a less rigorous layout for the inside secondary runs.

Productivity places

The project provides to convert the interstitial voids in urban gardens. This garden will be farmed by inhabitants – Italians and immigrants-, with the double purpose to guarantee the insertion in the market of the job to more people, and to educate to the knowledge of the typical nature of the place in which they lived. The project provides also the realization of handicraft laboratories, localized in some fosaken or not-ended buildings, ividualized on the territory. In the various laboratories it is anticipated the insertion of devoted activity to the tailoring, to the workmanship of the wood, to the painting. The principal objectives of the handicraft laboratories become the greatest social inclusion with consequent reduction of exclusion, the acquisition of new competences and occupational affairs, the opportunity to effectively use the leisure time and, finally, the involvement of the population in activity able to increase the same productivity of the territory. The core of this field is the multiethnic market, in which the inhabitants can sell the urban garden alimentary products and also the craftsmanship coming from the laboratories. A space in which the autochtonous and the immigrants can offer the fruit of their own job, in communion with the others. The market become an innovative and dynamic space, a space of economic and social interchange.

Integration spaces

Sees the strong presence of social and cultural associations - not only for immigrants - the third field of intervention aspire to create of new services for the population.

Particularly, the project provides an elementary and maternal school that, in the daytime, can be used by the children, autochtonous and immigrants, while in the evening, can become a multilingual evening school managed from voluntary.

Exploiting the presence in the district of the Asl district 23, we provide the insertion of an ambulatory for Present Foreigners Temporarily. Another service provided is the initial reception center, as branch of Center Caritas Fernandes site beyond the Voltorno.

Still, to the border with Donatello street - in the proximities of *Lago Piatto*- in some ample green spaces abandonment, the project foresees the realization of a small complex of services for the food services.

Two are the particularities that define this intervention: first of all, in this new points you can taste all the typical ethnic meal, than the structure that can be realized will must be a minimum structures environmental impact, because we are in an are a with a geological and waterflow restrictions.

To these services, clearly turned to the population in all of its variety, interstitial spaces are alternated turned to equipped plazas, in which the citizens can meet and to spend some time. Peculiarity of these plazas will be the insertion in every of them, of bronze statues representing "common people" symbolic for the society and the city, able to tell the reality of the new Castel Volturno.

In last, but not for last, the line of the people coincides with a cycle-pedestrian run that crosses the whole zone of right Volturno, passing by the principal street and inserting itself in the inside roads of great interest. The runs are only traversable by car only in some hours. The houses in the district will be all renovated. The line of the people will be a decisive mark for the district of Right Volturno. That sign that answers in productive way, to a new society, which pretends, a physical – and social- change of the city, which looks not still able to answer to the demands of the citizens.

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Appendixes

Bianca Petrella wrote the paragraphs from 1 to 3 and Claudia de Biase wrote the paragraph 4.

Figures

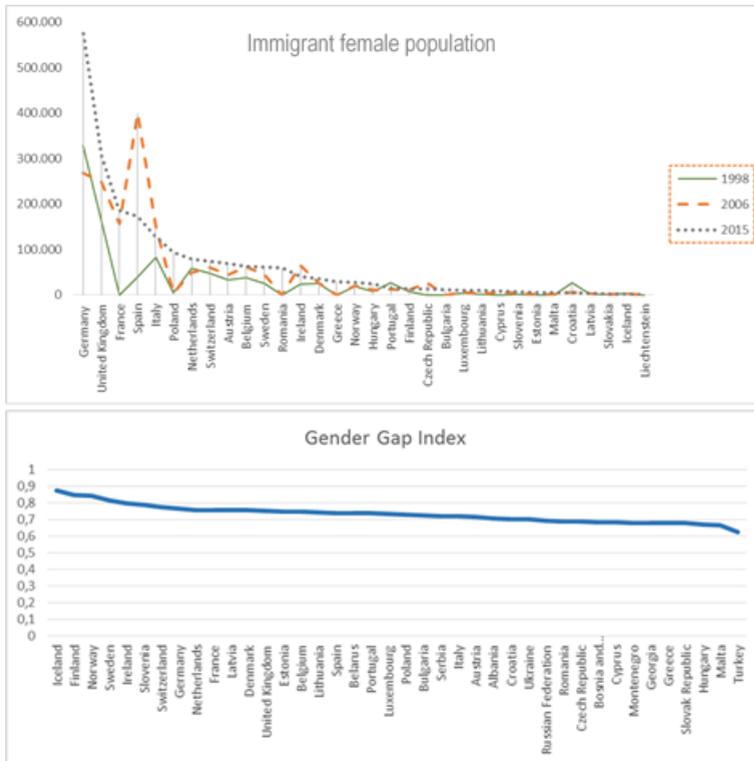


Figure 1 -The two charts show the variation of the immigrant women by 1998 to 2016 (up) and the condition for women in the host country (bottom). Based on data from: Eurostat (http://appsso.eurostat.ec.europa.eu/nui/show.do?dataset=migr_imm2ctz&lang=en) and International e World Economic Forum (<http://reports.weforum.org/global-human-capital-report-2017/dataexplorer/>).

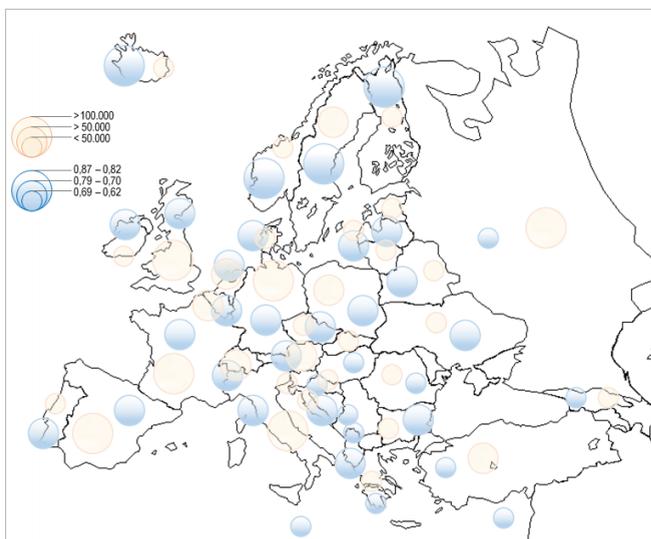


Figure 2 - The chart shows both the number of immigrant women (yellow colour) and the gender gap (blue colour) in the European countries that host them. Based on data from: Eurostat (http://ec.europa.eu/eurostat/statistics-explained/index.php/Migration_and_migrant_population_statistics/it) and World Economic Forum (<http://reports.weforum.org/global-gender-gap-report-2016/rankings/>).

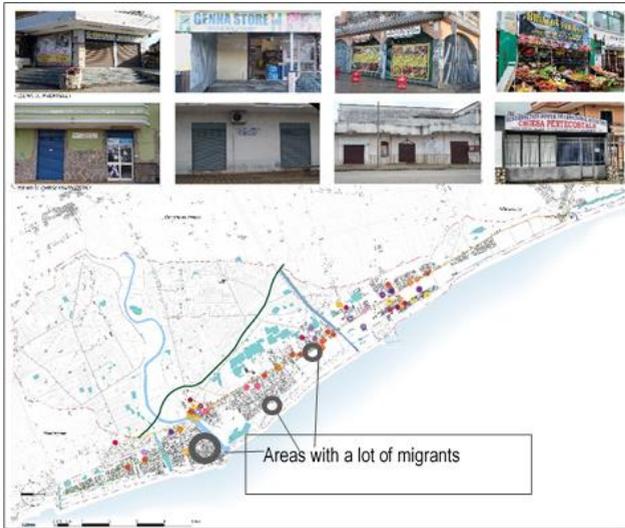


Figure 3 - The planimetry shows the location of the collective facilities in Castelvolturno, including services for immigrant. Marina Manna has made the picture for the diploma thesis with the supervisor Claudia de Biase.



Figure 4- The Master Plan to redevelop the urban area of Castelvolturno to give better urban living conditions to the immigrants and native population. Marina Manna has made the picture for the diploma thesis with the supervisor Claudia de Biase.

The Role of Content Strategy in Social Media on Brand Post's Popularity: a Case of Higher Education Institutions in Turkey

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Abstract

The highly competitive higher education market has turned to branding as a solution for dealing with today's global challenges. One important tool of a sustainable brand strategy involves forming brand fan pages and attracting followers on social networking web sites. Implementing effective content strategy on brands' fan pages can help to form and foster relationships with the target group. Thus the aim of this study is to understand the role that content strategy in social networking web sites plays in determining the popularity of brand posts' created by leading higher education institutions in Turkey. Results indicate that the top ten higher education institutions in Turkey most commonly made posts representing the Text + image + link content type. The majority of posts to community members were created by the institutions themselves, involved university news and were primarily made on weekdays between noon and 18:00. Additionally, MANOVA analyses were conducted to investigate the role of various elements of content strategy on brand posts' popularity. Results indicate that content type, content agility, content context, posting type, and posting day significantly impact the number of likes, shares and comments, which are indicators of brand posts' popularity.

Keywords: Higher Education Institutions, Social Media, Brand Post Popularity.

Introduction

With little to no cost and constant growth, social media is able to bring together a large number of people from different backgrounds to create, modify, share and discuss Internet content (Keitzmann *et al.*, 2011; Tafesse, 2015). According to the Digital, Social & Mobiles' 2017 report, there are currently 2.789 billion active social media users all over the world, which means roughly 37 percent of the world's population is active on social media sites (We Are Social, 2017). There are 48 million active social media users in Turkey, which means approximately 60 percent of Turkey's population is active on social media sites (We Are Social, 2017). Although these numbers don't demonstrate the singular usage, they do undoubtedly indicate the tremendous marketing opportunities that social media offers.

Social media platforms serve as excellent vehicles for fostering relationships with customers. One specific way to do this is to form brand fan pages and attract followers on social networking web sites like Facebook, Twitter, Instagram etc. (De Vries *et al.*, 2012). More than ever, users demand brand interactions on social media. In fact, Millennials (48.6%) and Gen Xers (48.8%) are twice as likely to follow a brand on social media as Baby Boomers (24.5%) are (Sprout Social, 2017). So, creating brand fan pages and attracting followers have great potential for brands targeting Millennials and/or Gen Xers (ages 18-54). Marketers who wish to take advantage of these 'new forms of customer empowerment' (Cova & Pace, 2006, p. **) have to understand the attractiveness of brand-related interactions on social media sites for their target consumers (Muntinga *et al.*, 2011).

Brand fan pages facilitate customers' relationship with the brand (McAlexander *et al.*, 2002), and also provide information about the brand (Bagozzi & Dholakia, 2002), thereby encouraging and accelerating its fame (Lipsman *et al.*, 2012). On these brand fan pages, companies can make brand posts containing photos, videos, or other material (De Vries *et al.*, 2012). Some brand posts attract many people and become increasingly popular, while others are ignored by fans (Chua & Banerjee, 2015). Thus, brands face the challenge of developing and sharing content that builds and sustains the popularity of its posts on social media sites (Chauhan & Pillai, 2013). Similarly, higher education institutions as brands have to design their digital content strategy in such a way that it expands its relationship with their audience. Since popular brand posts facilitates higher education institutions' connection with current and prospective students, employees, etc, the current study

attempts to understand how content strategy in social networking web sites influences the popularity of brand posts created by leading higher education institutions in Turkey.

Literature Review

Brand Fan Pages and Brand Posts Popularity

Social media covers a wide range of platforms involving social networking sites (like Facebook), blogs (like Blogger or Wordpress), picture sharing web sites (like Flickr or Pinterest), video sharing web sites (like YouTube), wikis (like Wetpaint), social bookmarking web sites (like Delicious), content bookmarking web sites (like MERLOT), etc. (Penpece, 2013). Despite their similarities, the design of social networking sites differs considerably, making it essential to investigate these sites separately (Kietzmann *et al.*, 2011; Trefzger *et al.*, 2016). Facebook is currently the largest social networking site and the third most visited webpage after Google.com and Youtube.com (Alexa Analytics, 2017). Users on Facebook create their own profile and typically invite others into their networks (Ellison *et al.*, 2011). A brand can also build its presence in the form of a "Page", a feature which was launched by Facebook in 2007 (Chauhan & Pillai, 2013). Approximately 65 million business pages are active on Facebook in some way (Smith, 2017). Members or followers of such brand fan pages may perform a bridging function with other individuals (Palazón *et al.*, 2015), since Facebook friends of those who already follow a given brand's Page can be considered potential followers of the brand fan page (Ellison *et al.*, 2011). Because of this potential, this study focuses specifically on brand fan pages on Facebook.

Users simply have to 'like' the brand fan page, if they want to connect with a brand. Once this is done, a brand's posts are seen by users in their personal News Feed, where the largest portion of users' time is spent (Lipsman *et al.*, 2012; Trefzger *et al.*, 2016). So, it is highly likely that users will see the brand posts shared by fan pages. Brand post content is the instrument that stimulates interaction, since content-related activities reach, engage and establish a relationship with target audiences, thereby raising brand or company awareness (Penpece, 2013; Sabate *et al.*, 2014). Successful content is adopted by fans. Thus, content reaches popularity, thanks to those fans' online behaviors (Sabate *et al.*, 2014). People's behaviors on Facebook are not always the same (Kim & Yang, 2017). Fans can reflect their thoughts, feelings, likes, and dislikes (Kietzmann *et al.*, 2011). Besides brand fans in return interact with the brand posts through comments and shares (Chua & Banerjee, 2015). Some studies have defined brand post popularity as the number of 'likes' and the number of 'comments' on a brand post (De Vries *et al.*, 2012; Sabate *et al.*, 2014; Tafesse, 2015), while others have focused on the number of 'likes', 'comments', and 'shares' (Cho *et al.*, 2014; Chua & Banerjee, 2015; Kim & Yang, 2017). Although a simple click is enough for a 'like', behaviors such as 'comment' and 'share' require additional actions and may indicate a greater degree of commitment or cognitive involvement on the part of the user. Therefore, in order to determine what to show to users, Facebook assigns different weights to these behaviors, with 'like' weighted least and 'share' weighted highest. Thus, the strategic significance of each behavior may differ (Kim & Yang, 2017), making it important to include all three of these behaviors when investigating brand post popularity.

The literature suggests that the brand posts popularity is driven by two factors, namely, customers' motivation (Muntinga *et al.*, 2011) and the nature of brand posts, i.e., content type, context, agility, interactivity, vividness, and novelty (Chua & Banerjee, 2015; De Vries *et al.*, 2012; Kim & Yang, 2017; Sabate *et al.*, 2014; Tafesse, 2015). The content shared by the brands as a brand post follows a sequential process of perception creation. Then popular brand post builds positive attitudes and fall into favorable behavior about brand (Peng *et al.*, 2004). In the competitive online environment, the content strategy followed by brands is critical. As such, the study attempts to understand the role of content strategy on brand posts' popularity as evidenced by the number of likes, comments and shares.

Higher Education Institutions on Social Media

The higher education market is now well established as a global phenomenon (Hemsley-Brown & Oplatka, 2006). As a result of increasing competition in national and international environments and changing social contexts, higher education institutions are now driven by the need to market themselves (Alexa *et al.*, 2012; Hemsley-Brown & Oplatka, 2006). In today's complex and highly competitive marketplace, brand management has become increasingly important (Pinar *et al.*, 2011). Thus, higher education institutions recognize the need to embrace a sustainable brand strategy (Pinar *et al.*, 2011) and have turned to branding in order to deal with today's global challenges (Whisman, 2009). The importance of branding is acknowledged by higher education institutions in Turkey too, since they also operate in a highly competitive environment. The higher education market in Turkey has significantly developed during last decade with the number of universities in Turkey rising from 77 in 2006 to 185 in 2017 (www.yok.gov.tr). Higher education institutions in Turkey are aware of this

sharp shift in the market and have responded by using tactics such as branding to gain a competitive advantage and capture a part of the international market.

Marketers have also become increasingly aware of social media adoption and they are forced to find new ways to reach and interact with potential customers (Constantinides & Stagno, 2011). In the light of these developments, it is expected that many higher education institutions will have to keep up with social media applications and social media users (Selwyn, 2011). Due to the high adoption rates of social media by those in the younger generation, engaging with social media is an extremely attractive branding tool for higher education institutions (Constantinides & Stagno, 2011). According to the results of a Pew Research Center survey, young adults in America use social media, in particular Facebook, at high rates (Greenwood et al., 2016). Therefore higher education institutions can effectively connect and engage with their core target group and with various stakeholders, like current and prospective students, alumni and employees using social media.

In addition to assisting in the formation and maintenance of interpersonal connections, social media networking sites like Facebook can also guide students entering an unfamiliar social system, such as a higher education setting (DeAndrea et al. 2012). The millennial generation in higher education is a digitally native one with considerable social media experience (Wankel, 2009). Their use of online social networking sites not only facilitates the development of satisfying relationships with peers, but also fosters integrity and students' connection to their universities (Yu et al., 2010). Moreover, both online reviews/forums and social networking sites affect student's university search and choice at different levels (Lehmann, 2015), indicating that there is great potential benefit for higher education institutions if they can harmonize social networking sites with other branding tools. Higher education institutions in Turkey are increasingly using social networking sites as part of their programs. For example Boğaziçi University has a strong community of more than 115,000 members and 110,000 followers on Facebook and 64,000 followers on Twitter. Although there are numerous studies regarding the importance of social networking sites, very few of them pay attention to higher education institutions. Thus the purpose of this study is to fill this gap by investigating how content strategy on social networking web sites influences the popularity of brand posts created by leading higher education institutions in Turkey.

Research model and hypotheses

Relevant literature has mainly focused on how content strategy influences the audiences' response in terms of likes, comments and/or shares of brand posts (De Vries et al., 2012; Sabate et al., 2014; Tafesse, 2015). The key aspects of each post that determine the probability of interaction include content type, content agility, content context, posting type, and posting day. The customer's relationship with the brand, evidenced by the number of likes, comments, and/or shares, may be dependent on all these factors. Thus the research model was developed and shown in Figure 1.

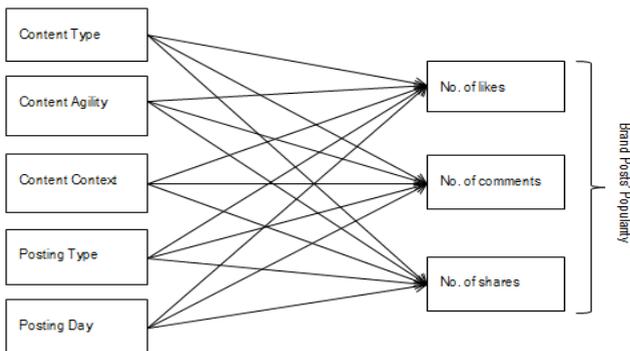


Fig.1. The conceptual model of the research

In this context, the key aspect of content strategy is the type of content. Some studies referred the content type as informational and entertaining etc. (De Vries et al., 2012; Tafesse, 2015). In this study, content type is referred to as text, image, video, link or a combination of them. The combination of text, image, video, and/or link is generally ignored by most of the studies. The literature suggests that content type including text, image, video, link etc. has significant impact on brand post popularity at different levels (Chauhan & Pillai, 2013; Sabate et al., 2014; Kim & Yang, 2017). Thus the following hypothesis is proposed:

H1. The content type has significant impact on number of likes, comments, and shares.

The audiences' response in terms of likes, comments and shares of brand posts is also affected by the time of day during which the post was made, defined in this study as content agility. When designing the posting schedule, identifying the customers' typical hours of activity is crucial (Sabate et al., 2014) so as to increase the probability of likes, comments and shares of the content. As such, the following hypothesis is proposed:

H2. The extent of content agility has significant impact on number of likes, comments, and shares.

The subject of the brand post is likely to influence audiences' response in terms of likes, comments and shares. In this study, the subject of the brand post is defined as content context. The following hypothesis is proposed:

H3. The content context has significant impact on number of likes, comments, and shares.

Brands in social networking sites can either create their own messages for members and non-members or they can share content that is generated by others. In this study, this is referred to as posting type. Relative to shared content, posts created by a company have been found to more positively impact the number of likes, comments and shares received (Kim & Yang, 2017). Thus the following hypothesis is proposed:

H4. The posting type has significant impact on number likes, comments, and shares.

The day of the week on which the content is posted is called posting day. Previous studies show that most user activity on social networking sites occurs during weekdays (Golder et al., 2007), suggesting that those are the days during which customers are most likely to interact with brand posts. Hence, the following hypothesis is proposed:

H5. The posting day has significant impact on number of likes, comments, and shares.

Methodology

The higher education market in Turkey has rapidly developed during the last decade, making it necessary for higher education institutions to adopt a brand strategy. Engaging with social media as a higher education branding tool has great potential for higher education institutions. A brand fan page may perform a bridging function whereby members and non-members can have access to, and interact with, brand post. Thus content strategy is important in gaining brand post popularity. This study makes an attempt to contribute to the higher education literature by studying the influence of content strategy in social networking web sites on brand posts' popularity. Since Facebook is currently the largest social networking site, this study focuses on brand fan pages found on Facebook.

Sample and Data Collection

This study focuses on higher education institutions in Turkey. University rankings were used to identify the leading higher education institutions since it is presumed that higher-ranked institutions may more actively focus on content strategy on their brand fan pages. The Webometrics Ranking of World Universities was used here, as it offers ranking based on universities' web presence. The top ten higher education institutions selected based on their Webometrics Ranking are: Middle East Technical University (METU), İstanbul Technical University (ITU), Boğaziçi University (BOUN), Bilkent University (BU), İstanbul University (IU), Ankara University (AU), Hacettepe University (HU), Anadolu University (ANU), Ege University (EU), and Gazi University (GU) (see Annex 1).

The Facebook fan pages of these higher education institutions in Turkey were tracked for a period of one month, from July 1 to 31, 2017. The vast fan base of these brand pages are shown in Table 1. During this one-month period these institutions made a total of 340 posts (Table 1).

Table.1. The number of brand fans and posts

| | Number of posts | Number of fans |
|------|-----------------|----------------|
| METU | 32 | 120.061 |
| ITU | 47 | 79.672 |
| BOUN | 59 | 116.360 |
| BU | 15 | 70.374 |

| | | |
|-------|-----|---------|
| IU | 44 | 121.113 |
| AU | 11 | 69.370 |
| HU | 39 | 81.050 |
| ANU | 82 | 200.013 |
| EU | 7 | 30.784 |
| GU | 4 | 12.780 |
| Total | 340 | |

Variables

All Facebook posts were recorded and coded based on the elements of content strategy. In this study, brand post popularity is defined as the number of likes, comments, and shares on a brand post. Brand post popularity may be dependent on factors like content type, content agility, content context, posting type, and posting day. These factors are easily measurable and available free of cost. In this study, the content type variable was classified into the following 9 categories, which were adapted from Chauhan and Pillai's (2013) research: text only, image only, video only, link only, text + image, text + video, text + link, text + image + link, text + video + link. There is no clear agreement in the literature on the different temporal patterns proposed (Chauhan and Pillai, 2013; Sabate et al., 2014). In this study, content agility was assessed based on 4 six-hour time slots (00-06, 06-12, 12-18, 18-24) and posts were coded accordingly. Content context was classified into six categories adapted from Chauhan and Pillai's (2013) research: university news, alumni news, students' news, country and business news, education news and general engagement, (i.e., festival wishes, engagement with users about current affairs and so on). Posting day was divided into two categories based on Sabate et al.'s (2014) research: weekdays and weekends. Lastly based on Kim and Yang's (2017) research, brand posts were grouped into two categories: created and shared. The information related to these factors were gathered from each post on higher education institutions' fan pages that were made within a one-month period.

Analysis and results

First of all, reliability of the data was tested by intercoder reliability. Intercoder reliability measures the extent to which independent judges make the same coding decision in evaluating the characteristics of messages (Lombard et al., 2002). In order to eliminate the impact of the researcher's subjective values and judgments, two postgraduate students participated in the evaluation process. Reliability analysis produced a Cronbach's alpha score of about 86%, indicating suitable intercoder reliability.

The content type shared by the top ten higher education institutions in Turkey are shown in Table 2.

Table.2. Content type results

| Content type | METU | ITU | BOUN | BU | IU | AU | HU | ANU | EU | GU | Total |
|-----------------|------|------|------|------|------|------|------|------|-------|------|-------|
| Text only | 0.0 | 2.1 | 1.7 | 0.0 | 0.0 | 27.3 | 7.7 | 0.0 | 0.0 | 0.0 | 2.4 |
| Image only | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 9.1 | 0.0 | 17.1 | 0.0 | 0.0 | 4.4 |
| Video only | 0.0 | 23.4 | 0.0 | 0.0 | 0.0 | 9.1 | 5.1 | 1.2 | 0.0 | 0.0 | 4.4 |
| Link only | 3.1 | 0.0 | 0.0 | 0.0 | 18.2 | 27.3 | 0.0 | 1.2 | 0.0 | 0.0 | 3.8 |
| Text+image | 15.6 | 42.6 | 40.7 | 20.0 | 2.3 | 0.0 | 74.4 | 4.9 | 100.0 | 25.0 | 27.6 |
| Text+video | 0.0 | 2.1 | 0.0 | 6.7 | 68.2 | 18.1 | 12.8 | 0.0 | 0.0 | 0.0 | 11.5 |
| Text+link | 0.0 | 0.0 | 0.0 | 0.0 | 9.1 | 9.1 | 0.0 | 0.0 | 0.0 | 50.0 | 2.1 |
| Text+image+link | 56.3 | 25.5 | 57.6 | 40.0 | 2.3 | 0.0 | 0.0 | 75.6 | 0.0 | 25.0 | 39.4 |
| Text+video+link | 25.0 | 4.3 | 0.0 | 33.3 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 0.0 | 4.4 |

The most common content type observed was Text + image + link with nearly 39 percent of the 340 total posts including content consisting of text, image and link. In particular, METU, BOUN, BU and ANU heavily used the Text + image + link

content type. The second most preferred type is Text + image, which comprises nearly 28 percent of total posts. Almost 12 percent of posts have Text + video content, while just over 2 percent of posts have text only, and 3.8 percent of posts have link only content. Three kinds of content type – image only, video only, and text + video + link – represent the same percentage (4.4%) of total posts. The Text + link content type is the least used by these institutions. The majority of observed content contain text since posts typically include introductory text that provides a brief introduction to the content and encourages community members to click on the image, video or link. Finally, none of the observed posts contain audio.

The content agility results of the sample are shown in Table 3.

Table.3.Content agility results

| Content agility | METU | ITU | BOUN | BU | IU | AU | HU | ANU | EU | GU | Total |
|-----------------|------|------|------|------|------|------|------|------|------|-------|-------|
| 00-06 | 0.0 | 2.1 | 0.0 | 0.0 | 0.0 | 45.4 | 0.0 | 1.2 | 0.0 | 0.0 | 2.1 |
| 06-12 | 28.1 | 27.7 | 17.0 | 13.3 | 11.4 | 9.1 | 48.7 | 37.8 | 42.9 | 100.0 | 28.5 |
| 12-18 | 62.5 | 59.6 | 30.5 | 60.0 | 84.1 | 27.3 | 43.6 | 58.6 | 42.9 | 0.0 | 53.8 |
| 18-24 | 9.4 | 10.6 | 52.5 | 26.7 | 4.5 | 18.2 | 7.7 | 2.4 | 14.2 | 0.0 | 15.6 |

The majority of posts, almost 54 percent, were made between noon and 18:00. Almost 29 percent of total posts were made between 06:00 and noon, while nearly 16 percent of total posts occurred from 18:00 to midnight. Overall, these institutions very rarely made posts between midnight and 6 a.m. ITU, AU and ANU made posts during all time periods.

The results for content context of posts made by the top ten higher education institutions in Turkey are shown in Table 4.

Table 4. Content context results

| Content context | METU | ITU | BOUN | BU | IU | AU | HU | ANU | EU | GU | Total |
|---------------------------|------|------|------|------|------|------|------|------|------|------|-------|
| University news | 75.0 | 74.4 | 72.8 | 86.7 | 84.0 | 72.7 | 76.9 | 74.4 | 85.7 | 25.0 | 75.9 |
| Alumni news | 12.5 | 8.5 | 5.1 | 0.0 | 0.0 | 0.0 | 0.0 | 1.2 | 0.0 | 0.0 | 3.5 |
| Students' news | 6.3 | 4.3 | 5.1 | 0.0 | 2.3 | 0.0 | 0.0 | 7.3 | 0.0 | 0.0 | 4.1 |
| Country and business news | 3.1 | 6.4 | 3.4 | 0.0 | 2.3 | 9.1 | 0.0 | 3.7 | 14.3 | 0.0 | 3.5 |
| Education news | 0.0 | 6.4 | 8.5 | 13.3 | 9.1 | 18.2 | 0.0 | 4.9 | 0.0 | 50.0 | 6.5 |
| General engagement | 3.1 | 0.0 | 5.1 | 0.0 | 2.3 | 0.0 | 23.1 | 8.5 | 0.0 | 25.0 | 6.5 |

Almost 76 percent of total posts were related to university news. This may be due to the month during which this study was conducted, since students in Turkey make university selections in July. As such, institutions may have prioritized content consisting of information about the institution and its departments, ranking attained by institutions, updates about universities and their achievements, various formal and informal events held at the institution and so on. Two kinds of content context – education news and general engagement, i.e., festival wishes, engagement with users about current affairs and so on – represent the same percentage (6.5%) of total posts. Such forms of general engagement enhance the relationship between the brand and community members. Almost 4 percent of total posts were related to student news, while country and business news, and alumni news, both made up 3.5 percent of total posts. BOUN and ANU made posts representative of all content contexts.

The results for posting type are shown in Table 5.

Table.5. Posting type results

| Posting type | METU | ITU | BOUN | BU | IU | AU | HU | ANU | EU | GU | Total |
|--------------|------|------|------|------|------|------|-------|------|-------|------|-------|
| Created | 56.2 | 70.2 | 62.7 | 66.7 | 72.7 | 45.5 | 100.0 | 30.5 | 100.0 | 25.0 | 60.9 |

| | | | | | | | | | | | |
|--------|------|------|------|------|------|------|-----|------|-----|------|------|
| Shared | 43.8 | 29.8 | 37.3 | 33.3 | 27.3 | 54.5 | 0.0 | 69.5 | 0.0 | 75.0 | 39.1 |
|--------|------|------|------|------|------|------|-----|------|-----|------|------|

Almost 61 percent of total posts included content that was created by institutions. HU and EU didn't use any shared content.

Results based on posting day are shown in Table 6.

Table 6. Posting day results

| Posting day | METU | ITU | BOUN | BU | IU | AU | HU | ANU | EU | GU | Total |
|-------------|------|------|------|------|-------|------|-------|------|-------|-------|-------|
| Weekdays | 81.2 | 85.1 | 72.9 | 93.3 | 100.0 | 81.8 | 100.0 | 81.7 | 100.0 | 100.0 | 86.2 |
| Weekends | 18.8 | 14.9 | 27.1 | 6.7 | 0.0 | 18.2 | 0.0 | 18.3 | 0.0 | 0.0 | 13.8 |

Almost 86 percent of total posts were made by institutions during weekdays. IU, HU, EU and GU didn't share any content during weekends.

In the second stage of analysis, the influence of these various elements of content strategy on higher education institutions' brand post popularity was analyzed using a factorial MANOVA. The independent variables are nominal and the dependent variables (i.e., number of likes, comments and shares) are on an interval scale. Table 7 shows only the factors that significantly impact the number of likes, shares, and comments. Other interactions haven't been shown in Table 7 because they were found to be statistically insignificant with p-values greater than 0.05.

Table 7. MANOVA results

| | | Value | F | Sig. |
|--------------------------------|--------------------|-------|---------|-------|
| Intercept | Pillai's Trace | 0.426 | 59.341 | 0.000 |
| | Wilks' Lambda | 0.574 | 59.341 | 0.000 |
| | Hotelling's Trace | 0.742 | 59.341 | 0.000 |
| | Roy's Largest Root | 0.742 | 59.341 | 0.000 |
| Content type | Pillai's Trace | 0.910 | 13.165 | 0.000 |
| | Wilks' Lambda | 0.227 | 19.354 | 0.000 |
| | Hotelling's Trace | 2.813 | 27.978 | 0.000 |
| | Roy's Largest Root | 2.596 | 78.523 | 0.000 |
| Content agility | Pillai's Trace | 0.384 | 11.830 | 0.000 |
| | Wilks' Lambda | 0.618 | 14.213 | 0.000 |
| | Hotelling's Trace | 0.617 | 16.359 | 0.000 |
| | Roy's Largest Root | 0.613 | 49.481 | 0.000 |
| Content context | Pillai's Trace | 0.919 | 21.384 | 0.000 |
| | Wilks' Lambda | 0.217 | 32.644 | 0.000 |
| | Hotelling's Trace | 2.982 | 47.444 | 0.000 |
| | Roy's Largest Root | 2.760 | 133.577 | 0.000 |
| Posting type | Pillai's Trace | 0.223 | 22.987 | 0.000 |
| | Wilks' Lambda | 0.777 | 22.987 | 0.000 |
| | Hotelling's Trace | 0.287 | 22.987 | 0.000 |
| | Roy's Largest Root | 0.287 | 22.987 | 0.000 |
| Posting day | Pillai's Trace | 0.059 | 5.005 | 0.002 |
| | Wilks' Lambda | 0.941 | 5.005 | 0.002 |
| | Hotelling's Trace | 0.063 | 5.005 | 0.002 |
| | Roy's Largest Root | 0.063 | 5.005 | 0.002 |
| Content type * Content agility | Pillai's Trace | 0.946 | 7.964 | 0.000 |
| | Wilks' Lambda | 0.164 | 14.233 | 0.000 |
| | Hotelling's Trace | 4.437 | 25.216 | 0.000 |
| | Roy's Largest Root | 4.291 | 74.167 | 0.000 |
| Content type * Content context | Pillai's Trace | 0.499 | 4.025 | 0.000 |
| | Wilks' Lambda | 0.573 | 4.089 | 0.000 |
| | Hotelling's Trace | 0.625 | 4.146 | 0.000 |
| | Roy's Largest Root | 0.352 | 7.096 | 0.000 |

| | | | | |
|-----------------------------------|--------------------|-------|--------|-------|
| Content agility * Content context | Pillai's Trace | 0.921 | 10.723 | 0.000 |
| | Wilks' Lambda | 0.178 | 18.836 | 0.000 |
| | Hotelling's Trace | 4.085 | 32.495 | 0.000 |
| | Roy's Largest Root | 3.952 | 95.632 | 0.000 |
| Content context * Posting type | Pillai's Trace | 0.483 | 15.461 | 0.000 |
| | Wilks' Lambda | 0.525 | 19.688 | 0.000 |
| | Hotelling's Trace | 0.891 | 23.636 | 0.000 |
| | Roy's Largest Root | 0.875 | 70.606 | 0.000 |
| Content context * Posting day | Pillai's Trace | 0.210 | 3.652 | 0.000 |
| | Wilks' Lambda | 0.799 | 3.744 | 0.000 |
| | Hotelling's Trace | 0.240 | 3.818 | 0.000 |
| | Roy's Largest Root | 0.176 | 8.538 | 0.000 |

The Box's test of equality of covariance matrices was found to be significant, as Box's M was 720.252 (Sig. 0.000). The Levene's test of equality of error variances for all dependent variables was significant. F value which belongs to like of posts was 2.783 (Sig. 0.000). Additionally F values were 10.401 (Sig. 0.000) for share and 3.746 (Sig. 0.000) for comment. According to results, content type, content agility, content context, posting type, and posting day have significant impact on number of likes, shares and comments. Thus H1, H2, H3, H4, and H5 are all supported at 5 percent significance level. Hence it implies that probability of engagement with institutions' posts depends on content type, content agility, content context, posting type, and posting day. So all independent variables affect the brand posts popularity. Furthermore, the two way interaction between content type and content agility is significant. Besides content type interaction with content context is significant. The other two way interactions which are statistically significant at 5 percent significance level are: Content agility and content context, content context and posting type, content context and posting day. Five kinds of two way interactions affect the brand posts popularity.

Conclusion

The higher education market in Turkey has developed considerably during last decade. In response to these changes, many universities in Turkey acknowledge the importance of branding in gaining a competitive advantage and capturing a share of the international market. Engaging with social media as a higher education branding tool is an attractive strategy. One specific way to foster relationships with target group is to form brand fan pages and attract followers on social networking web sites like Facebook, Twitter, Instagram etc. To do so, higher education institutions as brands have to design their digital content strategy so as to effectively expand their relationship with their audience. With the help of popular brand posts, higher education institutions can connect with current and prospective students, employees etc. Higher education institutions face a challenge in forming their content strategy to build and sustain the popularity of their brand posts. Thus, this study attempted to understand how content strategy on social networking web sites influences the popularity of brand posts created by leading higher education institutions in Turkey. In this context, the key aspects of each post that comprise content strategy are content type, content agility, content context, posting type, and posting day. The number of likes, comments and shares represent the brand posts' popularity.

The Facebook fan pages of the top ten higher education institutions in Turkey were tracked for a period of one month, from July 1 to 31. Observations indicate that some of these institutions did not actively use their brand fan pages and didn't reply to the questions asked by community members. Community members also expressed the need for English text on fan pages. On the other hand, the majority of higher education institutions used effective content strategy. During the one-month observation period a total of 340 posts were made by these institutions, most of which represented the Text + image + link content type. Additionally, the majority of posts were made between noon and 18:00 during weekdays and included content created by the institutions themselves that dealt primarily with university news. To test the hypotheses, MANOVA analysis was conducted to show the influence of various elements of content strategy on brand post popularity in higher education institutions. According to results, content type, content agility, content context, posting type, and posting day have significant impact on number of likes, shares and comments. Thus H1, H2, H3, H4, and H5 are all supported at 5 percent significance level. So all independent variables affect the brand posts popularity. Finally five kinds of two way interactions which are statistically significant are: content type and content agility, content type and content context, content agility and content context, content context and posting type, content context and posting day. According to Chauhan and Pillai's research (2013) brand posts' numbers of like and comments were affected by content type like this study. But posting day and content context which have effect on numbers of likes and comments were not supported by them. This difference

can have multiple causes. First it may be because posting day variable coded different from them. Second their sample just covers management collages' brand communities. Third these differences may be stem from cultural differences.

Some limitations of the current work need to be mentioned. For example, this study is focused solely on the top ten higher education institutions in Turkey, limiting the generalizability of these results. The study is also limited by the fact that only posts on Facebook fan pages were analyzed. Posts on other social media sites, like Twitter and Instagram should also be analyzed to determine how content strategies influence brand posts' popularity. Lastly, further research can be conducted in various countries to verify the findings and facilitate cross-cultural comparisons.

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Annexes

Annex.1. Ranking Web of Universities in Turkey

| Turkey | | | | | | | |
|---------|--------------|----------------------------------------------------------------------------------|------|----------------|--------------|----------------|------------------|
| ranking | World Rank ▲ | University | Det. | Presence Rank* | Impact Rank* | Openness Rank* | Excellence Rank* |
| 1 | 456 | Middle East Technical University / Orta Doğu Teknik Üniversitesi | ▶ | 780 | 529 | 811 | 505 |
| 2 | 513 | Istanbul Technical University / Istanbul Teknik Üniversitesi | ▶ | 595 | 752 | 591 | 566 |
| 3 | 629 | Boğaziçi University | ▶ | 1462 | 943 | 506 | 660 |
| 4 | 678 | Bilkent University | ▶ | 1197 | 916 | 693 | 801 |
| 5 | 710 | Istanbul University | ▶ | 650 | 1401 | 884 | 681 |
| 6 | 743 | Ankara University | ▶ | 1018 | 1385 | 538 | 802 |
| 7 | 764 | Hacettepe University | ▶ | 501 | 1535 | 927 | 753 |
| 8 | 770 | University of Anatolia / Anadolu Üniversitesi | ▶ | 1126 | 382 | 1445 | 1517 |
| 9 | 796 | Ege University | ▶ | 720 | 1403 | 1287 | 765 |
| 10 | 902 | Gazi University | ▶ | 1585 | 2141 | 1126 | 702 |

Source: <http://www.webometrics.info/en/Europe/Turkey>, Retrieved July 13, 2017.

Predictors of ICT Use in Teaching in Different Educational Domains

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Abstract

This study explored the implementation of the information and communication technology (ICT) into teaching and learning processes in three educational domains (STEM, language education, and other humanities and social sciences). Specifically, the aim of the current study was to explore the effects of teachers' attitudes towards ICT use in classroom, self-efficacy in the ICT use, and perceived school-level barriers on teachers' ICT use as well as possible domain specific differences in the assessed variables. The data were collected as a part of a larger study conducted within the first phase of the "e-Schools" pilot project (CARNet). An online survey methodology was employed involving a sample of nearly all teachers in 13 middle (N=256) and 7 high schools (N=275). The results revealed that perceived self-efficacy in ICT use proved to be the best predictor of the use of ICT based activities regardless of the domain. Perceived benefits of ICT use significantly predicted the use of ICT in STEM and humanities and social sciences, while school-level barriers negatively predicted ICT use in STEM and in language education. Comparison of educational domains showed that STEM teachers saw more benefits of ICT use in teaching than teachers in humanities and social sciences. STEM teachers perceived themselves as more competent in ICT use compared to other two groups. They also reported that they use ICT more often in lesson preparation and in classroom activities. However, teachers' perception of possible risks and barriers of ICT use in education did not differ in three educational domains.

Keywords: ICT in education, teachers, attitudes towards ICT, self-efficacy, barriers for ICT use

Introduction¹

ICT in education

The development of Information and communication technologies (ICT) over the last 30 years has been tremendous. This progress brought notable transformations in many domains of our lives, both private and professional. Consequently, it has also become increasingly important in educational systems worldwide. Balanskat, Blamire, and Kefala (2007, p.11), argued ten years ago that "the use of ICT in education and training has been a key priority in most European countries during the last decade, but progress has been uneven". Similar conclusions can be brought from a more recent review (Wastiau, Blamire, Kearney, Quittre, Van de Gaer, & Monseur, 2013).

In order to effectively integrate ICT into their teaching practices teachers should adopt a new definition of effective teaching that, according to Ertmer and Ottenbreit-Leftwich (2010), should incorporate the notion of using technology for improvement of teaching and learning practices. However, studies have shown that teachers are changing teaching practices with ICT slowly and reluctantly (Baggott La Velle, McFarlane, & Brawn, 2003; Orlando, 2014). That is not surprising given that integration of ICT in teaching and learning is a complex process that can be challenged by various obstacles.

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Barriers to the Successful Implementation of ICT in Teaching Practices

Researchers and educators have identified diverse obstacles or barriers to the successful integration of ICT into education and classified them into different categories or levels (Balanskat et al., 2007; Becta, 2004; Bingimlas, 2009; Ertmer, 1999). For example, Balanskat et al. (2007) differentiate three levels of barriers to the ICT uptake in classroom: teacher-level barriers, school-level barriers and system-level barriers. Teacher level barriers refer to teachers' poor ICT competence, low motivation and lack of confidence in using new technologies in teaching. They are related to the quality and quantity of teacher training programmes. School-level barriers refer to limited access to ICT, poor quality and inadequate maintenance of hardware as well as unsuitable educational software. Furthermore, school level barriers also might be related to schools' limited experience with projects and project-based learning as well as to absence of ICT dimension in schools' strategies. System-level barriers relate to wider educational system that might be rigid and hinder the integration of ICT into learning and teaching practices. Bingimlas (2009) reviewed teacher- and school-level barriers and identified lack of teacher confidence and lack of teacher competence as strong teacher-level barriers, as well as resistance to change and negative attitudes. On school-level, most prominent barriers were lack of time, lack of effective training, lack of accessibility to ICT resources, and lack of technical support. Since some variables, such as lack of teacher confidence in their competence for ICT use and resistance to change that reflects in negative attitudes towards ICT use in classroom seem to be more important than others (Bingimlas, 2009) we will explain them further in following sections.

Attitudes

The existing research on teachers' attitudes towards ICT use in teaching and learning confirmed their important impact on successful integration of ICT into education (Ertmer, 2005; Fu, 2013). Teachers' favourable perceptions about technology in education were found to be positively related with teachers ICT use in daily teaching practice, as well as with the frequency of students' ICT use for learning (European Commission, 2013; Palak & Walls, 2009).

Teachers' attitudes towards ICT use in education may enable or hinder their actual ICT use depending on how the teacher view the impact of ICT use on students' learning and achievements (Drent & Meelissen, 2008). Large-scale studies have shown that teachers generally agree about the relevance of ICT use and its substantial contribution in teaching and learning (European Commission, 2013; Fraillon, Ainley, Schulz, Friedman, & Gebhardt, 2014). In a study on the professional reasoning teachers rely on regarding their ICT use within their teaching practice, Heitink, Voogt, Verplanken, van Braak and Fisser (2016) found that teachers reasons for using technology mostly addressed making learning attractive for students, supporting educational goals and facilitating the learning process.

Literature on the impact of preparation programs and courses on teachers' perceptions and attitudes suggest that these interventions may produce favourable changes in teachers' attitudes making them more likely to believe that technology can assist in learning and to recognize its importance (e.g., Doering, Hughes & Huffman, 2003). However, in order to support teachers' positive attitudes towards technology, as well as their use of ICT in teaching and learning, educational programs have to provide authentic, practical examples of teaching with technology (Ertmer & Ottenbreit-Leftwich, 2010).

Self-efficacy

As an perceived expectancy about one's capabilities to learn or perform a given task, self-efficacy determines the choice and performance of activities (Bandura, 1997). Compared to the concept of general self-esteem, self-efficacy toward a specific behavior proved to be a stronger predictor of actual behavioral choices and performance. Moreover, a distinction has been made between a domain-specific self-efficacy and a more general self-efficacy. The more domain or tasks specific self-efficacy has a greater potential in predicting outcome at stake.

In respect of teachers' ICT use in teaching and learning, the concept of ICT self-efficacy is introduced. ICT self-efficacy refer to positive experiences and confidence using digital technologies which shapes how individuals feel about their ability to perform ICT-related tasks (Compeau & Higgins, 1995). Higher levels of ICT self-efficacy has been shown to be predictive for teachers' choices regarding ICT use and adoption in general (Buabeng-Andoh, 2012). Recent studies emphasize the importance of distinguishing between being confident about using ICT on your own (i.e., self-efficacy in basic ICT) and being confident about using ICT for teaching or didactical purposes (i.e., using ICT to enhance online collaboration among students) (Krumsvik, 2011). In a study on the relationship between teachers' self-efficacy, their digital competence, strategies to evaluate information, and use of ICT, Hatlevik (2016) addressed teachers' self-efficacy in basic ICT and their self-efficacy in online collaboration. Findings indicated a high correlation between teachers reporting confidence in solving basic ICT tasks and reporting self-confidence using ICT with students in online collaboration, suggesting the importance of

the self-efficacy in basic ICT for the development of self-efficacy to use ICT for teaching purposes. Self-efficacy in basic ICT and strategies to evaluate information predicted teachers' digital competence, while both self-efficacy in online collaboration and digital competence predicted variation in teachers' use of ICT.

Further, the existing evidence suggests that teachers' ICT self-efficacy and attitudes towards technology in education are mutually related to their ICT use in teaching and learning (Ertmer, 2005; Papasterigiou, 2010). In a study on the factors influencing the ICT integration, Sang, Valcke, Braak, and Tondeur (2010) showed that although teachers' attitudes towards ICT use were found to be the strongest predictor of technology integration, more confident teachers were more capable of and interested in using computers in real classrooms. On the other side, in a study on Swedish teachers' attitudes to and beliefs about using ICT in education, Player-Koro (2012) found that despite that self-efficacy and attitudes were mutually related to ICT use, a strong sense of self-efficacy in using computers in education influenced the use of ICT the most.

ICT Implementation in Different School Subjects and Educational Domains

Some studies show that implementation of ICT in teaching is more congruent with some school subjects and domains than others, and that teachers have been reluctant to accept a technology that seems incompatible with their subjects (sub)culture (Goodson & Mangan, 1995; Hennessy, Zhao & Frank, 2003). Goodson and Mangan (1995, p. 615) refer to 'subject area subcultures', as „the general set of institutionalised practices and expectations which has grown up around a particular school subject, and which shapes the definition of that subject as both a distinct area of study and as a social construct.” In other words, each subject community shares similar tools and resources, approaches to teaching and learning, beliefs and expectations (Hennessy et al., 2003). These characteristics are not necessarily limited to specific school subjects, but refer to broader educational domains or fields (e.g. social studies, art, technological studies; as described in Goodson & Mangan, 1995).

Therefore, subject culture shapes also teachers' perception of ICT integration in the classroom and their attitudes about ICT in education. In some subjects or domains ICT is perceived as adding new value to teaching and learning and as being advantageous and meaningful, in others it is seen as being “just another tool” (Goodson & Mangan, 1995, p. 624), and in some subjects and domains ICT is perceived as detraction from teaching and learning basic skills in the subject (Hennessy et al., 2003). Some teachers even perceive that (over)use of ICT could lead to losing core features and values of subject culture. Therefore, teachers will be hesitant to change teaching practices if integration of technological innovations poles apart from attitudes and practices of their colleagues teaching in the same educational domain.

Studies show that different subject domains differ in their (sub)cultures. John and Baggott la Velle (2004) argue that science has been associated with new technologies for a long time, and that it has been one of the first subjects in which technology has been integrated. Mathematics has been also related to new technologies and in John and Baggott la Velle's study (2004) mathematics teachers were comfortable with ICT and open to ICT's transformative possibilities. Music and English (mother language) subjects have had weaker affiliation with new technologies, although teachers were positive about ICT potential. However, they perceived ICT as a potential challenge to core values of their subjects. History teachers have been most reluctant to use technology and they also felt (like English teachers) that humanistic nature of their subject might be threatened. Similarly, Hennessy et al. (2003) found that English teachers were more hesitant and anxious, and they showed lower levels of integration of ICT in teaching and learning practices, compared to science and mathematics teachers. Mathematics teachers were least reluctant to ICT implementation, but science teachers saw more educational benefits compared to other teachers.

Balanskat et al. (2007) cited Eurobarometer Benchmarking survey that showed that teachers teaching science, mathematics, and computer science and who are active in vocational education are the most intensive users of the computer in class (more than 50% of their lesson), compared literature and language teachers (who use it only 5% of their lessons), primary education teachers (17%), humanities and social science teachers (13%) and physical and artist/crafts education (16%).

However, more recent study by Karaseva, Pruulmann-Vengerfeldt, and Siibak (2013) showed that, in an sample of Estonian elementary school teachers, humanities teachers were more open about using the technologies and employed more various and student-centred learning activities, compared to science teachers that mainly relied on a teacher-centred instructional style. Similarly, Howard, Chan and Caputi (2015) examined the relationship between three subject areas (English, mathematics, science) and teachers' beliefs as one of the factors influencing secondary-level teachers' technology integration. Teachers' beliefs about how technology supports learning and about the importance of ICT were analyzed. The findings indicated that English teachers held the strongest belief that ICTs supported learning, while science teachers

reported stronger agreement than mathematics teachers regarding this belief. Compared to mathematics and English teachers, science teachers reported decline in their beliefs about the importance of ICT and were the only group of teachers reflecting a significant change in belief. Thus, these findings demonstrated that subject areas are not homogenous and they have unique trajectories over time in a technology-related initiative (Howard et al., 2015).

More comprehensive study, The Survey of Schools: ICT in Education, conducted by European Schoolnet (2014) revealed that European teachers of 8 and 11-grade students in general education mostly used different ICT-related activities during lessons only several times a month. Although differences among teachers in different domains were not large, the frequency of ICT use in classes depended on school subjects. The results showed that science teachers used ICT-based activities more frequently than mathematics and language classes. Mathematics and science teachers expressed similar levels of confidence in their operational ICT skills that were higher than confidence levels of language teachers. Teachers of different subjects also differed in perception of obstacles to the use of ICT activities in the classroom. However, they shared similar positive attitudes towards the use of ICT in the classroom and they all agreed that ICT has the positive effects on students' higher-order thinking skills, motivation, achievement, and competence in transversal skills.

To conclude, most of the teachers have mainly positive attitudes towards ICT use in learning and teaching, but they have still been reluctant in the implementation of ICT in their teaching practices. They perceive different barriers and obstacles that impede their use of ICT in the classroom. The effects of school-level and especially teacher-level barriers to ICT implementation in classroom have been examined a lot, but less attention has been dedicated to comparison of these variables in different educational domains. Studies conducted so far have not yielded unambiguous findings.

The Present Study

In Croatia, substantial efforts have been made to integrate ICT in the elementary and high-schools within the e-Schools program that is coordinated by the Croatian Academic and Research Network - CARNet. The e-Schools program is aimed at introducing ICT into the school system, namely into 7th and 8th grades of elementary school that correspond to middle school, and 1st and 2nd grades of high-school, in the 2015-2022 period. Currently, the e-Schools pilot project (full name: "e-Schools: Establishing a System for Developing Digitally Mature Schools [pilot project]") has been implemented (2015-2018). The overall goal of the e-Schools program is to help strengthen elementary and middle school education system with the final aim of preparing students for future. One of the main direct objectives of the program is to develop digitally competent teachers prepared for the integration of ICT innovations in their own teaching practices. E-Schools "envisage a gradual, voluntary transition to digital content, in which teachers will have the decisive role, as key stakeholders of each educational process, both in the past and in the future" (CARNet, 2017, retrieved from <https://www.e-skole.hr/en/e-schools/find-out-more/why-e-schools/>).

In order for teachers to successfully embrace technology into teaching process they have to overcome different barriers. Therefore, it is important to explore the barriers those teachers confront in their schools, especially on teacher and school levels (Bingimlas, 2009). In the present study we focused on some specific teacher-level barriers that seem to be most important (teachers' attitudes towards ICT and self-efficacy in ICT use), as well on school-level barriers that might hinder successful implementation of ICT in learning and teaching practices.

E-Schools program is aimed mainly on STEM domains, as target beneficiaries of digital educational content and teaching scenarios that will be created within the program are middle and high-school students and teachers of STEM subjects (chemistry, biology, physics and mathematics). Hence, it was of our interest to explore the effects of their attitudes towards ICT use in classroom, their self-efficacy in the ICT use, and perceived school-level barriers on their ICT use for lesson preparation and classroom activities, as well as to compare them to attitudes and perceptions of teachers in other educational domains, such as humanities and social sciences. The assessment took place before the teachers had the opportunity to implement particular activities, digital content, and technology that has been developed and implemented during the pilot project. As such it might be informative for policy makers as it has focused on identifying potential barriers to meaningful ICT integration in teaching practices in different educational domains.

2. Methods

2.1. Participants

The sample consisted of 534 teachers (77.3% female) from 13 elementary (7th and 8th grade that corresponds to middle school, n = 259) and 7 high schools (1st and 2nd grade, n = 275) in Croatia. Teachers' mean age was 42.60 years (SD = 11.47).

In Table 1., demographic characteristics of the sample, giving both numbers and percentages of teachers in each category of gender, school level and teaching experience, as well as range, mean and standard deviations for participants' age, are presented separately for STEM, language education and other humanities and social sciences domain.

Table 1. Demographic characteristics of the sample

| | STEM | | | Language education | | | Humanities and social sciences | | |
|---------------------|-------|-------|-------|--------------------|-------|-------|--------------------------------|-------|-------|
| | N | % | | N | % | | N | % | |
| Gender | | | | | | | | | |
| Male | 62 | 30.2 | | 19 | 10.2 | | 40 | 28.0 | |
| Female | 143 | 69.8 | | 167 | 89.8 | | 103 | 72.0 | |
| School level | | | | | | | | | |
| Middle school | 100 | 48.8 | | 93 | 50.0 | | 66 | 46.2 | |
| High school | 105 | 51.2 | | 93 | 50.0 | | 77 | 53.8 | |
| Teaching experience | | | | | | | | | |
| Less than 10 years | 89 | 43.4 | | 71 | 38.2 | | 56 | 39.2 | |
| 10-20 years | 53 | 25.9 | | 51 | 27.4 | | 46 | 32.2 | |
| More than 20 years | 63 | 30.7 | | 64 | 34.4 | | 41 | 28.6 | |
| | Range | M | SD | Range | M | SD | Range | M | SD |
| Age (years) | 24-66 | 43.05 | 11.72 | 26-64 | 42.08 | 11.26 | 25-65 | 42.52 | 11.37 |

2.2. Measures

2.2.1. Attitudes towards ICT use in teaching and learning

Two scales were used to assess teachers' attitudes towards ICT use in teaching and learning. The perceived Benefits of ICT use in teaching and learning scale included fourteen items (Cronbach's alpha = .89) reflecting relevance of ICT use in teaching and learning and its positive impact on students' learning and motivation (e.g., "Students gain better understanding in what they are learning"). The perceived Risks of ICT use in teaching and learning scale included eleven items (Cronbach's alpha = .83) referring to a negative consequences of ICT use in teaching and learning (e.g., "ICT tempts students to learn superficially"). The response format for both scales consisted of a 5-point Likert scale ranging from 1 (strongly disagree) to 5 (strongly agree).

2.2.2. ICT self-efficacy

Teachers' self-efficacy in using ICT was measured using a seven-item scale (Cronbach's alpha = .91). The scale assessed the extent to which teachers perceive themselves able to competently use ICT in everyday instructional practice (e.g., "I am skilful in creating digital educational content for the subject I teach"). Participants rated their level of agreement with statements on a 5-point Likert scale ranging from 1 (strongly disagree) to 5 (strongly agree).

2.2.3. School-level barriers to using ICT in teaching and learning

Teachers' perception of school-level barriers to ICT use in teaching and learning was assessed with six items (Cronbach's alpha = .87) reflecting a set of factors which adversely affects ICT use (e.g., equipment issues, school time and space organisation, accessibility to ICT, insufficient technical and pedagogical support). Items were rated on a 5-point Likert scale ranging from 1 (strongly disagree) to 5 (strongly agree).

2.2.4. ICT use in teaching and learning

The scale used for the assessment of teachers' ICT use consisted of fifteen items (Cronbach's alpha = .93) asking about the frequency of a set of ICT based activities related to lesson preparation (e.g., „I use ICT to prepare exercises and tasks

for students“), as well as a set of ICT based teaching activities with students in the classroom (e.g., problem solving activities, searching for additional information on internet, working in groups, exercises and practice, students presentations). For each activity, the participants had to specify how often they do it on a five-level scale with 1 meaning never; 2: several times a month; 3: once to twice a week; 4: more than twice a week; and 5: every day.

2.3. Procedure

The data were collected as a part of a larger baseline study conducted within the first phase of the “e-Schools” pilot project (Croatian Academic and Research network - CARNet). An online survey methodology was employed. The online questionnaire was group administered to teachers in their schools by school coordinators. Personal background data were also collected. The group session lasted approximately 45 minutes. Although the study was not anonymous, confidentiality was guaranteed to participants.

3. Results and Discussion

Correlations between teachers' attitudes towards ICT use, ICT self-efficacy, perception of school-level barriers to ICT use in teaching and learning and reported use of ICT based activities is shown in Table 2.

Table 2. Correlation between teachers' attitudes towards ICT use, ICT self-efficacy, school-level barriers and use of ICT

| | Risks of ICT use | ICT self-efficacy | School-level barriers | Use of ICT based activities |
|-----------------------------|------------------|-------------------|-----------------------|-----------------------------|
| Benefits of ICT use | -.24** | .35** | .02 | .34** |
| Risks of ICT use | | -.27** | .20** | -.20** |
| ICT self-efficacy | | | .01 | .61** |
| School-level barriers | | | | -.06 |
| Use of ICT based activities | | | | |

Note. ** p < .001.

Teachers' use of ICT based activities was related to ICT self-efficacy and teachers' attitudes toward ICT use. Benefits of ICT use were positively related to perceived ICT self-efficacy, while risks of ICT were positively related to school-level barriers and negatively to self-efficacy and reported use of ICT based activities. Surprisingly, self-efficacy did not correlate with perceived school-level barriers. Although some authors (Becta, 2004; Bingimlas, 2009) argue that teachers' confidence in ICT use is closely related to several other barriers, such as technical problems and lack of access to ICT resources, that relation was not evident in our findings. However, our results show that self-efficacy was related to attitudes towards ICT and it highly correlated with reported use of ICT.

In order to test if the teachers' attitudes towards ICT use, ICT self-efficacy, and perception of school-level barriers to ICT use in teaching and learning significantly predicted their use of ICT based activities, separate simple linear regression analyses were performed for each of the educational domain. The results are shown in Table 3.

Table 3. Summary of simple regression analyses for variables predicting teachers' use of ICT based activities in three educational domains.

| | STEM n = 205 | | | Language education n = 186 | | | Humanities and social sciences n = 143 | | |
|-----------------------|-----------------|------|-------|----------------------------------|------|-------|----------------------------------------------|------|-------|
| | B | SE B | β | B | SE B | β | B | SE B | β |
| Benefits of ICT use | 0.31 | 0.10 | .18** | 0.14 | 0.08 | .11 | 0.20 | 0.10 | .14* |
| Risks of ICT use | -0.08 | 0.10 | -.05 | 0.11 | 0.08 | .08 | -0.06 | 0.10 | -.04 |
| ICT self-efficacy | 0.49 | 0.06 | .49** | 0.48 | 0.05 | .60** | 0.49 | 0.06 | .57** |
| School-level barriers | -0.12 | 0.06 | -.13* | -0.10 | 0.05 | -.12* | 0.05 | 0.05 | .06 |
| R2 | .37 | | | .41 | | | .43 | | |
| F | 29.04** | | | 31.69** | | | 25.75** | | |

Note. * p < .05 ** p < .001.

The results of the regression analysis employed in a subsample of teachers in STEM domain indicated that the examined predictors explained 37% of the variance. The strongest positive predictor of use of ICT based activities was ICT self-efficacy, followed by the perceived benefits of ICT use. Teachers' perception of school-level barriers to using ICT in teaching in learning negatively predicted their ICT use.

Teachers' use of ICT based activities in the domain of language education was positively predicted by teachers' reported levels of ICT self-efficacy and negatively by their perception of school-level barriers to using ICT. The predictors explained 41% of the variance of language education teachers' use of ICT based activities.

Similar proportion of explained variance of the criterion variable was found in a subsample of teachers in other humanities and social sciences educational domain. Teachers' use of ICT based activities in this domain was positively predicted by the perceived benefits of ICT use, as well as by the level of their ICT self-efficacy.

In sum, the results revealed that the strongest positive predictor of use of ICT based activities in all educational domains was ICT self-efficacy. That result supports the findings of previous studies that emphasize the importance of teachers' confidence in using ICT (e.g., Balanskat et al., 2007; Becta, 2004), or their levels of computer self-efficacy (e.g., Buabeng-Andoh, 2012). Wastiau et al. (2013) also concluded that teachers who are confident in their digital skills and positive about ICT's impact on learning organise more frequent ICT-based activities with their students. Furthermore, the obtained findings are in line with the conclusion Player-Koro (2012) made about the stronger influence of ICT self-efficacy compared to the influence of teachers' attitudes towards technology on their ICT use in teaching practice. Self-efficacy can be developed through positive personal and vicarious experiences with technology, so teachers should be introduced to technology in small steps, providing them with opportunities to experiment and try new ideas (Ertmer, & Ottenbreit-Leftwich, 2010).

In our study, variables other than ICT self-efficacy i.e. perceived barriers and enablers only weakly predicted perceived use of ICT in classroom. Perceived benefits of ICT use significantly predicted the use of ICT in STEM and humanities and social sciences, while school-level barriers negatively predicted ICT use in STEM and in language education. Interestingly, perceived risks of ICT use did not have effect on ICT employment for lesson preparation and for ICT-based activities in classroom. Although all variables relating to successful implementation of ICT in education should be mutually related, as described for example in Becta (2004) or Bingimlas (2009), it seems that in some educational domains certain factors have a more important role in ICT adoption by teachers. The observed differential predictions of teachers' ICT use based on perceived benefits of ICT use and the perception of school-level barriers to ICT use in three educational domains, correspond to the existing research showing that when it comes to technology integration in education, subject areas and educational domains are not homogenous (e.g., Howard et al., 2015). In line with the evidence on the adverse effect of barriers to the ICT uptake in classroom (Balanskat et al., 2007), teachers' perception of school-level barriers proved to be negative predictor of using ICT based activities in STEM and language education domain. Although supporting teachers in how to use the potentials of ICT in teaching and direct experience of how to handle ICT in classrooms is needed to enhance successful uptake of new technologies by teachers (Ertmer & Ottenbreit-Leftwich, 2010), somewhat differential approaches could be fostered in different educational domains. Removing school-level barriers might not be a decisive factor, but could positively affect ICT uptake by STEM and language education teachers. Stressing benefits and usefulness of ICT use might be especially important for STEM teachers, and even for humanities and social sciences teachers as positive attitudes seem to be predictive of ICT uptake in those domains.

The effects of educational domains on teachers' attitudes towards ICT use, ICT self-efficacy, perceived school-level barriers to using ICT and use of ICT based activities were analyzed with univariate ANOVAs (Table 4.). Significant effects were followed up with multiple comparison tests using Fisher's LSD method.

Table 4. Mean differences on attitudes towards ICT use, ICT self-efficacy, school-level barriers to using ICT and use of ICT based activities between three educational domains.

| | STEM n = 205 | | Language education n = 186 | | Humanities and social sciences n = 143 | | df | F |
|---------------------|-----------------|-----|----------------------------------|-----|----------------------------------------------|-----|-------|---------|
| | M | SD | M | SD | M | SD | | |
| Benefits of ICT use | 3.35a | .49 | 3.25 | .54 | 3.21a | .49 | 2.531 | 3.24* |
| Risks of ICT use | 3.20 | .51 | 3.25 | .55 | 3.23 | .50 | 2.531 | 0.42 |
| ICT self-efficacy | 3.78 ab | .83 | 3.38a | .90 | 3.32b | .79 | 2.531 | 16.46** |

| | | | | | | | | |
|-----------------------------|--------|-----|-------|-----|-------|-----|-------|--------|
| School-level barriers | 3.32 | .85 | 3.35 | .88 | 3.17 | .90 | 2.531 | 1.83 |
| Use of ICT based activities | 2.50ab | .83 | 2.29a | .72 | 2.18b | .68 | 2.531 | 8.42** |

Note. * $p < .05$ ** $p < .001$. Educational domain means within a row with the same subscripts differ significantly at the $p < .05$ or $p < .001$ level (Fisher's LSD test).

Educational domain had a significant effect on the perceived benefits of ICT use in teaching and learning, $F(2, 531) = 3.24$, $p < .05$. Post-hoc testing indicated that teachers in STEM domain reported significantly higher perception of potential benefits of ICT use than teachers in humanities and social sciences educational domain. Teachers in language education reported similar levels of perceived benefits of ICT use as the teachers in the remaining two groups. The differences on perceived risks of ICT use in teaching and learning between teachers in the examined educational domains were not significant, $F(2, 531) = 0.42$, $p = n.s.$ Likewise, teachers in different domains did not differ in terms of their perception of school-level barriers to using ICT in teaching and learning, $F(2, 531) = 1.83$, $p = n.s.$

Further, educational domain had a significant effect on teachers' perceived self-efficacy in using ICT, $F(2, 531) = 16.46$, $p < .001$. Multiple comparisons showed that, compared to teachers in language education and other humanities and social sciences domain, teachers in STEM domain had higher levels of self-efficacy in using ICT in their daily work. Similarly, a significant effect of educational domain on teachers' self-reports on use of ICT as a teaching and learning tool was found, $F(2, 531) = 8.42$, $p < .001$. Teachers in STEM domain reported significantly higher frequency of ICT use than teachers in the remaining educational domains.

These results correspond to contemporary research notion that some educational domains are more likely to integrate ICT in teaching and learning than others and that they might have unique trajectories over time in the process of ICT integration in education (Howard et al., 2015). Although some of the more recent studies (Karaseva et al., 2013; Howard et al. 2015) show that humanities teachers were more open and supportive about using ICT in teaching practices compared to teachers of STEM domains, the results of our study are more in line with traditional notions that mathematics and science have been more closely related to new technologies (John & Baggott la Velle, 2004). Our results revealed that teachers in the STEM domain perceived themselves as more competent in ICT use compared to other two groups and also reported that they use ICT more often in lesson preparation and in classroom activities. The observed pattern of results in STEM domain is not surprising given the well established finding on favourable impact of both, the levels of ICT self-efficacy and positive attitudes, on teachers' choices regarding ICT use and adoption in general (Buabeng-Andoh, 2012).

Similar results were found in European Schoolnet study (2014) in which science and mathematics teachers expressed higher levels of confidence in ICT skills than language teachers, and science teachers employed ICT-based activities most frequently. However, the results of our study also indicated that some differences could be noted between teachers in language education domain and teachers in other humanities and social sciences. Teacher in other humanities and social sciences (e.g. history, geography, philosophy, psychology, sociology...) reported the lowest levels of ICT self-efficacy and the least frequent use of ICT in teaching practices. ICT use in teaching social sciences subjects has been rarely explored, although some studies show that use of technology is rare among social studies faculty members and that more practical examples of technology integration in teaching practices should be provided (Bolick, Berson, Coutts, & Heinecke, 2003). Likewise, some studies exploring ICT uptake by humanities teachers showed that they have been quite reluctant to use technology (e.g. history teachers in study of John and Baggott La Velle [2004]). However, as previously mentioned, newer studies point to opposing conclusions (Karaseva et al., 2013).

Differences between different educational domains in attitudes towards ICT use in education obtained in our study were not as obvious as obtained differences in ICT self-efficacy and ICT use. Although STEM teachers saw more benefits of ICT use compared to humanities and social sciences teachers, teachers' perception of possible risks of ICT use in education did not differ in three educational domains. Likewise, teachers' perceptions of school-level barriers were similar regardless of domain. Compared to the remaining, internal, teacher-level factors influencing the use of ICT that were examined in the current study, perceived barriers were external, school-level factor. It is possible that teachers were therefore exposed to similar school-level barriers and thus were more likely to perceive barriers similarly regardless of their teaching domain. Although these two types of factors are generally related to each other (Tezci, 2011) in our study teachers' perceptions of school-level barriers were not related to their perceived benefits of ICT use and ICT self-efficacy.

As a whole, this study findings point in the same directions as previous research by showing that favourable attitudes towards ICT use in teaching practices and higher ICT self-efficacy both positively predict teachers' ICT use in daily teaching

practice. Teacher perceived self-efficacy, that is not necessarily related to perceived school-level barriers, seemed to be of particular importance. Also, the results of the present study contribute to the relatively sparse evidence on educational domain specificities of ICT integration in teaching and learning.

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Effects of Physical Activity on Controlling Blood Pressure Among Hypertensive Patients at the Region of Prizren

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Abstract

Aim: To describe the effect of physical activity on controlling blood pressure among hypertensive patients at Region of Prizren. **Method:** A sample of 101 patients diagnosed with hypertension in the region of Prizren, which were randomly selected from those hypertensive patients who visited the Main Family Medicine Centre and Private ambulance "Nderimed" for their regular follow up. A structured questionnaire (Life Style Questionnaire and Perceived Stress Scale) with questions on different characteristics was administered. In terms of gender composition there were 41 men and 49 women, aged between 45 and 74 years old. **Result:** Among our sample just 7.8% reported that they make physical activity regularly. 68% of the sample reported that they engaged less than one hour per week in some kind of activity and their motivation to do so was also weak, just half of them report that they want to lose in weight. When participants were asked how many hours they move by walk or bike, with 0 hours reported 69%. **Conclusion:** The increased risk of physical inactivity in controlling hypertension in this study suggests that general practitioners must be in the habit of prescribing practice of physical exercise and patients are followed up regularly to confirm that they are adhering to the management plan and the blood pressure targets are being met.

Keywords: physical activity, hypertension, risk factors.

Introduction

Similarly, the lack of physical activity also represents a major health problem related to several diseases and even death rates. Thus according to the WHO report, an estimated 1.9 million deaths are attributable to physical inactivity annually worldwide.[2] Approximately one third of adults are not physically active at all.[3] Studies have demonstrated that physical inactivity increases with age and is more prevalent among females.[7] Physical inactivity itself is an important independent risk factor of many chronic diseases such as hypertension, diabetes mellitus and heart diseases; also it significantly increases the risk of cardiovascular diseases.[3, 6]

To summarize unhealthy diets along with physical inactivity are two of the main risk factors of many chronic diseases, including hypertension.[5, 6] According to National Institute of Public Health of Kosova (NIPH) 77% of the overall population in Kosovo suffers from hypertension; this disease also represents 57% of causes of deaths in the country [1]. Although a healthy diet and moderate physical activity are related to better management of hypertension, very little attention is being paid to these two aspects.[4, 6]

Aim/Purpose

The purpose of this study is to describe the effect of physical activity on controlling blood pressure, in a sample of patients with hypertension in Region of Prizren.

Methodology

Sample

Participants were 101 patients diagnosed with hypertension in the region of Prizren, which were randomly selected from those hypertensive patients who visited the Main Family Medicine Centre and Private ambulance "Nderimed" for their regular follow up. A structured questionnaire (Life Style Questionnaire and Perceived Stress Scale) with questions on different characteristics was administered. In terms of gender composition there were 41 men and 49 women, aged between 45 and 74 years old.

In terms of education level, 12 (11.9%) of them were with four classes completed, 64 (63.4%) of them were with primary school, 5 (5%) of them were with secondary school, 3 (3%) of them were with university degree, 5 (5%) of them were with master degree and 1 with doctoral degree. Also as regards marital status, all patients were married except for one who was divorced.

Data collection and Design

This study was cross sectional and descriptive in nature. The methods of data collection comprised of personal interview and physical assessment (anthropometric and blood pressure measurements). A standardized, semi-structured, interviewer administered questionnaire (Life Style Questionnaire and Perceived Stress Scale) was used to obtain information on the socio-demographic characteristics of the study participants, dietary pattern and lifestyle. The questionnaire also included 13 questions on physical activity; examples were 'Do you exercise regularly', 'How many times in week you walk or bike', 'How much you feel motivated to make exercise' etc.

Data analyses

Data was analyzed using the statistical package for social sciences (SPSS) version 21 computer statistical software package. Frequency distribution tables were constructed; cross tabulations were done to examine relationship between categorical variables. The Chi-square test was used to compare differences between proportions. Logistic regression analysis was used to determine the variables that predict nutrition status and hypertension among the participants. All statistical analysis was set at 5% level of significance ($p < 0.05$).

Results

Among our sample just 7.8% reported that they make physical activity regularly. 68% of the sample reported that they engaged less than one hour per week in some kind of activity and their motivation to do so was also weak, just half of them report that they want to lose in weight. When participants were asked how many hours they move by walk or bike, with 0 hours reported 69%.

As demonstrated on the table below most of the sample was often motivated (Mean=1.86, where 1 always, 2 often, 3 sometimes and 4 never) to exercise, but in reality they don't exercise (82.2% say no as demonstrated on Table 2).

Table 1. Descriptive Statistics

| | N | Min | Max | Mean | Std. Deviation |
|--------------------------------------------|----|------|------|--------|----------------|
| Do you usually feel motivated to exercise? | 86 | 1.00 | 4.00 | 1.8605 | .82836 |
| Valid N | 86 | | | | |

Table 2. Do you exercise regularly?

| | Frequency | Percent | Valid Percent | Cumulative Percent |
|---------------|-----------|---------|---------------|--------------------|
| Yes | 7 | 6.9 | 7.8 | 7.8 |
| Valid No | 83 | 82.2 | 92.2 | 100.0 |
| Total | 90 | 89.1 | 100.0 | |
| MissingSystem | 11 | 10.9 | | |
| Total | 101 | 100.0 | | |

Conclusion

The increased risk of physical inactivity in controlling hypertension in this study suggests that general practitioners must be in the habit of prescribing practice of physical exercise and patients are followed up regularly to confirm that they are adhering to the management plan and the blood pressure targets are being met.

Findings seem to be quite problematic in terms of health behaviors displayed by patients with hypertension. Patients seem to engage very little in physical exercise besides other unhealthy life style. However it is not clear from the findings of the study whether this unhealthy life style is due to lack of knowledge (they are not educated about the importance of engaging in physical exercise or other life style importance) or lack of motivation to do so (despite knowledge). Moreover, the involvement of culture specific factors might also be examined; e.g., red meat being part of the typical diet in Kosovo.

Nonetheless these findings suggest the need to inform and educate patients into following a proper diet and physical activity regimen, two aspects which are crucial in keeping the condition under control. The implications are clear for health professionals dealing with these patients, especially in providing life-style advice and support. In this context future research might be suggested which investigates the real reasons behind these findings especially in terms of the roles that health professionals have in this process; for instance health professionals might be asked on the type of medical advice they provide to these patients and conversely patients might be asked the same about doctors. To conclude, despite the limitations (small sample, descriptive data etc.) the present study provides some important directions for future research.

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Student Experience of E-Learning Tools in HE: An Integrated Learning Framework

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Abstract

Over the last decade the adoption of a Virtual Learning Environment (VLE), at University, has become an accepted norm of support for student learning. However, despite the major investment in VLE's there is a major disparity between what universities are offering, on their online platforms, and how this material and activities are being utilised by students. This research provides empirical evidence of the passive use, both by tutors and students, of the VLE. The literature provides evidence of the inertia that still exists, within Higher Education (HE), among tutors, to fully embrace the spectrum of VLE engagement tools. The lack of transition, among many tutors, to utilise the VLE as a pedagogical engagement tool continues to impact the expectations of fee paying students in the UK, who no longer expect that a Socratic dialogue will suffice to catalyse their intellectual curiosity. Today's generation of students have been exposed to a plethora of technologies that facilitates the acquisition of instant information and often through a multitude of sensory (visual, audio) formats. Furthermore, with the growth of Massive Open Online Courses (MOOCs) that are freely available to students the expectations, of HE students, from universities is becoming more demanding. In light of this competitive virtual learning landscape the authors propose a learning framework. To enable universities to create a unique and effective learning experience, for their students, through prudent investment in VLE tools and a complimentary learning environments. Resulting in deeper learning and informed students prepared for seminars.

Keywords: Blackboard, VLE, pedagogy, e-Learning, Technology, higher education,

Introduction

Fully immersive effective learning opportunities do exist and are now starting to be exploited by some players in H.E. although these new technologies are still being embraced by a limited number of faculty and H.E institutions. However, the increasing level of competition coupled with market disruptions that are occurring in Higher Education (HE) (Staton, 2014) is resulting in universities to accelerate their adoption of new technologies to offer students the opportunity to engage with e-learning. The importance of this investment has become paramount in an era of where students, in England, are paying fees for their studies and many are having to finance their higher education through part time employment. Croxton (2014) has articulated a number of benefits of online learning that include flexibility in participation; ease of access and convenience. Consequently, a more flexible learning approach that allows students to balance their work and study commitments is needed. Furthermore, Redecker et al. (2011) advocates that access to Technology Enhanced Learning (TEL) platforms can be a major influence when choosing where to study for higher education, alongside traditional options such as employment prospects of graduating students. Hence, technology is becoming a major asset and competitive advantage for universities competing in an ever growing globally competitive market.

Evidence from research undertaken by Fieldman (2016), on HE student experience, affirms that good use of technology effectively enhances their learning experience. Although, when it comes to attracting and retaining students, in this day and age, there is no one-size fits all solution. Institutions appear to be struggling not necessarily with the changes but how fast they should adapt and which TEL system to adopt (Schedjbal, 2012). Some institutions have also struggled to fully-engage students or even to motivate them in the adoption of a VLE. Traditionally, adoption and inclusion of new technologies by faculty and academics have not been received so warmly, nevertheless, with the winds of changes and everyday new platforms being made available online, HE institutions must move fast to understand student's preferences and how they want to use technology in order to enable them to achieve their learning goals (Staton, 2014) in an evolving competitive online landscape.

Online Competition

Universities are facing increasing competition not only from their traditional market competitors but today from other industries who are investing in the online education market. A notable competitor is Laureate (<http://www.laureate.net/OurNetwork/Europe/UnitedKingdom>) who have partnered with universities to offer online courses. However, the major competition may arise from publishers such as Pearson, Cengage and McGraw-Hill who are actively pursuing market growth in the higher education sector. As they transform their textbooks into online module courses.

The traditional university education is being further disrupted by Massive Open Online Courses (MOOCs) that are sweeping the HE landscape. MOOCs offer universities the opportunity to engage a global audience at little or no cost to the participant. Key players in this market such as *Coursera*, *Futurelearn*, *edX* and *Udacity* have positioned themselves as serving a social good, offering higher education to an audience where access is limited (Agarwal, 2013). However, there is criticism that MOOCs have not been able to significantly improve the opportunities for socially disadvantaged communities in the developed countries (Bear, 2013; Sharma, 2013). Although, a surprising benefit of MOOCs has been identified by Longstaff (2017) who discovered that existing students, in HE, used MOOCs as it encouraged this group of students to try new things without the fear of failure. As the extrinsic threat of failure of a module can cause grade anxiety and result in a depreciated learning process that results in students under challenging their intellectual capabilities and affect their well-being (Conroy et al, 2008; Docan, 2006).

In relation to e-learning activities Yang (2016) contends that among academic researchers there is a growing momentum that is moving away from traditional class-based or campus-based teaching paradigms towards the idea of ubiquitous learning spaces or learning ecosystems. These environments are able to provide an interoperable, pervasive, and seamless learning architecture that are intuitive and context relevant (Rizebos, 2016) to enhance the student experience. To achieve this universities need to appreciate the potential and challenges of Technology Enhanced Learning (TEL) that can be used as a single point of learning or in conjunction with traditional face-to-face learning methods. As Technology Enhanced Learning affects *what*, *how*, *where* and *when* people learn (Davidson and Goldberg 2009).

E-Learning

Most academics and pedagogues agree that for an e-learning environment to exist instruction must be delivered on a digital device that is used with the intention to promote and support learning activities within a specific program or academic framework (Clark and Mayer, 2011). To facilitate e-learning Fee (2009) has identified three main elements that must interplay within an e-learning environment: 1) technology, 2) learning content and 3) learning design.

As academic time is expensive institutions might turn to technology not only to promote better engagement with students but reduce their labour costs (Schedjbal, 2012). Ubiquitous learning technologies must have the ability to not only facilitate highly dynamic, adaptable and engaging virtual learning environments but also to address individual needs of learners offering personalised experiences. It must offer opportunities to integrate into people's lives and allow them to adapt their training objectives, schedule and pace to individual needs and preferences (Redecker, 2011). Consequently, the successful adoption of e-learning will be significantly influenced by the integration of pedagogy with technology.

Pedagogy and VLE

Teaching and learning processes have been increasingly influenced by technological, instructional and pedagogical advances (Chou & Tsai, 2002; Kavanoz, Yüksel & Özcan, 2015). These developments will have greater influence in the future since the UK government decided to introduce a new metric to assess Universities through the Teaching Excellence Framework. Consequently, the current quality of teaching provision will face unexpected outcomes (Deloitte, 2015).

Technology is not only affecting *what* students will learn, but also *how* they will learn. These changes in technology and pedagogy have resulted in transformed habits of learning behaviour due to access to constant information and exposure to distractions (Persico & Pozzi, 2015). This will require educators to evaluate how students are using the technology for learning. To ensure they design a participative, digitally-enabled and collaborative environment going beyond the individual educational institution (Linton and Schuchhard 2009).

The pedagogical-technological gap that exists, in many universities, is according to Naaji et al. (2015) attributed to:

- Rigid policies in formal education related to curricular systems and assessment practices

- Lack of investment in tutor training of VLE capabilities to explore, understand, evaluate and use best practices to engage students;
- Developed scenarios and best cases are still presented in a formal manner;

To help appreciate the technology advancements for e-learning tutors need to appreciate contemporary practices to utilise current technology to enrich the student e-learning experience. In their paper, Naaji et. al., (2015) provide a chronological overview of the technologies that have been adopted for learning (see Table 1).

Table 1 – Emerging technologies in Education as reported by the HPR 2008-2015

| HPR | One Year or Less | Two to Three Years | Four to Five Years |
|------|----------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------|
| 2008 | - Grassroots Video - Collaborations Webs | - Mobile Broadband - Data Mashups | - Collective Intelligence - Social OSs |
| 2009 | - Mobiles - Cloud Computing | - Geo Everything - The Personal Web | - Semantic Aware Apps - Smart Objects |
| 2010 | - Mobile Computing - Open Content | - Electronic Books - Simple Augmented Reality | - Gesture-Based Computing - Visual Data Analysis |
| 2011 | - Electronic Books - Mobiles | - Augmented Reality - Game-based Learning | - Game-Based Learning - Learning Analytics |
| 2012 | - Mobile Applications - Tablet computing | - Gesture-Based Computing - Learning Analytics | - Gesture-Based Computing - Internet of Things |
| 2013 | - MOOCs - Tablet Computing | - Game & Gamification - Learning Analytics | - 3D Printing - Wearable Technology |
| 2014 | - Flipped Classroom - Learning Analytics | - 3D printing - Games and Gamification | - Quantified Self - Virtual Assistants |
| 2015 | - Bring Your Own Device (BYWD) - Flipped Classroom - (Learning Analytics) - (Mobile Apps) | - Makerspaces - Wearable Technology - (Collaborative Environments) - (Games & Gamification) | - Adaptive Learning Technologies - The Internet of Things - (Wireless Power) - (Flexible Displays) |

(Source: Naaji et. al. 2015).

There are many issues to consider when adopting Technology Enhanced Learning (TEL) platforms, for online or blended courses, the most important aspects are those related to student's adoption, motivation and learning development and the quality of the outcomes produced by combinations of these factors. Thus for universities to remain competitive Kregor et al (2012) argues that there is no longer a choice regarding implementing an e-learning strategy. While, the format and delivery of this e-learning strategy is still a contentious issue, there are many examples of Universities gradually moving to the full integration of technology into pedagogy through blended learning.

Blended Learning

Universities have made concerted investments in technology and many, in the UK, have adopted a 'blended learning' approach to deliver course content (Wade, 2012). Oliver and Trigwel (2005) and Bluc et al (2007) advocate that the blended learning is a mix of traditional methods (face to face teaching) and online teaching. Research by Martinez-Caro and Campuzano-Bolarin (2011) revealed that satisfaction was significantly greater in blended learning courses than the traditional face to face courses. Even though there is evidence of a positive experience of blended learning research by Osgerby (2013) concluded that students still preferred face-to-face lectures. This is supported by Lily et al (2014) and Platt et al. (2014) who determined that students did not perceive online classes as being equivalent to a traditional delivered class due to the limited number of opportunities for interaction in comparison to a face to face course.

While there is growing support for a blended learning approach that combines traditional lecture with online material results. The format and delivery of the blended format is still a nebulous subject. However, recent evidence of the flipped learning model is proving to be highly popular and effective in engaging student learning both through VLE and face to face contact.

Flipped Learning

The flipped classroom is emerging as one of the most recent popular technology-infused learning models. A flipped classroom approach requires students to undertake significant pre-class preparation that involves watching pre-recorded lecture videos and reviewing academic and practitioner material to enable traditional class time to be reserved for

discussion and problem solving of the subject topic. It is said that learning is “flipped,” “inverted,” or “reversed” since it happens in a sequence directly opposed to the traditional way of delivering (Bergmann and Sams 2012).

Most adopters of the flipped learning model believe that by implementing these technological pre-classroom resources release tutors to do what they to best improving the overall quality of the classroom interaction and learning process (Lee et. al, 2017). Classroom time is solely devoted to “discovering and sharing ideas with one-to-one assistance, scaffolding, and inspiration, all made feasible by offloading content delivery onto the online lectures that are better at visual representations and self-pacing” (Lee et. al, 2017, p.428) .

Another important aspect that is stressed in flipped learning is ‘peer instruction’. Harvard Professor Eric Mazur developed in 1991 a model of ‘peer instruction’ providing material for students to prepare and reflect on prior to his classes. The students would then use that in class time increasing deeper cognitive thinking through peer interaction and tutor support. Mazur called this “just in time teaching” (Crouch and Mazur 2001).

The effectiveness of the flipped learning model was investigated by Tune et al. (2013) who concluded that the flipped model appeared to have a strong positive effect on overall student performance. They concluded that the success of this approach is enhanced by the use of in-class quizzes and homework which contributed to greater student participation in classroom discussions and ultimately improved student performance. However, concerns have been raised about the level of commitment and knowledge required as well as the time needed to develop these methods. Bergmann (2011) addressed some areas of resistance, in his blog post, by highlighting a number of challenges of successfully implementing flipped learning, namely:

Video lectures lead to less engaged students.

Classes will become too big to support engagement with students.

It’s just bad lecture on video.

Students with limited access to technology are hurt

The main challenges of flipped learning are centred on the lack of resources and time scarcity of tutors. Furthermore, for an effective flipped classroom course to take place tutors must ensure that students have prepared for in-class sessions prior to class and must be fully prepared for the new demands of interactivity in the classroom to enable peer-instruction and engagement (Long et al., 2017). What is becoming evident, for the successful implementation of VLE, is that significant resources and cultural inertia challenges still remain to be resolved to release the full potential of an e-learning environment.

Challenges of E-learning

Despite the growth in VLE systems at Universities there is limited evidence of the successful integration of these platforms into student learning. One primary reason could be attributed to the lack of direction and support offered tutors to develop e-learning material and online engagement activities. A further reason could be assigned to the lack of understanding of how students wants to engage in learning, which platforms and content should we be aiming to engage them with? Bringing together the right mix of collaborators, contents and services requires universities to appreciate students’ physical context (where and when) learners find themselves into (time and space), what the learning resources and services are available for the learners, and who are the learning collaborators that match the learners’ needs (Ogata, & Yano, 2004; Zhang, Jin, & Lin, 2005).

Bee (2013) has raised concern over the lack of consistency between modules on virtual learning environments (VLEs). However, universities are reviewing their e-learning modules to identify how they can introduce templates that offer minimum standards for the use of the VLE (Reed, 2014).

While there is common agreement that as a minimum modules should provide contact details for module tutors and timely information about assessment requirements, lecture notes and reading lists. Research by Reed and Watmough (2015) discovered that staff, at a Russell Group University, differed considerably from their students as to what should be uploaded on an online course module. The key disagreements, from the staff, were:

Provision of past exam papers (46% difference);

Online submission of coursework (41% difference);

Provision of module specification (38% difference);

Opportunity for draft / formative feedback on work (34% difference).

Other issues rising from the more traditional VLE systems is that some consider them inflexible and promoting just a one-way approach to learning. A number of academics (Crosslin, 2010; Kloos et al., 2011) have argued that HE institutions should be turning to platforms that can integrated and fully engage students on their learning journey. While a number of technological and cultural inertia issues have been highlighted. The catalyst to propelling the success of e-learning will be the symbiotic application of pedagogy and technology to augment the student experience in HE.

This paper seeks to analyse the current use of technology as a way to enhance learning outcomes for students. Since new technologies are influencing not only student-tutor engagement but also challenging traditional campus-based teaching and learning what we identified here as physical spaces. Virtual learning environments, flipped classrooms and blended are now integral part of the lexicon in most Universities challenging other well-established virtual learning environments such as Blackboard and Moodle that are anecdotally perceived, by many tutors, as magnified repositories of material that lack the catalyst to enthuse and engage students. The identifications of the student concerns and solutions to address the successful adoption of an integrated e-learning environment with traditional pedagogical delivery was the main drive for this research.

Methodology

This research adopted a mixed method approach to capturing student views, in HE, on their experience of using a popular Virtual Learning Environment (VLE), namely: Blackboard, used at many universities. The research aimed to minimise the limitations of adopting a qualitative or quantitative approach to data collection by pursuing a sequential mixed method approach that would permit a deeper understanding of the student experiences of using a university VLE system. To enable the authors to put forward pragmatic solutions to address the current limitations of application of course modules that are available on VLE systems with varied degrees of success.

The initial phase involved inviting undergraduate students to five small focus group discussions to identify key themes of experience of using the Blackboard system. The discussion focused on why they used Blackboard and how it could be improved. The focus group discussions revealed a number of key themes that were translated into open ended questions and administered to 200 students in phase 2 of the methodology. After the responses were collected and reviewed from each respondent an acceptable 121 responses were analysed to identify key themes identified from each open-ended question.

Phase 3 of the data collection resulted in the design of an ordinal questionnaire based on the key responses identified in phase 2 that asked respondents to rate their experience, of using Blackboard, and suggestions for improvement. The questionnaire was administered at a Post-92 University in a major city in the North of England. The survey resulted in a total of 266 acceptable responses from students who identified themselves as being permanently resident in the UK. While it would have been preferable to include the views of international students the sample response rate was too small, for this group, and so it was decided to exclude this category and concentrate on the views of UK students.

Findings

The open ended questionnaire survey revealed a number of insights into how the current VLE system could be improved (see Tables 2 and 3). The findings centred on five core issues, namely: 1) more information on the module and tutor being available; 2) Better user interface to be adopted to find information; 3) More feedback and discussion forums on assessment; 4) Uploading of various multimedia (videos and audio of lectures); 5) Links to other external sources (e.g. online databases, external resources).

Table 2: How could Blackboard be improved?

| | |
|--------------------------------------------------|----|
| Reduce number of times system is unavailable. | 25 |
| Information on lecture cancellations | 16 |
| More help and information on assignment | 15 |
| Better design and layout of uploaded information | 13 |

| | |
|----------------------------------------------|----|
| Easier user interface | 10 |
| All module links available | 8 |
| Forums for students to engage in discussions | 6 |
| Lecture slides to be uploaded | 4 |
| Tutor details to be available | 4 |

Table 3: What would encourage you to use Blackboard more?

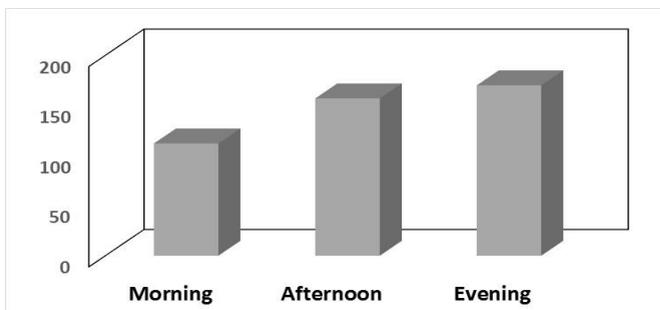
| | |
|-------------------------------------------|----|
| All module information available | 19 |
| More feedback | 15 |
| Video/audio Lectures | 12 |
| Wouldn't want to learn just by e-learning | 12 |
| Clearer layout | 11 |
| Links to journals | 11 |
| Better Access (more computers on campus) | 10 |
| Revision questions/Seminar questions | 6 |
| All lecture slides available | 5 |
| Forums | 5 |
| More business resources | 4 |
| More Information on Exam dates | 3 |
| Assignment Help | 2 |

Survey Results

The administered questionnaire resulted in 266 responses from UK students being accepted for analysis. This comprised of an almost equal number of respondents from both Genders (48.1% Male and 51.5% Female). The average age of the students was 20 (range 18 to 25) who spent an average of 4 hours a week on the university Blackboard VLE system.

The majority of students accessed the VLE system either in the afternoon or in the evening (see Figure 1).

Figure 1: Time Periods VLE accessed



The questionnaire asked respondents to rate 22 options (see Table 4) on how the current VLE system could be improved. To ensure that the 22 options captured the array of experiences and suggestions an open ended question was included that asked students to provide further suggestions on how the VLE system could be improved. The open ended results complimented the 22 options and included responses that were categorised into the following themes:

More Discussion forums;

More help for assignment / revision sessions;

Examples of previous work / worked examples;

Weekly quizzes;

Multimedia upload: Podcasts / Videos;

Video conferencing / online discussions;

Improved navigation to location information;

Notification of class cancellation;

The open ended findings provided evidence that the VLE tools can complement the student experience by not only addressing the learning requirements for a module but also ensure that the module is effective in communicating with students any administrative changes.

To undertake advanced statistical analysis, of the survey data, initially the internal reliability of the 22 options was computed and the findings revealed a very high Cronbach's Alpha of .956. Subsequently, correlation analysis revealed moderate (.2) to strong (.8) correlations between the various options on improving the VLE system. As multicollinearity (i.e. the correlations between the 22 options were not high enough to unduly influence the results) was not an issue the data needed to be screened for normality to apply factor analysis.

Test of Normality

Before any analysis was undertaken, the data file was screened for missing data and all missing responses were deleted from the data file; additionally, measures to determine the normality of the data were undertaken. This required ensuring that Skewness was less than +/- 3 and Kurtosis was less than +/- 10. Both conditions were met (see Table 4), thus, the data was appropriate for multivariate analysis.

Table 4: Test of Skewness and Kurtosis

| | | N | Mean | Skewness | Kurtosis |
|----|---------------------------------------------------------------------|-----|------|----------|----------|
| 1 | Lecture and seminar notes | 266 | 5.65 | -0.774 | -0.041 |
| 2 | additional notes and case studies | 266 | 5.64 | -0.624 | -0.456 |
| 3 | past exam papers | 266 | 5.64 | -0.882 | 0.372 |
| 4 | answers to past exams papers | 266 | 5.6 | -0.818 | 0.122 |
| 5 | Exam and assignment results | 266 | 5.72 | -0.877 | 0.111 |
| 6 | Assignment criteria | 266 | 5.72 | -0.788 | -0.144 |
| 7 | Examples of good assignments | 266 | 5.61 | -0.79 | 0.031 |
| 8 | List of academic sources that are useful | 266 | 5.63 | -0.775 | -0.021 |
| 9 | Assignment feedback | 266 | 5.66 | -0.787 | -0.066 |
| 10 | Calendar of module events (presentations) | 266 | 5.59 | -0.806 | 0.391 |
| 11 | More module information | 266 | 5.41 | -0.293 | -0.887 |
| 12 | Audio recordings of lectures | 266 | 5.05 | -0.491 | -0.483 |
| 13 | Video recordings of lectures | 266 | 4.95 | -0.511 | -0.533 |
| 14 | Lectures should host regular online discussions | 266 | 4.93 | -0.435 | -0.422 |
| 15 | Lectures should clearly highlight their availability | 266 | 5.47 | -0.404 | -0.659 |
| 16 | Online quizzes to help students learn the subject | 266 | 4.86 | -0.392 | -0.387 |
| 17 | Links to useful websites | 266 | 5.08 | -0.303 | -0.681 |
| 18 | Students should be given opportunity to write blogs | 266 | 4.64 | -0.137 | -0.641 |
| 19 | Online learning should be personalised | 266 | 4.83 | -0.168 | -0.68 |
| 20 | Students should be allowed to vote on academic issues | 266 | 4.85 | -0.227 | -0.811 |
| 21 | There should be clear instructions on how to navigate online system | 266 | 4.83 | -0.198 | -0.832 |
| 22 | There should be a link to UNI admin | 266 | 4.89 | -0.301 | -0.581 |

Test of Suitability of Data for Factor Analysis

To confirm the appropriateness of factor analysis a series of statistical assumptions were reviewed. The Bartlett's test of sphericity (BTS = 5674.81, $p < 0.0$), the Kaiser-Meyer Olkin measure of sampling adequacy (KMO = 0.935) all indicated that the data was appropriate for conducting factor analysis for Oblique Rotation (Direct Oblim)

Variance Explained by Factor Analysis

Factor analysis using Oblique rotation (Direct Oblim) was employed as the correlation results revealed that the 22 items were correlated with each other. The factor analysis revealed THREE factors (see Table 6). The factor solutions further revealed a cumulative explained variance level of 74.01% (see Table 5) confirming the high level of agreement from the sample respondents.

Table 5: Factor groups identified and Variance Explained

| Component | Initial Eigenvalues | | |
|-----------|---------------------|---------------|--------------|
| | Total | % of Variance | Cumulative % |
| 1 | 11.819 | 53.722 | 53.722 |
| 2 | 2.888 | 13.126 | 66.848 |
| 3 | 1.576 | 7.166 | 74.014 |

Exploratory Factor Analysis: Factor Loading (Oblique)

The exploratory factor analysis (Oblique) revealed three factors (labelled: **1. Supplementary Course Material; 2) Online Engagement Activities; 3) Multimedia Resources**) (see Table 6). The factor loadings in each latent group revealed a high factor loading of greater than 0.5. The factor groups compliment the findings in the literature in relation to activities to engage students and offer a more multimedia experience through the provision of video material.

Table 6: Three Factor identified

| | Component | | |
|---------------------------------------------------------------------|-----------|-------|-------|
| | 1 | 2 | 3 |
| additional notes and case studies | 0.931 | | |
| Exam and assignment results | 0.928 | | |
| Lecture and seminar notes | 0.927 | | |
| Assignment criteria | 0.898 | | |
| past exam papers | 0.871 | | |
| answers to past exams papers | 0.858 | | |
| Examples of good assignments | 0.813 | | |
| Assignment feedback | 0.805 | | |
| List of academic sources that are useful | 0.723 | | |
| Calendar of module events (presentations) | 0.714 | | |
| Lectures should clearly highlight their availability | 0.584 | | |
| More module information | 0.503 | | |
| There should be clear instructions on how to navigate online system | | 0.906 | |
| Students should be allowed to vote on academic issues | | 0.878 | |
| Online learning should be personalised | | 0.855 | |
| There should be a link to UNI admin | | 0.846 | |
| Students should be given opportunity to write blogs | | 0.800 | |
| Links to useful websites | | 0.767 | |
| Online quizzes to help students learn the subject | | 0.671 | |
| Video recordings of lectures | | | 0.899 |
| Audio recordings of lectures | | | 0.869 |
| Lectures should host regular online discussions | | | 0.755 |

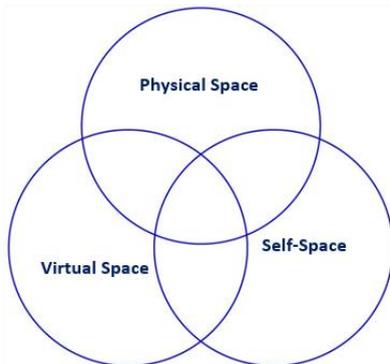
Discussion

This paper raises questions over the educational impact of the use of passive traditional virtual learning environment (VLE) environments such as Blackboard to engage students in context aware ubiquitous learning. The findings of this research provide insights into the three key areas that students would like to see improved on the current usage of module, available on Blackboard, that involve tutors investing in:

- 1) Supplementary Course Material;
- 2) Online Engagement Activities;
- 3) Multimedia Resources

The contemporary flipped learning model is providing good evidence of the positive impact on student performance (Tune et al., 2014). However, evidence from this research points to much investment and effort that is required to meet student expectations of e-learning systems. Especially, as highlighted in the literature, there are a plethora of online tools and platforms (mostly available free such as *Coursera*, *Futurelearn*) that offer students a much richer and deeper online learning experience. Consequently, this research proposes a new learning framework that incorporate traditional pedagogy delivery with e-learning and self-study (see Figure 2) to enrich the student experience.

Figure 2: Integrated Learning Framework



In terms of physical space this paper consider all the resources students and peers have at their disposal within the university campus such as lectures/seminars, labs, libraries, academic support, feedback, tutor time, etc. By virtual space we mean all the online platform that can be offered to students during the time of their learning program either via VLE or any other external virtual tool or third party app. We argue that the self-space points to what goes on within the student's own world and their minds, their own motivations, their skills and capabilities, their ability to absorb and capture key concepts and learning, etc. and how the external and virtual world are affecting their cognitive, emotive and neurologic capabilities.

The concept of the three spaces proposes that learning takes place not only in the realm of physical and virtual interaction but on the self and inner realm of student's own predisposition, cognitive capabilities, motivations, neuro-biology and psychology (feelings and emotions). This holistic overview of student learning offers universities an opportunity to be creative in the use of technology to engage and enhance the student learning journey in Higher Education.

Recommendations

As we enter a world of the Internet of Things (IOT) in which a multitude of devices will be connected to the internet that includes wearable technology. This will create new opportunities for Universities to develop material to engage their target audience. In which learning can take place anytime, anyplace and on almost any connected device. Based on the current findings the authors propose a number of recommendations to help universities attain an effective and impactful e-learning system for students, these include:

- Development of a coherent vision and strategy for a VLE to enhance the student learning experience;
- Agreement and articulation of the minimum expectations from any module that is offered on the VLE system;

Dedicated investment in training tutors to become familiar with the online learning systems and their range of tools to engage students;

Facilitating collaboration between tutors and media / multimedia designers to design visual content that captures the attention of users;

Utilising metric to capture the student engagement with the e-learning modules;

Development of pedagogical activities that capitalises on the capabilities of technology to engage and empower student learning independently.

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A Result of Divorce Under Turkish Law from the Perspective of Child: the Surname Problem - the Problem of Whether the Mother Who Enjoys the Right to Custody is Allowed to Give Her Own Surname to Child

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Abstract

Custody is a legal term that comprises both the rights and obligations of the parents regarding the care and control of the child and constitutes the legal ground for the care, education, legal representation of the child, the management of assets and the protection of the interests of the child. Until recently, the custody was regarded as a right of to dominance of the parents over the child, today, it is regarded as both a right and an obligation. The right to custody is enjoyed by both of the parents during the marriage. The judge decides which spouse will have the right to custody upon the termination of marriage (Turkish Civil Code, Articles 182, 336) Under Turkish law, the child born during the marriage bears the family surname (Turkish Civil Code Article 321). The family surname is the surname of the men. In case of divorce, irrespective of which spouse has the right to custody, the child continues to bear the surname of the father. The divorced women bears her former surname before marriage. In case the mother has the right to custody, there will be a difference between the surname of the mother and surname of the child. Also the father who does not have the right to custody, as opposed to the mother who has the custody, is allowed to give his surname to the child. This may lead to contradictions with respect to right to custody. Some vital problems occur especially in cases where the father does not maintain personal relationship with the child and the care of the child is completely undertaken by the mother. At this point, the discussion arises whether the child can bear the surname of the mother. The issues has two aspects: the interest of the child and whether the woman is discriminated due to not being able to give her surname to her child. The issues regarding the scope of the right to custody, the benefit of the child and the discrimination against women will be covered according to Turkish Law in the light of the decisions of the Turkish Constitutional Court.

Keywords: Result, Divorce, Turkish Law, Perspective, Child, Surname, Problem

1. Introduction

Custody is a legal term that comprises both the rights and obligations of the parents regarding the care and control of the child and constitutes the legal ground for the care, education, legal representation of the child, the management of assets and the protection of the interests of the child. Until recently, the custody was regarded as a right of to dominance of the parents over the child, today; it is regarded as both a right and an obligation. The right to custody is enjoyed by both of the parents during the marriage. The judge decides which spouse will have the right to custody upon the termination of marriage (Turkish Civil Code, Article 182, 336)

Under Turkish law, the child born during the marriage bears the family surname (Turkish Civil Code Article 321). The family surname is the surname of the men. In case of divorce, irrespective of which spouse has the right to custody, the child continues to bear the surname of the father. The divorced women bears her former surname before marriage. In case the mother has the right to custody, there will be a difference between the surname of the mother and surname of the child. Also the father who does not have the right to custody, as opposed to the mother who has the custody, is allowed to give his surname to the child. This may lead to contradictions with respect to right to custody. Some vital problems occur especially in cases where the father does not maintain personal relationship with the child and the care of the child is completely undertaken by the mother. At this point, the discussion arises whether the child can bear the surname of the mother. The issue has two aspects: the interest of the child and whether the woman is discriminated due to not being able to give her surname to her child.

The issues regarding the scope of the right to custody, the benefit of the child and the discrimination against women will be covered according to Turkish Law in the light of the decisions of the Turkish Constitutional Court.

II. The Right to Custody

The right to custody is an absolute right enjoyed by both the mother and the father during the marriage. It is the interest of the child that forms the limitations to the right to custody. The right to custody is founded upon the interest of the child.

In case the marriage is terminated due to the death, the surviving spouse enjoys the right to custody. In case of decision of separation is rendered during the marriage, the judge decides about the issues on the use of right to custody and maintaining personal relationship with the child. In case of divorce, the spouse to whom custody is granted enjoys the right and the other spouse is deprived of the right to custody. If the spouse to whom the right to custody is granted in case of divorce deceases, the right to custody does not pass by itself to the other spouse. A separate judicial decision is required in this respect.

III. The Surname Problem

The Surname of the Woman In Case of Divorce

The married woman bears the surname of his spouse as family surname (Turkish Civil Code Article 187). Upon request, the woman is allowed to use her own surname together with the surname of her spouse. In case the woman has two surnames prior to marriage, she is supposed to prefer one of these. In case the woman prefers to use solely her own surname (which is generally the surname at birth), since an explicit regulation is absent, a court decision is required.

This is found to be in violation with Article 14 of European Convention on Human Rights by ECHR on the ground of sexual discrimination.

In case of divorce, the woman is allowed, by a court decision and the permission of her spouse, to use together both her surname she had before the marriage and the surname of his spouse if she can prove she has benefit in doing so. The other spouse may withdraw his permission by a court decision if there is a good cause.

The Problem of Whether the Mother who Enjoys the Right to Custody is Allowed to Give Her Own Surname to Child

The surname of child is regulated under Article 321 of Turkish Civil Code: “

Surname

Article 321- *If the mother and father is married, the child bears the surname of the family (...)¹. However, if the mother has double surname from her previous marriage, the child bears the surname of her celibacy².*”

¹ The expression present in the first sentence “... if not married, the surname of the mother...” has been annulled by the Constitutional Court with its decision E.: 2005/114, K.: 2009/105, dated 2/7/2009.

² Article 10- Equality Before Law

Everyone is equal before the law without distinction as to language, race, colour, sex, political opinion, philosophical belief, religion and sect, or any such grounds. (Paragraph added on May 7, 2004; Act No. 5170) Men and women have equal rights. The State has the obligation to ensure that this equality exists in practice.

(Sentence added on September 12, 2010; Act No. 5982) Measures taken for this purpose shall not be interpreted as contrary to the principle of equality.

(Paragraph added on September 12, 2010; Act No. 5982) Measures to be taken for children, the elderly, disabled people, widows and orphans of martyrs as well as for the invalid and veterans shall not be considered as violation of the principle of equality.

No privilege shall be granted to any individual, family, group or class.

State organs and administrative authorities are obliged to act in compliance with the principle of equality before the law in all their proceedings.

Article 41- Protection of Family and Children's Rights

(Paragraph added on October 3, 2001; Act No. 4709) Family is the foundation of the Turkish society and based on the equality between the spouses.

The State shall take the necessary measures and establish the necessary organization to protect peace and welfare of the family, especially mother and children, and to ensure the instruction of family planning and its practice.

According to this regulation, the children who are born during the marriage and those born outside the marriage but the paternity relationship is established (either by paternity suit or recognition) bear the surname of their father. However, the children whose paternity relationship is not established and born outside the marriage bear the surname of their mother.

Upon individual application, the Constitutional Court has rendered a decision in 2015 regarding whether the mother to whom the custody is granted is allowed to give her own surname to the child. The Plaintiff "mother" has filed a lawsuit at the court of first instance with the request of giving her own surname to her child after the divorce based on her right to custody. The Court of first instance has accepted her request. Upon the appeal of the defendant, the Court of Cassation has examined the case and reversed the judgment. Following this, the court of first instance has changed its decision and ruled accordingly. The Plaintiff "mother" has appealed the decision; however, the Court of Cassation has resisted on its decision. Thus, the Plaintiff has applied to the Constitutional Court on the ground that her constitutional rights related to family law and the equality principle among the spouses has been violated and thus, she has faced discrimination.

However, I am of the opinion that, considering the right to custody and the best interest of the child, under Article 321 of Turkish Civil Code which regulates the surname of the child within the marriage, the decision of the court of first instance was appropriate.

The different surnames of the mother and child lead to many problems when the mother has the right to custody. It is also important to mention that under Turkish Law, joint custody in case of divorce is not present. Thus, in case of divorce, the right to custody is granted either to mother or the father.

The Constitutional Court has examined the application. The request of the mother is to be able to grant her own surname to the child. Such a request is made because she is required to present divorce and civil registry documents each time she has to make a transaction for the child in many areas including medical and educational matters.

The issue is approached from two perspectives: the best interest of the child and the principle of equality.

The Court has found a violation with respect to child and discrimination under Article 10¹ and 41 as well as Article 7 and 14 of ECHR. It is also mentioned that the issue should be examined in the light of Article 17 of the Constitution with respect to right to protection of corporeal and spiritual existence and Article 20 of the Constitution with respect to protection of private life.

Article 10 of the Constitution regulates the principle of equality before law, Article 41 regulates the family life and the equal rights of the spouses.

The surname of the child is protected under Article 8 of the Convention and Article 14 of the Convention regulates the prohibition of discrimination. The issue is also examined in the light of international agreements to which Turkey is a party to. According to Article 23 United Nations Convention on Civil and Political Rights, States shall take appropriate steps to ensure equality of rights and responsibilities of spouses as to marriage, during marriage and at its dissolution. Also, according to Article 16 of the Convention on the Elimination of all Forms of Discrimination Against Women, men and women shall have the same rights and responsibilities during marriage and at its dissolution. They shall enjoy the same rights and responsibilities as parents, irrespective of their marital status, in matters relating to their children as well as the same personal rights as husband and wife, including the right to choose a family name.

In the light of all these regulations, the Constitutional Court has ruled that considering the problem of whether the mother to whom the custody is granted should be able to give her surname to the child under Article 321 of Turkish Civil Code is not appropriate and renewal of the trial by the court of first instance. It has also mentioned that Article 321 is irrelevant for

(Paragraph added on September 12, 2010; Act No. 5982) Every child has the right to protection and care and the right to have and maintain a personal and direct relation with his/her mother and father unless it is contrary to his/her high interests.

(Paragraph added on September 12, 2010; Act No. 5982) The State shall take measures for the protection of the children against all kinds of abuse and violence.

¹ The decision of the Constitutional Court dated 25.06.2015.

the case at hand since it does not regulate the surname of the child in case of divorce and thus, on this issue, there is a legal gap under Turkish Law¹.

IV. Conclusion

The right to name is a personality right which is absolute and inalienable right. The decision of the Constitutional Court is absolutely proper. Nowadays the issue of joint custody is discussed and in international texts, the equality between man and woman is mentioned regarding the determination of family surname.

The question of whether the mother to whom the custody is granted should be allowed to give her own surname to the child is a issue about the best interest of the child rather than the right to custody and related to this, discrimination. The legal solutions that the interest of the child requires will be the ones that suit best when the protection of child is considered. Since, according to Article 27 of Turkish Civil Code No. 4721, change of name is possible upon request by a court decision in case there is a good cause, if it is contrary to the interest of the child, the requirement for a child to use the surname of father should also be discussed. Even this issue is considered from the perspective of the necessity to change name rather than the use of the right to custody, since surname is also a part of name, the change in the surname could be required with the discussion about the child interest.

Besides all these, although it is possible to use the right to custody equally with man/father and even the father who does not enjoy custody is allowed to give his surname to his child, depriving the mother of such right constitutes violation of the Constitution and international agreements.

Under Turkish Law, Article 4/2 of the Law on Surname No. 2525 which designates that the child shall bear the surname of the father in case of divorce has been annulled by the Constitutional Court. Art. 321 of Turkish Civil Code does not make such a designation as well. Thus, the issue should be solved by the court of first instance in accordance with Article 1 of Turkish Civil Code. According to Article 1 of Turkish Civil Code, in case of a legal gap, the judge is required to solve the issue with the rule that he would make as legislator. In this regard, in the case at hand, the judge is required to consider the best interest of the child.

¹ http://ec.europa.eu/eurostat/statistics-explained/index.php/Fertility_statistics

Understanding Global Citizenship Levels of Turkish Erasmus Students in Poland from Different Variables

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Abstract

Global citizenship has been a phenomenon at presence since Kant's Perpetual Peace (1795) though it is seemed nascent. The concept defined as "world citizen by Kant, has been widely used as "post national citizenship", "cosmopolitan citizenship" and "global citizenship" as a solution to the problems of the global age. Sociology, International Relations and Educational Sciences emphasizes different aspects of global citizenship while all of them champion the effect of study abroad experience on global citizenship. In other words, study abroad experience helps awareness of the global problems, produce solutions for these problems and finally take actions at the global level. Hence forth, Erasmus program which is one of the most extensive study abroad programs is considered to contribute to personal awareness process for responsibilities beyond his own society. From this point of view this study conducted through descriptive survey model aims to understand the effect of different variables on the global citizenship levels of Turkish Erasmus students in Poland. In line with this aim, 201 Turkish Erasmus students in Poland were conducted "global citizenship scale" developed by Morais & Ogden (2010). Findings suggest that Turkish Erasmus students have an intermediate level of global citizenship, and get the lowest level from global civic engagement sub dimension. Also it is understood that some variables have an impact on global citizenship.

Keywords: Global Citizenship, Turkish Erasmus Students, Poland

Introduction

If we need to define one phenomena for world history and international relations in recent era, it will be globalization. The shrinking of the world, appearance of supra national institutions like the EU and the extending borders of money and trade circulation are both causes and outcomes of this still working process. With the rise of globalization the global citizenship concept have started to be discussed. Global citizenship definition covers the awareness of one's role as a citizen of this wide world, respecting diversity, understanding how the world works, being reactionary against social injustice, being engaged in different communities ranging from local to global, being ready for any kind of action that aims to make world more equal and sustainable and feeling the responsibility of one's actions (Oxfam, 2006). Thought in this context, Erasmus program with its diversity, scope and aims can be considered as an effort to educate global citizens.

Turkey sees the EU as a way of adapting and integrating to globalization. EU membership policy has been one of the main pillars of Turkish Foreign Policy. Turkey's EU experience has a long history dating back to 1959. Since then Turkey has been aiming to be a full member of the EU. And there have been official accession negotiations since 2005. But Turkey's involvement in Erasmus program had started in 2004. After 2004 starting from big universities in Turkey, almost all universities began to benefit from this exchange program.

Increasing number of outgoing Turkish Erasmus students has opened the way for various studies focusing on different perspectives; the efficiency of the program for Turkey's integration to the EU, the outcomes of Erasmus experience of Turkish students, the comparison of Turkish students with the host country's students, etc. The majority of the studies have focused on those students who have just completed their Erasmus experience. Yagci et al. have, for example, carried out satisfaction survey (daily life, academic life, student affairs etc.) with Hacettepe University students who have Erasmus experience. Şahin (2007) similarly has looked into the questions whether students have achieved their goals set before the

Erasmus experience and what kind of changes have occurred after the experience. Bulut (2008) also has studied the efficiency of the Erasmus program in terms of Turkish students. Demir and Demir (2009) have focused on the contribution of the program to the students at Erciyes University Faculty of Education. They have highlighted the benefits of the program to students' personal development and problem solving skills. Sari and Aktan (2010) and Onder and Balci (2010) have also tried to uncover opinions of students about Erasmus program.

This study aims to understand Turkish Erasmus students' global citizenship level. What makes this study different from previous studies is that the data collected through fieldwork and Morais and Ogden's global citizenship scale was carried out during Turkish students' Erasmus experience in Poland. The Turkish version of the scale was already used by doing validity and reliability tests by Şahin and Çermik (2011). Looking through the literature, it will be the first study carried out with Turkish Erasmus students during their experience.

To uncover what kind of variables have an impact on Turkish Erasmus students' level of global citizenship, these hypotheses will be tested:

H1: There is a positive correlation between being a membership of a NGO, being interested in politics and global citizenship level.

H2: Those proving Turkey's membership to the EU have a higher level of global citizenship.

H3: Gender makes a difference in global citizenship level.

H4: The more family income a student have, the better s/he has a global citizenship level.

Method

Research Model

In this study survey model, one of the quantitative research methods is used to understand global citizenship levels of Turkish Erasmus students in Poland in terms of various variables. Survey model is a quantitative research method that helps to reveal the opinion, behavior or attitude of a sample about an issue or situation (Creswell,2012)

Study Group

The study group is composed of 201 Turkish Erasmus students in Poland at University of Warsaw in Warsaw (the biggest and the capital city of Poland), Tischner European University in Krakow (the second biggest city of Poland) and University of Information Technology and Management in Rzeszow. Some demographic information of the study group is given the tables below

Table 1. Gender distribution of the study group

| Participants | Gender | | | | | |
|--------------------------|--------|------|------|------|-------|-----|
| | Female | | Male | | Total | |
| | f | % | f | % | f | % |
| Turkish Erasmus Students | 70 | 34,8 | 131 | 65,2 | 201 | 100 |

34,8 % of 201 participants of Turkish Erasmus students is female and 65,2 % of that is male.

Table 2. Age distribution of the study group.

| Participants | Age | | | | | | | |
|--------------------------|-------|---|-------|------|-------------|------|-------|-----|
| | 18-19 | | 20-22 | | 23 and over | | Total | |
| | f | % | f | % | f | % | f | % |
| Turkish Erasmus Students | 14 | 7 | 111 | 55,2 | 76 | 37,8 | 201 | 100 |

The biggest majority of the participants (55,2 %) belongs to 20-22 ages while the lowest participation belongs to 18-19 ages (7,8 %).

Table 3. Distribution of the study group by mother's education level

| Mother's Education Level | Turkish Erasmus Students | |
|-------------------------------|--------------------------|------|
| | f | % |
| Illiterate | 8 | 4 |
| Only literate | 10 | 5 |
| Primary School Graduate | 48 | 23,9 |
| Secondary School Graduate | 24 | 11,9 |
| High School Graduate | 69 | 34,3 |
| University graduate and above | 42 | 20,9 |
| Total | 201 | 100 |

There are 8 students whose mother is illiterate and majority of students' mother is high school graduate (34,3 %).

Table 4. Distribution of the study group by father's education level

| Father's Education Level | Turkish Erasmus Students | |
|-------------------------------|--------------------------|------|
| | f | % |
| Illiterate | - | - |
| Only literate | 4 | 2 |
| Primary School Graduate | 43 | 21,4 |
| Secondary School Graduate | 23 | 11,4 |
| High School Graduate | 62 | 30,8 |
| University graduate and above | 69 | 34,3 |
| Total | 201 | 100 |

There is no student whose father is illiterate and majority of students' father is university graduate (34,3 %). When Table 3. and Table 4. taken into consideration, it can be seen that more than half of the students' parents are not university graduate. This finding emphasizes the importance of Erasmus for Turkish students.

Table 5. Distribution of the study group by monthly family income

| Income Level | Turkish Erasmus Students | |
|--------------|--------------------------|------|
| | f | % |
| 1001-2000 TL | 44 | 21,9 |

| | | |
|--------------|-----|------|
| 2001-3000 TL | 55 | 27,4 |
| 3001-4000 TL | 45 | 22,4 |
| 4001 + TL | 57 | 28,4 |
| Total | 201 | 100 |

There is a homogeneity distribution in income level for Turkish Erasmus students: 21,9 % of the study group has 1001-2000 TL monthly income; 27,4 % has 2001-3000 TL monthly income; 22,4 % has 3001-4000 TL monthly income and 28,4 % has 4001 + TL monthly income.

Table 6. Distribution of the study group by being a member of a nongovernmental organization

| Being a Member of a Nongovernmental Organization | Yes | | No | | Total | |
|--------------------------------------------------|-----|------|-----|------|-------|-----|
| | f | % | f | % | F | % |
| Turkish Erasmus Students | 41 | 20,4 | 160 | 79,6 | 201 | 100 |

The number of Turkish Erasmus students who are a member of a NGO is only 41 (20,4 %).

Table 7. Distribution of the study group by the level of interest in politics

| The level of interest in politics | Turkish Erasmus Students | |
|-----------------------------------|--------------------------|------|
| | f | % |
| None | 22 | 10,9 |
| Little | 42 | 20,9 |
| Some | 79 | 39,3 |
| Much | 58 | 28,9 |
| Total | 201 | 100 |

The majority of Turkish Erasmus students feel interested in politics ("some" = 79 and "much" = 58) while 10,9 % of them has no interest in politics.

Table 8. Distribution of the study group by proving Turkey's EU membership.

| The attitude towards Turkey's EU membership | Yes | | No | | No Idea | | Total | |
|---------------------------------------------|-----|------|----|------|---------|------|-------|-----|
| | f | % | f | % | f | % | f | % |
| Turkish Erasmus Students | 127 | 63,2 | 52 | 25,9 | 22 | 10,9 | 201 | 100 |

The rate of those students who supports Turkey's EU membership is 63,2 % while that of who doesn't support Turkey's EU membership is 25,9 % and 10,9 % of the students has no idea about the process.

Data Collection Tool

A personal information form consisting variables considered to be influential on global citizenship level, and Global Citizenship Scale developed by Morais and Ogden (2010) were used to understand Turkish Erasmus students' global citizenship level. The Turkish version of the Global Citizenship Scale was adapted by Akin, A., Sarıçam, H., Akin, Ü., Yıldız,

B., Demir, T., and Kaya, M. (2014). The Global Citizenship Scale has three subdimensions : Social responsibility, Global competence and Global civic engagement. The coefficients of internal consistency reliability of the scale are as follows for the subdimensions: .60 for global responsibility, .69 for global competence and .86 for global civic engagement. It can be said that these results proves the scale to be reliable.

Data Analysis

Data obtained from the study was analyzed via SPSS (Statistical Package for the Social Sciences) program. The answers to the 5 point likert scale have been interpreted as seen in the table below.

Table 9. Score intervals used to interpret the averages.

| Score Intervals | Grading | Interpretation |
|-----------------|-------------------|-------------------|
| 1,00 – 1,80 | Strongly Disagree | Very inadequate |
| 1,81 – 2,60 | Disagree | Inadequate |
| 2,61 – 3,40 | Neutral | Average |
| 3,41 – 4,20 | Agree | Satisfactory |
| 4,21 -5,00 | Strongly Agree | Very Satisfactory |

Findings And Comments

Table 10. Global citizenship levels of Turkish Erasmus students.

| Global Citizenship Scale Subdimensions | Turkish Erasmus Students | | |
|----------------------------------------|--------------------------|-----------|------|
| | N | \bar{X} | S |
| Social Responsibility | 201 | 3,72 | ,695 |
| Global Competence | 201 | 3,50 | ,502 |
| Global Civic Engagement | 201 | 3,10 | ,606 |
| TOTAL | 201 | 3,34 | ,398 |

It is seen from Table 10. that Turkish Erasmus students have an average (3,34) global citizenship score from the overall of the scale. Also, Turkish Erasmus students' social responsibility score is average (3,72) and it is higher than their global competence score (3,50). This finding suggests that Turkish Erasmus students have enough faith in taking responsibility but they don't see themselves competent enough to go into action. What is also important to note that the lowest score of Turkish Erasmus students belongs to global civic engagement dimension (3,10), which implies that they don't have strong belief in actions requiring engagements to solve global problems.

Table 11. t-test results of Turkish Erasmus students' global citizenship levels by gender variable

| Global Citizenship and Subdimensions | Gender | N | \bar{X} | S | sd | t | p |
|--------------------------------------|--------|-----|-----------|------|-----|--------|------|
| Social Responsibility | Female | 70 | 23.55 | 3.88 | 199 | 3,117 | ,002 |
| | Male | 131 | 21.67 | 4.18 | | | |
| Global Competence | Female | 70 | 30.48 | 4.18 | 199 | -2,451 | ,015 |
| | Male | 131 | 32.10 | 4.61 | | | |

| | | | | | | | |
|-------------------------|--------|-----|--------|-------|-----|-------|------|
| Global Civic Engagement | Female | 70 | 46.41 | 8.10 | 199 | -,123 | ,902 |
| | Male | 131 | 46.58 | 9.60 | | | |
| Global Citizenship | Female | 70 | 100.45 | 11.47 | 199 | ,055 | ,956 |
| | Male | 131 | 100.35 | 12.26 | | | |

Table 11. shows that female Turkish Erasmus students feel more social responsibility while male Turkish Erasmus students feel more globally competent. As for global citizenship overall score and global civic engagement dimension, not any significant difference has been found.

Table 12. One way variant analysis of Turkish Erasmus students' global citizenship scores in terms of income level

| Subdimensions | Variance Source | KT | sd | KO | F | p | Difference Scheffe |
|-------------------------|-----------------|-----------|-----|---------|-------|-------|--------------------|
| Social Responsibility | Between groups | 116.5449 | 4 | 38.848 | 2.272 | 0.081 | - |
| | Within groups | 3367.783 | 197 | 17.095 | | | |
| | Total | 3484.328 | 201 | | | | |
| Global Competence | Between groups | 20.454 | 4 | 6.818 | 0.329 | 0.803 | - |
| | Within groups | 4071.436 | 197 | 20.667 | | | |
| | Total | 4091.890 | 201 | | | | |
| Global Civic Engagement | Between groups | 354.526 | 4 | 118.175 | 1.438 | 0.232 | - |
| | Within groups | 16181.622 | 197 | 82.140 | | | |
| | Total | 16536.149 | 201 | | | | |
| Global Citizenship | Between groups | 573.986 | 4 | 191.328 | 1.343 | 0.261 | - |
| | Within groups | 28057.963 | 197 | 142.42 | | | |
| | Total | 28631.950 | 201 | | | | |

No significance has been found between income level of Turkish Erasmus student and their global citizenship overall scores and other subdimensions scores (Table 12.). This means that income level has no influence on students' global citizenship levels.

Table 13. t test results of the impact of university education on students' global citizenship level.

| Global Citizenship and Subdimensions | The impact of university education | N | \bar{X} | S | sd | t | p |
|--------------------------------------|------------------------------------|-----|-----------|-------|-----|-------|------|
| Social Responsibility | Yes | 145 | 22,37 | 4,27 | 199 | ,278 | ,781 |
| | No | 56 | 22,19 | 3,93 | | | |
| Global Competence | Yes | 145 | 32,05 | 4,34 | 199 | 2,734 | ,007 |
| | No | 56 | 30,16 | 4,70 | | | |
| Global Civic Engagement | Yes | 145 | 47,79 | 8,70 | 199 | 3,264 | ,001 |
| | No | 56 | 43,23 | 9,33 | | | |
| Global Citizenship | Yes | 145 | 102,24 | 12,04 | 199 | 3,644 | ,000 |

No 56 95,58 10,40

As seen in Table 14. except from social responsibility dimension, there is a significance between student's education experience in Poland and their global citizenship levels. In other words, it can be emphasized that the Erasmus education they get in Poland have a positive impact on Turkish Erasmus students' global citizenship levels. It should also be highlighted that the big majority (145 out of 201) believes that the education they get in Poland have an impact on their global citizenship.

Table 14. t test results of the impact of being a member of a NGO on students' global citizenship level

| Global Citizenship and Subdimensions | NGO Membership | N | \bar{X} | S | sd | t | p |
|--------------------------------------|----------------|----|-----------|-------|-----|-------|------|
| Social Responsibility | Yes | 41 | 22,78 | 3,95 | 199 | ,777 | ,438 |
| | No | 60 | 22,21 | 4,23 | | | |
| Global Competence | Yes | 41 | 32,39 | 5,68 | 199 | 1,348 | ,179 |
| | No | 60 | 31,32 | 4,16 | | | |
| Global Civic Engagement | Yes | 41 | 48,87 | 10,11 | 199 | 1,871 | ,063 |
| | No | 60 | 45,91 | 8,74 | | | |
| Global Citizenship | Yes | 41 | 104,04 | 11,86 | 199 | 2,214 | ,028 |
| | No | 60 | 99,45 | 11,84 | | | |

Table 14. shows that there is no significance between subdimensions of global citizenship and Turkish Erasmus students' global citizenship levels. However it is also seen that those students who are a member of a NGO have higher overall global citizenship score that those who aren't.

Table 15. One way variant analysis of Turkish Erasmus students' global citizenship scores in terms of interest in politics.

| Subdimensions | Variance Source | KT | sd | KO | F | p | Difference Scheffe |
|-------------------------|-----------------|-----------|-----|---------|-------|-------|--------------------|
| Social Responsibility | Between groups | 50.580 | 3 | 16.860 | 0.967 | 0.409 | - |
| | Within groups | 3433.747 | 197 | 17.430 | | | |
| | Total | 3484.328 | 200 | | | | |
| Global Competence | Between groups | 185.706 | 3 | 61.902 | 3.121 | 0.02 | Much-None |
| | Within groups | 3906.183 | 197 | 19.828 | | | |
| | Total | 4091.890 | 200 | | | | |
| Global Civic Engagement | Between groups | 390.352 | 3 | 130.117 | 1.587 | 0.193 | -- |
| | Within groups | 16145.796 | 197 | 81.958 | | | |
| | Total | 16536.149 | 200 | | | | |
| Global Citizenship | Between groups | 1329.896 | 3 | 443.298 | 3.198 | 0.02 | Much-None |
| | Within groups | 27302.053 | 197 | 138.589 | | | |
| | Total | 28631.950 | 200 | | | | |

It has been found that there is a significance between overall global citizenship and global civic engagement scores and students' interest in politics (Table 15). In other words, those students who are interested in politics tend to have a better sense of global citizenship and feel more globally competent.

Table 16. One way variant analysis of Turkish Erasmus students' global citizenship scores in terms of proving Turkey's EU membership.

| Global Citizenship Subdimensions | Variance Source | KT | sd | KO | F | p | Difference Scheffe |
|----------------------------------|-----------------|----|----|----|---|---|--------------------|
|----------------------------------|-----------------|----|----|----|---|---|--------------------|

| | | | | | | | |
|-------------------------|----------------|-----------|-----|---------|-------|------|-----|
| Social Responsibility | Between groups | 113.468 | 3 | 56.734 | 3.332 | 0.03 | 1-2 |
| | Within groups | 3370.859 | 198 | 17.024 | | | |
| | Total | 3484.328 | 201 | | | | |
| Global Competence | Between groups | 101.234 | 3 | 50.617 | 2.511 | 0.08 | -- |
| | Within groups | 3990.655 | 198 | 20.154 | | | |
| | Total | 4091.890 | 201 | | | | |
| Global Civic Engagement | Between groups | 115.154 | 3 | 57.577 | 0.694 | 0.50 | -- |
| | Within groups | 16420.994 | 198 | 82.934 | | | |
| | Total | 16536.149 | 201 | | | | |
| Global Citizenship | Between groups | 432.508 | 3 | 216.254 | 1.518 | 0.22 | -- |
| | Within groups | 28199.441 | 198 | 142.421 | | | |
| | Total | 28631.950 | 201 | | | | |

Table 16. gives us that significance is only seen between social responsibility dimension and those students who prove the Turkey's EU membership. In other words students who wish Turkey to be a member country feel more socially responsible than those who don't.

Results, Discussion And Recommendations

In this study these hypotheses have been tested;

H1: There is a positive correlation between being a membership of a NGO, being interested in politics and global citizenship level.

H2: Those proving Turkey's membership to the EU have a higher level of global citizenship.

H3: Gender makes a difference in global citizenship level.

H4: The more family income a student has, the better s/he has a global citizenship level

H1: There is a positive correlation between being a membership of a NGO, being interested in politics and global citizenship level: True

It has been found in Table 15. that there is a significance between overall global citizenship and global civic engagement scores and students' interest in politics In other words, those students who are interested in politics tend to have a better sense of global citizenship and feel more globally competent. Have an interest in politics can be said to be one of the perquisites of global citizenship. In other words, someone who is interested in politics to some degree will also be aware of global problems.

As for being a member of NGO, Table 14. shows that there is no significance between subdimensions of global citizenship and Turkish Erasmus students' global citizenship levels. However it is also seen that those students who are a member of a NGO have higher overall global citizenship score than those who aren't. There many NGOs that have different functions and scope ranging from local districts to global. The type of NGOs that Turkish young people tend to be a member and those who don't tend to be a member may be analyzed in further studies. This way it will be better to understand Turkish young peoples' attitude towards NGOs.

H2: Those proving Turkey's membership to the EU have a higher level of global citizenship: Partially True.

Table 16. gives us that significance is only seen between social responsibility dimension and those students who prove the Turkey's EU membership. In other words students who wish Turkey to be a member country feel more socially responsible than those who don't. Normally, it is expected that there would be a strong correlation between those who proves Turkey's membership and global citizenship levels. But correlation only exists in social responsibility dimension. Other dimensions (global competence and global civic engagement) and overall global citizenship score have no correlation with wish to Turkey's membership.

On the other hand, the rate of Turkish Erasmus students who proves Turkey's membership (127 out of 201 , 63,2%) is higher than Turkish public opinion (in 2010 42%, in 2012 36%, in 2013 38%) (EU Commission Standard Eurobarometer 74,2010, EU Commission Standard Eurobarometer 79, 2013). Here it can be explained that the Turkish Erasmus students

have known "the other", tried to understand Europe and embrace European values to some extent. Indeed, many Europeans see the EU as "free circulation", "education and work freedom" while it is considered by many Turks as "economic welfare", "social protection", "influence in the world" (EU Commission Standard Eurobarometer EB 81 2014). At this point, it is worth studying in detail exactly which rights, freedoms or privileges influenced Turkish Erasmus students.

H3: Gender makes a difference in global citizenship level: Partially True

Table 11. shows that female Turkish Erasmus students feel more social responsibility while male Turkish Erasmus students feel more globally competent. As for global citizenship overall score and global civic engagement dimension, not any significant difference has been found. These findings tell us that though gender seems to make some difference in global competence and social responsibility dimensions, there is not a big difference that make us think that gender is an important variable for global citizenship level.

H4: The more family income a student has, the better s/he has a global citizenship level: False

No significance has been found between income level of Turkish Erasmus student and their global citizenship overall scores and other subdimensions scores (Table 12.). This means that income level has no influence on students' global citizenship levels. To put in a different way, the income level which is one of the most important determinant of socio cultural level has no direct correlation with global citizenship. The wide scope of globalism is felt by almost every income groups. At least this is valid for our study group, Turkish Erasmus students To elaborate this finding, those students who are studying in private universities outside Turkey should be targeted in terms of global citizenship. This will help to understand those students who are in the top of income level and compare them to the others.

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Teacher Candidates' Views Regarding Multicultural Education: A Case Study on Content Integration Dimension

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Abstract

The purpose of this study was to examine teacher candidates' perceptions regarding multicultural education in general, as well as to investigate whether content integration dimension is effective in terms of teaching multicultural education. Data for the study were collected from the semi-structured interviews performed with 10 teacher candidates. The participants were enrolled in the department of social sciences teaching of a faculty of education at a state university in Western Black Sea Region, Turkey. The results of the study revealed that teacher candidates' perceptions with regard to defining multicultural education, constructing the definition, promoting multicultural education, the place of multicultural education in teacher training programmes and the effect of content integration differ greatly based on their experiences and educational backgrounds.

Keywords: Multicultural Education, Content Integration, Teacher Candidates

1. Introduction

Multiculturalism and multicultural education are two important phenomena in schools all over the world and with the growing diversity, educators encounter some challenges that demand new approaches to teaching and learning in multicultural classes. In the modern sense, multiculturalism usually refers to the variety in the societies with regards to culture, language, religion, gender and so on. The concept was defined as "A philosophical position and movement that assumes that the gender, ethnic, racial, and cultural diversity of a pluralistic society should be reflected in all of the institutionalized structures of educational institutions, including the staff, the norms and values, the curriculum, and the student body." (Banks & Banks, 2009, p. 447). Multiculturalism also refers to the societies living in the same state but speaking different languages, believing in different religions and belonging to a variety of cultures and customs. Because of this, understanding and implementing multiculturalism is important not only the emphasis it puts on culture but also its contribution to both diverse societies and changing societies as a result of migration and other reasons. Within this process, multicultural education acts as a key concept in teaching the individuals to overcome social barriers caused by cultural diversities.

In the 21st century, as a result of such elements as migration, technology, increasing number of shared items in social media, easy and fast transportation, multicultural education is better understood and the implementations at schools have rapidly increased. Furthermore, multicultural education has become a crucial element of school environment when the researchers started to investigate the schools in terms of educational inequalities along with the effect of external factors.

The term multicultural education is defined as "A reform movement designed to change the total educational environment so that students from diverse racial and ethnic groups, students of both genders, exceptional students, and students from each social-class group will experience equal educational opportunities in schools, colleges, and universities." (Banks & Banks, 2009, p. 446)". The effects of this reform have become an important aspect of teacher training programs, because today the differences among the students with regards to the race, ethnicity, culture and language are more than ever before (Milner, Flowers, Moore, Moore, & Flowers, 2003). For this reason, multicultural education aims at graduating teacher candidates cognizant of the differences in daily practices and skillful regarding the diversities (Barry & Lechner, 1995; Walker, Shafer, & liams, 2004). This aim can only be accomplished through the courses added to the teacher training programs and creating opportunities for the teacher candidates to encounter multicultural issues (Premier & Miller, 2010). Thus, teacher candidates can empathize with their students in terms of diversities. Furthermore, integrating multicultural

education into teacher training programs could minimize the difficulties faced during teaching process and prospective teachers could better understand social equality and behave accordingly (Liggett & Finley, 2009). The studies carried out revealed that courses on multicultural education and field experiences added to the teacher training programs have positive effects on teacher candidates' attitudes and efficacies (Bodur, 2012; Cochran-Smith, 2003; Villegas & Lucas, 2002).

While integrating multicultural education into the existing teacher training programs, it is crucial to move forward systematically. To this end, Banks (1993) presented five key dimensions of multiculturalism; (1) content integration; (2) the knowledge construction process; (3) prejudice reduction; (4) an equity pedagogy; and (5) an empowering school culture and social structure. These dimensions help the educators define more creative and effective reforms to implement multicultural education and set the limits and determine the scope of multicultural education.

The first dimension, content integration, is about using examples, activities and content from different cultures and groups to exemplify key concepts, principles, generalizations, and theories in the subject area of an instructor (Banks & Banks, 2009). In this process, the integration is to be carried out in a logical fashion, not make-believe. Banks and Banks (2009) also states that some areas are more suitable for integrating the content than others. Especially in the courses in social studies, teachers have a great deal of opportunities to present multiculturalism. To this end, in this study multicultural education activities were integrated into classroom management course in social studies teaching programme. Therefore, the study can contribute to the design of multicultural education in such countries as Turkey where multicultural education course is not a part of teacher training programmes.

Considering the practices in terms of multicultural education, it can be noted that the importance of the concept has long been recognized in the world and the curricula are designed in line with the goals of multicultural education. For instance, in the United States of America, American Association of Colleges for Teacher Education implied the importance of cultural diversity in 1972 (Baptiste & Baptiste, 1980). 30 years later, multiculturalism was integrated into teacher training programs and after 15 years it was offered as a separate course for the teacher candidates at 54% of the universities (Levine & Cureton, 1992). In addition, The National Council for Accreditation of Teacher Education (NCATE) started to require "show evidence of planning for multicultural education in their curricula" from the institutions applying for accreditation (Ladson-Billings, 1999). In Turkey, Ministry of National Education (2006) added some competences related to cultural differences under "Teachers' Core Competences" in 2006 and recently started to emphasize the importance of multicultural education by adding course objectives and themes to the newly developed curricula.

To this end, the main purpose of the research was to investigate the perceptions of the teacher candidates regarding multicultural education after a 10-week content integration process. Based on this, answers to the following question were examined:

- What are the teacher candidates' perceptions with regards to multicultural education?

2. Method

2.1. Research Design

In this study, in order to gather data through interviews, case study approach, one of the most prevalent and important methods of qualitative data collection, was employed (Merriam, 1998; Myers & Newman, 2007). The reason behind the selection of case study as the research method was that it provided the researcher with the opportunity to deeply understand the participants' views through talking and listening to their observations.

2.2. Participants

In the qualitative studies, to collect data purposeful sampling is widely used for the identification and selection of information-rich cases related to the phenomenon of interest (Palinkas et al., 2015). For this purpose, ten teacher candidates were selected to participate in the study during the 2015-2016 spring semester. The participants were enrolled in 2-hour classroom management course within the teacher education program at the Department of Social Sciences Teaching of a faculty of education at a state university in Western Black Sea Region, Turkey. Prior to the selection of the participants 10 weeks of 14-week multicultural content integration program were completed.

2.3. Data Collection Tool

The data for the study were collected through semi-structured interviews. 4 open-ended questions were prepared after reviewing the books, articles and theses in the field of multicultural education (Banks & Banks, 2009; Bodur, 2003; Dodici,

2011; Esposito, 2011; Jefferson, 2013; Mulder, 2010; Neuharth-Pritchett, Reiff, & Pearson, 2001). Based on expert opinion 2 more questions were added in order to broaden the scope of interviews. The final interview form included the following questions:

In your own words, please provide a description or definition of what you consider multicultural education to be.

How did you construct your definition of multicultural education?

What is your perception of how multiculturalism should be promoted in school settings?

What do you think about the place of multicultural education in the courses you have taken so far?

What is your opinion about the multicultural education activities during the classroom management course?

2.4. Data Collection and Analysis

The interview for each participant was approximately lasted for 30 minutes. The interviews were recorded by voice recorder and transcribed for analysis. After finalizing the transcription process, the data were examined by using thematic analysis. According to Braun and Clarke (2006, p. 6) "Thematic analysis is a method for identifying, analyzing, and reporting patterns (themes) within data. It minimally organizes and describes your data set in (rich) detail."

In this study, the procedures during data analysis and interpretation process were carried out under five headings; data management, reading and memoing, describing, classifying and interpreting the themes, interpreting the data, representing and visualizing (Creswell, 2007). In the first phase, a qualitative data set based on the interviews was created. In the second phase, the data contexts were interpreted as a whole. In this phase, each interview transcript was carefully read line-by-line. In the third phase of the analysis process a coding system was developed to identify patterns of findings. The researcher used these patterns of findings, as developed through the coding system. Forth phase included the interpretation of the data and the researcher tried to reveal the relations among the findings. In the final phase, the representation and visualization were completed. In this phase, the findings were presented in tables and direct quotations were given.

3. Findings

The findings of the study are presented under each interview question with regards to the themes and sub-themes.

3.1. Teacher Candidates' Views Regarding the Definition of Multicultural Education

The findings about the teacher candidates' views regarding the definition of multicultural education are presented in Table 1.

Table 1. Teacher candidates' views regarding the definition of multicultural education

| Theme | Sub-Theme | f |
|---------------------------|-----------------------------|---|
| Differences | Culture | 8 |
| | Region | 7 |
| | Race | 6 |
| | Belief (Religion) | 3 |
| | Language | 2 |
| | Gender | 2 |
| | Traditions | 1 |
| Acceptance - Contribution | Blending - Including | 5 |
| | Accepting everyone | 4 |
| | Contributing | 4 |
| Prejudice | Education without prejudice | 3 |

According to Table 1, it can be said that the teacher candidates focused on three themes; differences, acceptance and prejudice. When the sub-themes are examined, it is observed that 8 teacher candidates implied cultural differences and 7 teacher candidates focused on different regions in their definitions of multicultural education. Sample answers from teacher candidates are as follows:

“A type of education that cares about different beliefs and sects (St-1).”

“An educational perception accepting everyone with diversities and an educational environment where the existence of different races and genders are accepted (St-2).”

“Inclusion of different cultures into education and providing education for each culture (St-5).”

3.2. Teacher Candidates' Views Regarding Construction of the Definition of Multicultural Education

The findings about the teacher candidates' views regarding the construction the definition of multicultural education are presented in Table 2.

Table 2. Teacher candidates' views regarding construction of the definition of multicultural education

| Theme | Sub-Theme | f |
|-------------|-----------------------------------|----|
| Environment | University - Dormitory | 8 |
| | Region - Country | 3 |
| | Family | 1 |
| Differences | Different culture | 4 |
| | Race | 4 |
| | Language | 3 |
| | Food - Drink | 2 |
| | Traditions | 2 |
| Experiences | Friends | 10 |
| | Sharing | 8 |
| | Experience | 4 |
| | Media | 3 |
| Problems | Pressure | 5 |
| | Discussion | 2 |
| | Discrimination | 1 |
| Courses | Multicultural Education Practices | 1 |

As seen in Table 2, the concepts that helped the teacher candidates construct the definition of multicultural education were environment, differences, experiences, problems and courses. When the participants' views were examined, it was observed that friends as a sub-theme was the most cited concept (N=10). In addition, 8 participants implied the importance of university/dormitory and sharing in constructing the definition; however, some of the participants mentioned the effect of such negative issues as pressure, discussion and discrimination. On the other hand, only 1 participant referred to multicultural education practices, which indicates that the effect of environment and experiences is much more than the theoretical information provided during the activities. Sample answers from teacher candidates are as follows:

“In general, the places I have been, university and my friends are effective. Sometimes we encounter big problems based on multicultural issues and these problems lead to bigger discussions. I realize that the habits related to food, drink, speaking, traditions are different (St.-1).”

“My experiences and my friends at the dormitory are effective. Having friends from different regions helped me understand their traditions and habits better. I have friends from Diyarbakır (a city located in the eastern part of Turkey), in the beginning we had some reservations but later we realized that we had common ground. These helped me construct the definition of multiculturalism (St. 10).”

3.3. Teacher Candidates' Views Regarding Their Perception of How Multiculturalism Should Be Promoted in School Settings.

The findings about the teacher candidates' views regarding their perception of how multiculturalism should be promoted in school settings are presented in Table 3.

Table 3. Teacher candidates' views regarding their perception of how multiculturalism should be promoted in school settings

| Theme | Sub-Theme | f |
|------------------|-----------------------------|---|
| Education | Academician | 3 |
| | Teacher | 3 |
| | Student | 3 |
| Communication | Incorporation/sharing | 6 |
| | Language | 5 |
| | Communication | 4 |
| | Empathy | 3 |
| | Freedom of thought | 1 |
| Method/Technique | Presentation | 5 |
| | Activities (videos / games) | 5 |
| | Group work | 1 |
| Negative Issues | Pressure | 6 |
| | War | 3 |
| | Discussion | 2 |
| | Racism | 2 |

As seen in Table 3, the themes related to the teacher candidates' views regarding their perception of how multiculturalism should be promoted in school settings were education, communication, method/technique and negative issues. According to these findings, it can be said that the participants mainly implied sharing, language and presentations and activities in promoting multicultural education. Furthermore, teacher candidates emphasized the importance of raising teachers, academicians and students awareness with regard to multiculturalism and multicultural education. On the other hand, cultural repression comes to the fore as a negative issue. Sample answers from teacher candidates are as follows:

"It is important that teachers know their students well and be aware of the culture they were raised. Adding words or items from the students' culture may help them embrace the school environment. Teachers should provide opportunities for the students to present themselves and their culture. Discussing these issues and freedom of thought are important for our classes (St.-3)."

"People have different cultures and cultural background, but teachers act as if there is only one culture in their classes. Sometimes teacher try to impose their political views and dominant culture. In my opinion, multiculturalism involves blending and sharing ideas. The group works in the classes become mono cultured when we choose the groups ourselves. We don't know each other and we stay in our boundaries. Teachers should help us know and recognize each other. They should create opportunities for us (St.-9)."

3.4. Teacher Candidates' Views Regarding Multiculturalism in Teacher Training Programmes

The findings about the teacher candidates' views multiculturalism in teacher training programmes are presented in Table 4.

Table 4. Teacher candidates' views regarding multiculturalism in teacher training programmes

| Theme | Sub-Theme | f |
|---------|---------------------------------------------------------|---|
| Courses | Classroom Management (Multicultural Education Practice) | 9 |
| | Social Psychology (Gender) | 3 |
| Issues | Not mentioned in the courses | 5 |
| | Pressure / Fear | 4 |
| | Monocultural Course | 2 |
| | Exclusion / Discrimination | 2 |

As presented in Table 4, the findings with regards to multiculturalism in teacher training programmes were courses and issues. According to the results, it can be said that Classroom Management Course whose content was integrated into Multicultural Education Practices contributed most to the multicultural education. Moreover, the participants implied the contribution of Social Psychology Course in terms of gender equality. However, when the answers were investigated the effect of such problematic issues as pressure, fear, mono-culturalism and exclusion also came to the fore. Sample answers from teacher candidates are as follows:

"This is my 5th year, no course have contributed to multiculturalism so far. The courses mainly focused on dominant culture or just presented its theoretical information. These caused problems, there shouldn't be mono-cultural teacher. There are many people around us with diversities. We have to embrace them (St.-1)."

"Indeed, till this year, we haven't talked about multiculturalism. I noticed that people do not have same opportunities. Especially in our university we don't give much importance to multicultural issues. I am happy to talk about these kind of subjects and I believe this is freedom of thought. There are many courses where we can't talk about our culture. People with diversities are excluded in our classroom (St.-3)."

3.5. Teacher Candidates' Views Regarding Multicultural Education Activities during Classroom Management Courses

The findings about the teacher candidates' views regarding multicultural education activities during classroom management courses are presented in Table 5.

Table 5. Teacher candidates' views regarding multicultural education activities during classroom management courses

| Theme | Sub Theme | f |
|-------------------------------------------|-------------------------------------------|---|
| Content Integration | Effective | 8 |
| | Awareness | 4 |
| | Empathy | 1 |
| Activities during the course | Videos | 6 |
| | Discussions | 1 |
| | Presentations | 1 |
| A separate Multicultural Education Course | Elective Multicultural Education Course | 8 |
| | Compulsory Multicultural Education Course | 3 |

As seen in Table 5, the themes related to teacher candidates' views regarding multicultural education activities during classroom management courses were content integration, activities during the course, a separate multicultural education course. The participants, in particular, stated the effectiveness of content integration and implied that the activities were of great significance in terms of raising awareness. However, dedicating only a part of a course to multicultural activities were regarded insufficient and the teacher candidates expressed their views about a compulsory or an elective course. Sample answers from teacher candidates are as follows:

"The theoretical information presented during the course and the video activities were effective. We learned how to emphasize with other cultures and diversities. It would be better to have a separate course rather than short activities in other courses (St.-1)."

"There were positive effects, we continue the discussion after the course; however, there weren't long-term effects. I would love to attend an elective multicultural education course. I also would like to talk about myself (St.6)."

4. Discussion and Conclusion

In this study, teacher candidates' perceptions regarding multicultural education and the effect of content integration dimension on their perceptions in terms of teaching multicultural education were investigated. The results of the study revealed that teacher candidates' perceptions with regard to defining multicultural education, constructing the definition, promoting multicultural education, the place of multicultural education in teacher training programmes and the effect of content integration differ greatly based on their experiences and educational background. The results of the 1st interview question revealed the participants, in general, do not base their definition of multicultural education on theoretical

knowledge. Most of them associated multicultural education with race, language, religion, accepting others and contributing; however, they did not mention multicultural education as a reform movement or its relation to disability, giftedness or gender. This finding implies that content integration process was not effective in terms of teaching a more comprehensive definition of multicultural education. The findings of the study carried out by Sia and Mosher (1994) revealed that the participants defined multicultural education as learning about, respecting and accepting other cultures. Alanay (2015) and Atasayar (2015) also stated that teacher candidates viewed multiculturalism and multicultural education as respecting and recognizing religion, language, race, socio-economic background, tolerance and empathy.

With regards to the construction of the definition of multicultural education, the participants emphasized the effect of the environment they live in and their experiences. To this end, it can be noted that using a variety of teaching methods and considering the effect of university or dormitory environment and friends when planning multicultural education are of great significance. In a study conducted by Demirsoy (2013), half of participants also implied that they were affected by the multicultural environment in their university and the students coming from other cultures contribute to their perceptions and knowledge. The findings of the study, on the other hand, revealed that the effect of multicultural education practices on the construction of definition of multicultural education was very little. However, Bodur (2003) noted that the participants in his study mostly based their definitions on the experiences they gained during multicultural education courses.

The results revealed that the actors in the education process (academicians, teachers and students), the means of communication and the methods utilized during the courses were the agents to promote multiculturalism in school settings. According to the findings, a more comprehensive approach embracing both the school environment and out-of-school time should be adopted to recognize and promote multiculturalism. Furthermore, supporting the education environment with such methods and techniques as presentations, video activities, group work and so on is important. In a study carried out by Estupinan (2010) stated that the teacher candidates implied the importance of teaching strategies, multicultural classroom management strategies, group activities and presentations to introduce different cultures in promoting multicultural education. Besides the activities carried out in the school, creating opportunities to establish communication with other cultures out of the school was regarded as a crucial component of promoting multicultural education. The results of some other studies also imply the importance of teaching techniques and styles, empathy, interaction and communication (Alanay, 2015; Brady, 2014; Demirsoy, 2013; Estupinan, 2010).

The teacher candidates participating in the study noted that they did not have any course on multicultural education or talk about multiculturalism till 3rd grade. In addition, the findings revealed that the concept of culture was not mentioned even in courses where culture is a part of content and sometimes the participants face discussions leading to assimilation. However, the results indicate that the teacher candidates were aware of the need for multicultural education. Other studies also implied such a need and the deficiencies in teacher training programmes in terms of multicultural education (Alanay, 2015; Brady, 2014; Esen, 2009; Estupinan, 2010; Gray, 2010; Kaya, 2014).

The results of this study revealed that integrating the content of multicultural education during the classroom management courses was effective in terms raising awareness of the participants regarding the diversities encountered in and out of the classroom environment. Most of the participants implied that they recognized the differences with the help of the videos, presentations and discussions. Furthermore, the teacher candidates noted that the move beyond awareness and to take action a multicultural education course either compulsory or elective should be added to teacher training programmes. These findings are in line with the studies carried in other countries (Barry & Lechner, 1995; Bodur, 2003; Brady, 2014; Capella-Santana, 1995; Estupinan, 2010). As a result the study carried out by Brady (2014), it was expressed that teacher candidates need more courses supported with field practices and workshops on multicultural education. Barry and Lechner (1995) also implied that teacher candidates have positive attitude towards multicultural education and they want more courses to improve their skills.

Finally, it can be stated that although content integration supports multicultural education as an introductory phase, faculties should move beyond and start to add separate courses on multiculturalism to the teacher training programmes.

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The Role of Higher Education in Promoting Social Mobility in Indonesia

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Abstract

This paper explains the link between higher education and social mobility in Indonesia. There are several theoretical frameworks talking about the link between higher education and social mobility and the relevant theory of them is Raymond Boudon's *Inequality of Educational Opportunity* (IEO) and *Inequality of Social Opportunity* (ISO). The results reveal that the link between higher education and social mobility in Indonesia is influenced by other factors: inequality of social-economy and geography and cultural disparities. Furthermore, the more decreasing inequality in the society, the more people can go to higher education and in turn will promote upward social mobility.

Keywords: higher education, social mobility, educational opportunity, social opportunity

Introduction

This paper is written related to the fact that there is a paucity in the study of the role of higher education attainment toward upward social mobility in Indonesia. According to many studies, the study of social mobility is very important to learn the accessibility of a community toward education and the inequality in the education (Mok 2016). Moreover, social mobility is correlated to social origins and social reproduction. Student's social origins and social reproduction are a pivotal mean to know factors influencing students' persistence and performance in the higher education. Prior studies on student persistence and performance stated that student's social origins are a determinant factor to determine student's decision to persisting and completing study (Kember 1989, 1995, 2007; Sweet 1986; Tinto 1993).

When the globalisation and the evolution of the knowledge-based economy got fully underway, the function and characteristics of education in the world are changing dramatically (Burbules & Torres 2000; Crossley 2000). In recent years, higher education credentials become a pivotal instrument in the global competitiveness and then made many countries in the world increasing number of higher education and professional institutions in their respective countries. However, the rapid expansion of higher education is not correlated positively with employment and social mobility. For instances, around 40-50% of college graduates in the USA are doing sub-graduate work; about 52% of four year college graduates are in job that match their skills, whereas 48% are overqualified for their current jobs (Vedder, Denhart, dan Robe 2013). In the same way, Green and Mok (2013) found the growing number of unemployed college graduates in Europe and Asia.

Therefore, there are pros and cons regarding the link between educational attainment and social mobility. Prior empirical studies, particularly that have used human capital theory, highlighted a positive correlation between the level of education and earnings. The youth people who completed and hold higher education credentials usually have higher earnings and more opportunity for upward mobility. Therefore, in this case, higher education attainment is an important determinant of social mobility (Checchi 2004; Becker 1993; Psacharopoulos, 1994; Psacharopoulos dan Patrinos, 2004). Whereas, some scholars believe the opposite perspective that the most significant determinants of income and social mobility are not education-related factors (Young 1990). According to these scholars, some prior studies showed that family background significantly affects educational achievement and graduates' employment in the labour market (Brown et al. 2001; Dale 2015; Coleman et al. 1966). Therefore, obtaining a higher education credential is no longer guarantee of employment, higher earnings, or most importantly, upward social mobility.

Based on these pros and cons perspectives, the role of higher education in social mobility is context-bounded and needs comparative research. Hence, this paper will examine the effect of higher education attainment on upward social mobility in Indonesia.

Research Method

This study used the secondary data as a primary source including the relevant prior studies, statistical data, journal articles, and other sources. Furthermore, these data were analysed descriptively in order to know the role of higher education attainment toward upward social mobility in Indonesia.

Higher Education, Educational Opportunity, and Social Mobility

The role of educational institutions, particularly schools and higher education, become more important since the schools have taken on functions formerly performed by the church, the family, and a number of other institutions. Starting in 1950s, higher education serves as a vehicle of mobility for masses of people and becomes a mandatory stage in the trajectories of upward mobility (Burlutskaia 2014).

In relation to the role of higher education, John Goldthorpe (2002) stated that higher education attainment can develop a merit-based system. This a merit-based system is expected to replace social class in determining economic earnings. Moreover, Goldthorpe (2002) revealed that higher education attainment functions also as a filter for parents to keep parents' economic position by passing straight through to their children.

According to Gholthorpe (2002), a less class-based society needs several requirements: 1) the link between individuals' social origins and their schooling must increasingly reflect only their ability; 2) the link between their schooling and their eventual employment must be strengthened by qualifications acquired through education; 3) the link between schooling and employment must become constant for individual of differing social origins.

However, the link between higher education and upward social mobility is frequently mediated by economic position or family earnings. For instances, the children from wealthy family tend to have meritocratic characteristics, such as ability, motivation, and preparedness, comparing to poor family. Therefore, the children having the meritocratic characteristics tend to have more opportunity to get upward social mobility (Shapiro & Willen 2005). From this case, it can be said that there is a link among social economic status, meritocratic traits, and upward social mobility.

Furthermore, in relation to the link among educational opportunity, social origins, and social mobility, Raymond Boudon (1974) proposes two concepts of 'inequality of educational opportunity' (IEO) dan 'inequality of social opportunity' (ISO). IEO refers to differences in educational attainment according to social background. Whereas ISO is defined as differences in achieved social status according to social background.

The model of social opportunity developed by Boudon (1964) includes two components: 1) a model of changing IEO under conditions of educational expansion, and 2) a model of ISO under conditions in which the supply of educated individuals grows more rapidly than the availability of social positions. Therefore, the Boudon model needs a meritocratic society to apply the model in which the highest social positions tend to go to those with the highest levels of education.

Moreover, the most crucial element of the IEO component is Boudon's distinction between the primary and secondary effects of social stratification on educational inequality. In this case, the primary effects refer to those expressed through the association between childrens's social backgrounds and their educational performance. Meanwhile, the secondary effects are expressed through the educational choices made by children from differing social backgrounds but with similar levels of performance. From this explanation, it can be stated that Boudon explicitly differentiates between cultural (primary effects) and positional (secondary) effects. (Boudon 1974; Jackson & Jonsson 2013).

In relation to IEO and ISO, there are four axioms to identify Boudon's IEO and two axioms to define ISO. The subsequent axioms (E1-E4) explain the method in which primary and secondary effects of social stratification combine to produce socially differentiated educational outcomes for a group of students (Thompson and Simmons 2013).

E1: the society is stratified, and primary effects of stratification exist in which underlying academic acability is differentiated by social class from an early age. These primary effects are persistent; that is, the academic aptitude of an individual does not change over time.

E2: the curriculum available to young people is differentiated for a substantial proportion of an educational career. Some routes offer progression to the highest levels of academic attainment, whilst others do not. At certain transition points, students must choose whether to continue with the higher curriculum. Once having left this curriculum, students are unlikely to return to it.

E3: at any transition, secondary effects of social stratification operate, so that the probability of a particular individual continuing with the higher curriculum is an increasing function of social status as well as academic aptitude.

E4: the society is in a state of educational expansion. The probabilities of continuing with the higher curriculum are increasing with time, although not necessarily uniformly for all social groups.

Whereas, two assumptions as a foundation in the ISO generating component are as follows:

S1: the social structure, in terms of the number of social positions available at each level, changes considerably less rapidly over time than the educational structure.

S2: an individual's achieved status depends on four independent variables: social background; educational attainment; social structure; and educational structure, in terms of the number of people reaching each level of educational attainment.

Therefore, despite many factors influencing social mobility, the nature and form of education plays an important role in individual social achievement. In this case, Boudon's model highlights that greater differentiation within education increases inequality of attainment, over and above that which can be attributed to socio-cultural influences on academic aptitude (Thompson and Simmons 2013).

Higher Education in Indonesia from the Colonial Era to Post-Colonial Era

The development of higher education in Indonesia was closely related to prior colonialism (1500S – 1942). In the colonial era, the Dutch established the first formal and official universities in Java starting at the end of the eighteenth century. The reason behind these establishment was to fulfill the shortage of Dutch experts, especially during World War One. Some universities established by the Dutch were the medical school and law school in Jakarta, the engineering institute in Bandung, and the agriculture center in Bogor. In that time, Dutch was the exclusive language of instruction and served as an effective means of selection of male nobles across the thin numbers of high school graduates (Logli 2016; Idrus 1999).

The student profiles in the universities reflected the colonial hierarchy, with the Dutch at the top and the indigenous people at the bottom. However, the number of Indonesian students increased steadily year by year and in 1938, their number rose to 200 out of the total 1000 students (Buchori and Malik 2004; Cummings and Kasenda 1989). Beyond the numbers, colonial universities were actually arenas of social and cultural conflict. On one side, colonial universities were a pivotal mean to get opportunity to climb the colonial hierarchy towards a higher social status and better jobs. On the other side, the Indonesian student were worried about losing of their original identities and traditions due to Dutch education (Alisjahbana 1966).

Moreover, the establishment of colonial universities in Indonesia had opened the Pandora's box by creating the elite intellectual groups of colonial universities graduates that in turn protested and rejected the colonialism. Those groups also became leaders in endorsing nationalism and eradicating colonialism in Indonesia (Buchori & Malik 2004; Cummings & Kasenda 1989).

In the post-colonial era, after getting independence from Japan, the development of higher education system was much influenced by political situations. In 1945, the first state Islamic university was established with the name Universitas Islam Indonesia. Whereas, Universitas Gajah Mada was the first Indonesian secular university with no colonial legacy established in 1949. In 1961, Indonesian Government enacted the 1961 Law No 22 on Higher Education and by this law, the government prescribed the establishment of at least one public university in each province of Indonesia to expand accessibility and equal opportunity for all citizen (Buchori and Malik 2004; Mason, Arnone and Sutton 2001; Nizam 2006).

The main effect of the 1961 Law No. 22 is the fast growing number of private higher education institutions in Indonesia. In 1980, the number of private higher education was above 1,000 institutions for all regions in Indonesia. However, private higher education institutions in Indonesia has a pivotal role in opening access to higher education and increase participation for those people who can not attend in the state higher education. Finally in 1990, the number of graduates of private higher education institutions has exceeded the number of graduates of state higher education (Logli 2016; Kristiansen &Pratikno 2006).

The growing number of private higher education institutions unveil other problems, the quality of learning process and graduates. In the meantime, lack of autonomy becomes another problem to encounter by the institutions. Consequently, higher education in the Soeharto era tend to be less innovative due to merely bureaucratic and centralistic.

Therefore, Indonesian government through the ministry of higher education set up the quality standard for both graduates of higher education and learning process in higher education.

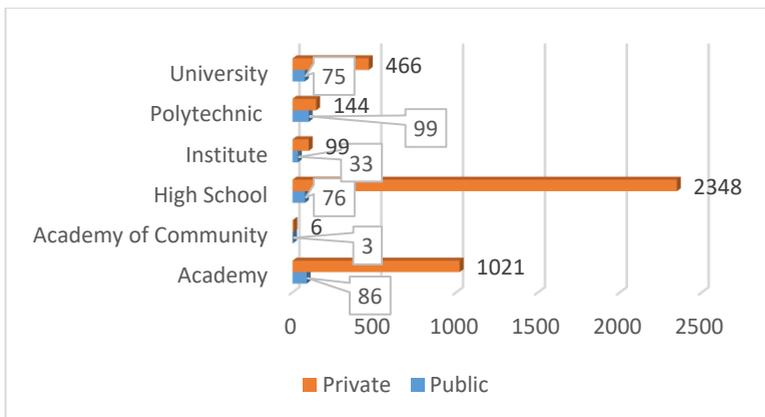
In the post-Soeharto era, there is a shifting in the higher education system that the Indonesian government provides more autonomy in finance dan institutional development in order to endorse more Indonesia universities becoming a world class university. This changing system was enacted initially by Law of Education Agency on 17th December 2008 (Brojonegoro 2012; DJKN 2013).

However, the enactment of the Law of Educational Agency has impacted on commercialisation of higher education. This situation has brought to inequality of educational opportunity. Later, the Law of Education Agency has been cancelled by the Supreme Court due to against the highest law of 1945 (Purbayanto 2012; Prasetya 2005; Basit 2017; Subhan 2012; DJKN 2013). Therefore, the Indonesian Government replaced the Law of Education Agency by enacting the Law No. 12 year 2012 on Higher Education.

The Size of Students and Higher Education in Indonesia

Indonesian government has established a state university in every regions throughout Indonesia. However, the number of those universities were not able to absorb the high number of people who want to learn at higher education level. Due to the out of number of people to study at the university level, Indonesian government invited public participation to establish private universities. In 2016, the number of state and private universities in Indonesia reached 4312 institutions (diagram 1). Comparing to China, the number of university in Indonesia is higher than in China (2000 universities and 6 million students) but with fewer students (Mok 2016).

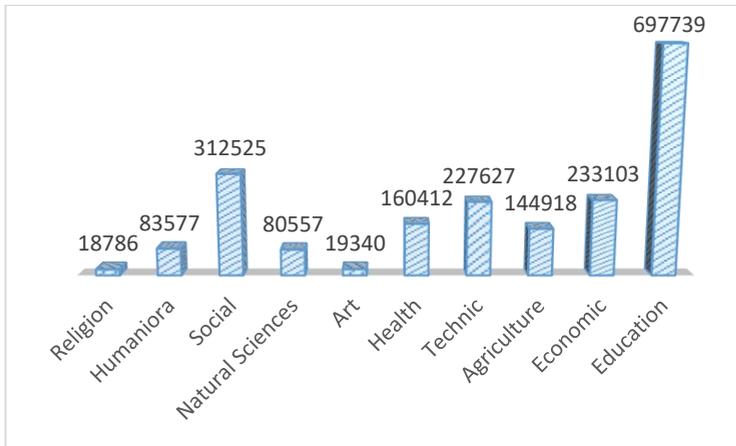
Diagram 1. Number of Public and Private Universities in Indonesia



Source: <http://kelembagaan.ristekdikti.go.id/index.php/statistik-5/>

In 2016, the number of students at public universities reached 1,979,584 students enrolling in diversing disciplines (diagram 2). Among those disciplines, most students enrolled in education (697,739) and then followed by social sciences around 312,525 students (Ristekdikti, 2017). The reason behind the high number of students selecting education due to the shifting of education institutes into a university and offers more course programmes to students.

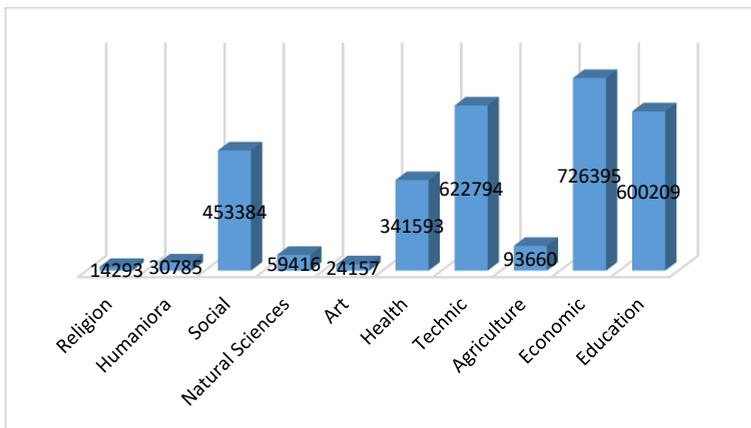
Diagram 2. Number of Students according course programme at state universities



Source: <http://kelembagaan.ristekdikti.go.id/index.php/statistik-5/>

Meanwhile, the number of all students (2,966,686 students) from private universities (4,084 universities) is double than number of students at state universities. Diagram 3 shows that most students at private universities selected economics, engineering, education, and social sciences. These selections are probably caused by the high demand of those graduates in labour market.

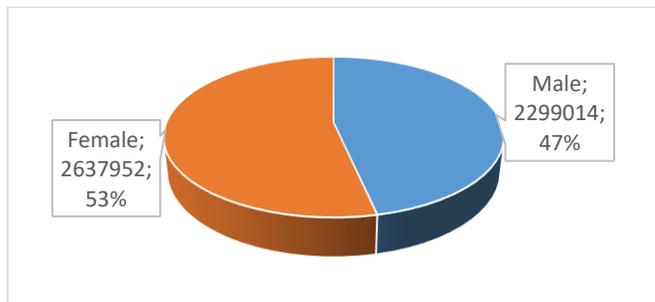
Diagram 3. Number of students at private univesities according to course programmes



Source: <http://forlap.dikti.go.id/mahasiswa/homegraphbidang>

Meanwhile, according to gender, female students more interested in studying at higher education than male students (diagram 4). This data shows a cultural shifting in society that patriarchy is starting to fade and providing female people social opportunity to get higher education.

Diagram 4. Number of students according to gender



Source: <http://forlap.dikti.go.id/mahasiswa/homegraphik>

The Effect of Higher Education Attainment on Social Mobility in Indonesia

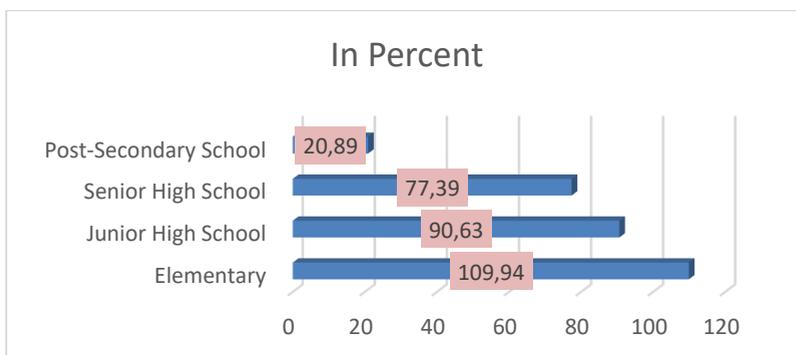
Social mobility in society is influenced by many factors and education is the most significant factor in promoting social mobility (Ianneli & Peterson 2007; Haveman & Smeeding 2006). Moreover, several studies showed that the positive link between educational level and salary (Mok 2015).

However, many studies of social mobility were missed to explain the role of social inequality in the society. Therefore, facts of domination and oppression in the society should be investigated in the studies. Other studies founded that accessibility to higher education is not only determined by education but also family background (Gao 2011; Brown, Lauder & Ashton 2011). Moreover, the emergence of globalisation also changes the predictors of social mobility in which the ownership of certificate of university level has not direct effect on easyness to get job, income, and particularly upward mobility.

In terms of accessibility, rough participation rate at the university level around 20,89% in 2015 even this rate is lower than rate in 2013 and 2014. Moreover, rough participation rate at the university level is lower than elementary school level (109,94%), junior high school (90,63%) and senior high school (77,39%) (BPS 2017).

There are several barriers to go to higher education, such as social and economics status, and cultural and geography disparities. However, the most determinant barriers of those factors are social and economics status (Moeliodihardjo 2013). The link between educational opportunity and social and economics status might be reflected in rough participation rate of education in Indonesia. Table 1 shows that the lowest participation rate is higher education due to socio-economic factors. In this case, the lower socio-economic status they have, the lower access the get to study at higher education (World Bank 2014).

Tabel 1. Number of Rough Participation Rate according to Education Background



Source: BPS, 2017

CULTURAL AND GEOGRAPHICAL DISPARITIES

Geographical disparity refers to the lack of social and economics infrastructures in underdeveloped regions and remote areas (Moeliোধhardjo 2010). The emergence of geographical disparity in Indonesia has affected many people to get an educational opportunity, particularly access to higher education. This issue might be reflected in providing scholarship of BIDIK MISI by Indonesian Ministry of Higher Education. This scholarship has not reach the poor people living outside Java island and is only focused for people living in Java island. (World Bank 2014). The result of study conducted by World Bank (2014) revealed inequality in educational opportunity between communities living in Java island and other communities in Sumatera island. In this context, geographical disparity has influenced educational opportunity between Javanese and non-Javanese.

The long distance from town centre is also a big barrier for people to get access to higher education. The results of the study conducted by the World Bank indicated that almost 58% students enrolled in higher education institutions come from the lowest social group and reside in rural areas. Furthermore, the lack of high quality of higher education institutions becomes another barrier for rural people in remote areas to have a social opportunity for getting access to higher education.

Meanwhile, cultural disparity describes several factors influencing access level to higher education, such as ethnicity, language, and gender. Indonesia has almost 300 thousands ethnic groups and more than 700 local languages. Therefore, the use of Indonesia language in schools becomes a barrier for children to complete their studies. According to World Bank (2014), the number of dropout students who did not speak Indonesian language is higher than students who speak Indonesian language. Furthermore, a gender disparity is also becoming a barrier for marginal people in accessing higher education. This barrier comes up due to hegemony of patriarchy in society.

Therefore, there are multiple barriers for the lowest social groups in getting social and educational opportunities in which those barriers are not only social economic status but also including geography and cultural disparities.

Conclusion

The discussion on social mobility in the society is commonly used as a mean to legitimize or hidden the fact of social inequality. The gap between the rich and the poor is frequently presented as a common fact. However, there are numerous facts behind these phenomena that inequality of educational opportunity may influence one's accessibility to higher education as a mean to get an upward social mobility.

Analysis toward social mobility in Indonesia indicated that higher education attainment is a pivotal factor in promoting upward social mobility. However, there are many barriers for Indonesian people to get access to higher education due to social inequality. Therefore, in this case, the Boudon's model of Inequality of Educational Opportunity (IEO) and Inequality of Social Opportunity (ISO) is quite relevant for analysing social mobility in Indonesia.

Moreover, the relationship between higher education and upward social mobility in Indonesia is mediated by inequalities in the society, such as social-economics inequalities, geography, and cultural inequality. Therefore, it can be said that the more decreasing inequality in the society, the more people can go to higher education and in turn will promote upward social mobility.

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Changes in European Welfare State Regimes as a Response to Fertility Trends: Family Policy Perspective

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Abstract

Following 1945, that is the Second World War, Europe faced a huge demographic increase in the number of births, known as baby-boom. Encouraged by the improvement of the living conditions after the devastating war, the return of the optimism, opening of the employment opportunities and the renewal of the idea about the family, this demographic trend entailed the so-called familism tide. In the mid 1960-ies however, demographic indicators in almost all European countries began to change suddenly. Massive development of contraception, increased birth control and family planning, as well as higher employment of women and their integration in the labour market, took place. As a result of these trends, in the 1970-ties European countries faced a considerable drop in fertility rates. This trend reached its peak during 1970-1980-ties when a dramatic drop in fertility rates took place, known as baby-bust. As a consequence, almost everywhere in Europe, the fertility rate dropped below the level needed for simple population reproduction or below 2.1 children per woman. Several related trends also contributed to the change in the demographic picture of Europe, such as: dropping birthrates, shrinking of the population, delay in births (increase in the age of birth of the first child), increase in the number of one-child families, as well as growth in the number of couples without children (universality of births is no longer present – at least 1 child per family). Similar trends are evidenced in the countries of Central and Eastern Europe (CIE), with one considerable difference – they took place around a decade later compared to the developed European countries. One common characteristic which shaped the demographic changes in CIE countries was the fact that they occurred simultaneously with the radical changes of the societal system from socialism towards democracy in the 1990-ties. Due to this, demographic changes in CIE countries gain in weight, are furthermore under the influence of the transitional processes and thus differ considerably compared to those in the developed countries. The differences are heavily attributable to two sets of factors: a) different institutional settings, especially in the family policies related to employment of women and child raising; and b) different effects of these family policies upon fertility rates and participation of women in the labour market. Given the above demographic trends, welfare states in Europe, adjust accordingly, predominantly through the policies and measures of family policy as one of the social policy domains. Following a detailed statistical analysis of demographic indicators in Europe, this paper will produce an analysis of the family policy responses to demographic trends based on the Esping-Andersens' classification of welfare states: universal welfare states (Nordic countries); conservative welfare states (Continental European countries); liberal social states (Anglo-Saxon countries) and South-European social states (Mediterranean countries). A specific focus in the paper will be also given to the demographic trends and corresponding family policy developments in the Republic of Macedonia, as a country of South Europe. Cross-cutting issues in the analysis of the family policy models will be: the extent to which family policies are gender-neutral or gender-specific (are they women-friendly and do they promote active fatherhood?), measures for harmonization of work and family life (are women appropriately supported in performing their roles of mothers and active participants in the labour market at the same time) and the scope in which family policy is being designed to serve the purposes of population policy (how the concern and the interest of the state to increase fertility rates shapes family policy?).

Keywords: family, fertility, welfare states, family policy models.

Introduction

Demographic Changes in Europe

Following 1945, that is the Second World War, Europe faced a huge demographic increase in the number of births, known as *baby-boom*. Encouraged by the improvement of the living conditions after the devastating war, the return of the optimism, opening of the employment opportunities and the renewal of the idea about the family, this demographic trend entailed the so-called *familism tide*. In the mid 1960-ies however, demographic indicators in almost all European countries began to change suddenly. Massive development of contraception, increased birth control and family planning, as well as higher employment of women and their integration in the labour market, took place. As a result of these trends, in the 1970-ties European countries faced a considerable drop in fertility rates. This trend reached its peak during 1970-1980-ties when a dramatic drop in fertility rates took place, known as *baby-bust*. As a consequence, almost everywhere in Europe, the fertility rate dropped below the level needed for simple population reproduction or below 2.1 children per woman. Several related trends also contributed to the change in the demographic picture of Europe, such as: dropping birthrates, shrinking of the population, delay in births (increase in the age of birth of the first child), increase in the number of one-child families, as well as growth in the number of couples without children (universality of births is no longer present – at least 1 child per family) (Bornarova, 2014).

1.1. Trends in Fertility in the Developed European Countries

As a consequence of the fertility rate below the level required for population reproduction evidenced in the last few decades, and initiated in the 1960-tees and 1970-tees, European countries face a population decrease challenge due to the expectation that the low fertility may reduce the number of potential parents. It is assumed that if such low fertility rates are maintained for a longer period of time together with low mortality rates, they may have dramatic implications in terms of reducing the annual number of births and the number of population by half, in less than 5 decades (Kohler, Billari, Ortega, 2006).

Fertility below the reproduction levels is common in the world, with Europe being the world leader in this trend. From average total fertility rate of 2.17 in the period 1970-1975, total fertility rate in Europe decreased to 1.54 in the period 2005-2010 (UN, 2013). In 2015, the total fertility rate in the EU-28 was 1.58 live births per woman. The EU-28's fertility rate increased from a low of 1.46 in 2001 and 2002 to a relative high of 1.62 in 2010, subsequently followed by a slight decrease to 1.55 in 2013 before a modest rebound in 2014. The mean age of women at childbirth continued to rise between 2001 and 2015, from an average of 29.0 to 30.5 years. One partial explanation for the increase in the fertility rate is that it may have been related to a catching-up process: following the trend to give birth later in life (witnessed by the increase in the mean age of women at childbirth), the total fertility rate might have declined first, before a subsequent recovery. Among the EU Member States, France reported the highest fertility rate in 2015, with 1.96 live births per woman. By contrast, the lowest fertility rates in 2015 were recorded in Portugal (1.31 live births per woman), Poland and Cyprus (both 1.32 live births per woman), Greece and Spain (both 1.33 live births per woman). In most of the EU Member States, the total fertility rate declined considerably between 1980 and 2000–2003: by 2000, values had fallen below 1.30 in Bulgaria, the Czech Republic, Greece, Spain, Italy, Latvia, Slovenia and Slovakia. After reaching a low point between 2000 and 2003, the total fertility rate increased in most Member States and by 2015, all of them reported total fertility rates that were above 1.30.¹

In 2015, some of the countries with the highest total fertility rates also had a relatively high mean age of women at the birth of their first child. Four different groups of EU Member States can be broadly identified based on their position with respect to the EU-28 averages. The *first group* is composed of Denmark, Ireland, the Netherlands and Sweden, where both the total fertility rate and the mean age of women at the birth of their first child were above the EU-28 average. A *second group* is made up of most of the countries that joined the EU in 2004 or more recently: both their total fertility rates and mean ages of women at the birth of their first child were below the EU-28 averages, as was also the case in the Macedonia and Serbia. A *third group* composed of Germany, Greece, Spain, Italy, Cyprus, Luxembourg, Austria and Portugal, as well as Switzerland recorded a higher than average mean age of women at the birth of their first child but a lower total fertility rate than the EU-28 average. The *fourth group* was composed of the three Baltic Member States, Belgium, France, Romania, Finland and the United Kingdom, as well as Albania (2014 data for the mean age of women at birth of first child), Norway

¹ http://ec.europa.eu/eurostat/statistics-explained/index.php/Fertility_statistics

and Iceland; in each of these, the total fertility rate was higher than the EU-28 average but the mean age of women at the birth of their first child was below the EU-28 average.¹

1.2. Trends in Fertility in the Countries of Central and Eastern Europe

Similar trends are evidenced in the countries of Central and Eastern Europe (CIE), with one considerable difference – they took place around a decade later compared to the developed European countries. One common characteristic which shaped the demographic changes in CIE countries was the fact that they occurred simultaneously with the radical changes of the societal system from socialism towards democracy in the 1990-ties. Due to this, demographic changes in CIE countries gain in weight, are furthermore under the influence of the transitional processes and thus differ considerably compared to those in the developed countries. According to Neyer (2006) the differences are heavily attributable to two sets of factors: a) different institutional settings, especially in the family policies related to employment of women and child raising; and b) different effects of these family policies upon fertility rates and participation of women in the labour market.

In the period from 1990-2000 sudden and drastic fall in fertility in these countries was not only a temporary trend, but continued in the 21st century. In transitional countries the drop in fertility rates is attributed to several factors: socio-economic changes, urbanizations, impoverishment of population, emancipation of women and increased labour market participation of women. In 1990s total fertility rate is around the level required for population reproduction, that is around 2.1 in almost all CEE countries, except Slovenia, Croatia, Bosnia and Herzegovina where this rate was lower than 2.1. In 2000, total fertility rate is below 1.4 in almost all countries, except Albania, Macedonia, Serbia and Montenegro. These countries still evidence decrease in the total fertility rate, although they are traditionally high fertility countries (Philipov, 2003). Evidence of the rapid decrease in fertility rate and its maintenance on low levels is the data that in 2010 total fertility rate in CEE countries (1.4) is even lower than the EU27 average (1.59).

Mean age of women at first birth in these countries also considerably and suddenly increases. Women tended to have their first birth quite early during the communist era, on average between 22 and 24 years of age. With the beginning of the transition in the early 1990s women started to postpone childbearing and the mean age of women at first birth started to rise and did so throughout the remainder of the 1990s and the 2000s. The increase in the mean age of women at first birth was most pronounced in Central Europe but slow in Eastern Europe. For instance, in the Czech Republic it grew from age 22.5 in 1990 to 27.6 in 2010; in the Russian Federation increased from 22.7 only to 24.8 during the same period. In most countries the mean age of women at first birth growth slackened in the early 2010s (Frejka, Gieten-Basten, 2016).

It may be concluded that CEE countries basically undergo same demographic trends related to fertility as developed European countries. The only specific difference is that these trends in CEE countries take place considerably later, but with a higher intensity and within a shorter time period compared to the developed countries.

Given the above demographic trends, welfare states in Europe, adjust accordingly, predominantly through the policies and measures of family policy as one of the social policy domains. Modalities in which these changes take place will be elaborated further in this paper.

2. Models of Family Policy According to Types of Welfare States

Family policy is an integral part, more specifically a separate domain of social policy in every welfare state. Hence, the way in which family policies are created depends on the type of the welfare state in which those policies are designed. According to Fukuda (2003), there are great differences between countries in terms of family policies. This is mainly because family policies are not designed solely under the influence of economic and demographic factors, but they also depend on cultural traditions and norms that implicitly determine the type of relationship between parents and children in a society. Within the welfare state, family policy is a domain that is less precisely defined than, for example, health care or social security. This comes as a result of the fact that in some countries the family is seen as a private institution in which society must not

¹ - He was born on Wednesday, 22nd of September, 1842. He was of moderate conduct when he was young before coming to the throne. He was sworn as a sultan in the 31st of August, 1876 when he was 34 years old. He remained the sultan for about 33 years until the 14th of April, 1909. He adopted a balanced policy with the European states to avoid wars. He established a strong intelligence body to protect the Ottoman state from plots and treacheries schemed by the European states. He adopted the Islamic League Policy to unite the Islamic Nation. He died on the 10th of February, 1918. (Al-Jundi, 1987).

interfere, except in particular crisis situations. Therefore, in most countries, there is no separate family legislation, nor an administrative structure that would manage this area of social policy.

The professional literature notes attempts of creating typology of welfare states. One of the most famous typologies is of Esping-Andersen, where welfare states are grouped into four groups (categories): universal welfare states (Nordic countries), conservative welfare states (continental European countries), liberal welfare states (Anglo-Saxon countries) and southern European welfare states (Mediterranean countries). This typology is based on the principle of decomodification, more precisely, the extent to which the welfare state reduces the dependence of the worker from the market by guaranteeing his right to leave the labour market without seriously jeopardizing his survival. The decomodification goes hand in hand with defeminisation, that is, the extent to which the welfare state releases the family/household from the obligations of social protection.

According to feminists analysis of welfare states this classification is less reliable when taking into account family, family policies and commodification of a woman. Unlike the typology of Esping-Andersen who sees the family as a community, the feminist research distinguishes between two types of relationships from which is comprised: partnership and parenting. Hence, the classification of welfare states in terms of family policies, requires to focus on the way policies regulate partnership and parenting, on the availability of social services for care, and on gender aspects of the policies of the welfare state (Nesser, 2003).

Basically, the existing typologies of welfare states may indicate that women's role in the labour market, family policies or maternity benefits are not sufficiently taken into account. Therefore, special typologies of family policy have been developed which, as a starting point, have exactly the role of the woman, and above all her place in paid and unpaid work (Pulizz, 1999).

Gautier (2002) based on the analysis of the characteristics of the types of welfare states from the classification of Esping-Andersen, made the appropriate classification of states according to the model of family policy in them. The characteristics of these models will be analysed below.

2.1. Scandinavian model of family policy

Characteristics of the welfare state. Public policies in the Scandinavian countries (Denmark, Finland, Sweden, Norway) aim to cover the social and labour market risks and maintain a high standard of living for all. Social benefits are obtained on the basis of individual civil rights. The goal is social integration, equality and access to social rights by providing social security for all citizens. Comprehensive social services contribute to the defamilization of social protection (reducing the contribution of the family to social protection), that is, the Scandinavian (Nordic) model of a welfare state is characterized by high-quality public services, universal service, the dominant role of the state as a provider of social services and their availability to all.

Family policy in Scandinavian countries. Family policies in the Scandinavian countries are oriented towards facilitating maternal employment, releasing the mother from her caretaking work, as well as changing gender roles with regard to foster care and employment. Accommodation in public institutions for children of all age groups is widely available at very low prices. Parental leave is regulated to allow parents to take care of their children without deteriorating their living standards or jeopardising employment. On the whole, family support is based on providing more social services than cash benefits, although all Scandinavian countries have increased social transfers over the last decades (Esping-Andersen, 2002). This partially coincides with the change in public policies towards subsidizing family care for children. Although Finland and Norway have relaxed the orientation towards employment and gender equality in their family policies by introducing cash benefits for home care, they did not eliminated the right of parents and children for accommodation in a public care institution.

The main goal of family policies in the Nordic countries is redistribution of expenses for children among different population groups and increasing gender equality. Also, family policy is considered to be a central instrument for promotion of participation of women in the labour market and for adjusting the family with the working life. As a result of this, the participation of a woman with a children under the age of three on the labour market in the Nordic countries is among the highest in Europe (86% in Sweden, 84% in Denmark) (Forssen, 1998). The high percentage of women's labour market participation is enabled by a comprehensive day care system. In Finland, for example, at the request of parents, a child can be accommodated in day care even when both parents are unemployed. Therefore, the Nordic model is called a woman friendly model (Leira, 1993). In Norway, day care services are so important that regardless of whether the day care centers

or kindergartens are public or private, as long as they are approved by the government, they receive public subsidies (Hardso, Schone 2005).

In the Scandinavian countries, the movement of so-called state feminism influences significantly on family policy. Namely, public benefits for families with dual –breadwinner “dual-breadwinner model” (both men and women participate in the labour market) and for the protection of children is developed in a political context in which women's equality is valued. In doing so, family policies are not directed only at mothers, but also towards mothers and towards fathers, and efforts are being made to encourage men to take up most of housework, especially with regard to child care (Crompton, Lnnnette, 2005), which is done by introducing compulsory quotas for fathers or other benefits related to childcare as individual rights reserved only to them. By establishing conditions for combining double labour market participation with dual parenting, the Nordic countries made a significant shift from social security based on the market to social security based on the ideology of gender equality. These states understand unpaid family protection as an individual right that co-exists with the right to work, and not as an external factor that impedes the participation in the labour market (Bradshan, Khatland, 2006).

The Nordic countries largely depend on the public sector regarding help of parents to reconcile family and working life. Not only is the participation of women in the labour market encouraged, but also the redistribution of care-giving function in society and in the family (Korpi, 2000).

Precisely because of such family policy, the employment rate of women is very high, as there are numerous programs to support motherhood, flexible working practices, and work place safety measures after childbirth, as well as well-developed child care services from the earliest age (0-2 years) to school age, provided on a daily basis throughout the week. Also, through policies for activation of the labour market, women are encouraged to be employed before childbearing, in order to provide an inclusive labour market and to prevent social exclusion (Bovberg, 2005).

2.2. A conservative model of family policy

Characteristics of the welfare state. The continental European countries (Germany, the Netherlands, Ireland, France) angle their social policies to maintain the status of society and preserve traditional family forms. Social benefits correspond to type of work and duration of contributions into the social security system, and are also dependent on marriage. Conservative states are largely based on familism, that is, the family as a provider of social welfare. This corporate model is dominated by the provision of social and economic well-being by men. The public sector is more involved in providing social protection through income transfers than through a direct offer of social services. Services are mostly provided by non-governmental organizations and the church.

Family policy in conservative states. Regarding family policy, the mother-housewife ideology assumes that care for children and the elderly is the primary responsibility of the woman (Borzhorst, 1994). Family policies are focused on the needs of families with two parents and the woman and her role in the family. In this regime, the rate of participation of mothers with children under the age of 3 in the labour market varies from country to country (Germany 40%, France 60%). These are lower rates than in the Nordic countries. This is partly due to unsatisfactory day care programs that usually offer half-day care and are not developed for children under 3 years of age. For example, in Germany, day care is usually shortened, not for the whole day, and only single families have access to this service (Forssen, 1998). Public policies prioritize private before public care. The policies for combining work with care-giving engagement are not sufficiently developed. Family benefits are significant, but the benefits of child care are low and insufficient. Directly or indirectly, family policies in these countries are guided by the approach that women caregivers are supported by male breadwinners (Nesser, 2003). In these countries, the male earner model contributes to the existence of a strong cultural resistance to the feminization of a man's life which would be necessary for the development of policies that would contribute to greater gender equality (Bradshan, Khatland, 2006).

Continental European countries apply general measures for family support (Korpi, 2000). Harmonization of working and family life is only partially supported. Women's participation in the labour market is on medium or low level, and women usually choose to work part-time because their contribution to the family budget is of secondary importance (Borja, 2001). These states support the model of a mother caregiver/father breadwinner, where the main responsibility for care is given to the woman, while the career and status of the male breadwinner is protected through laws related to the labour market. Unlike the Scandinavian countries, in the Continental active fatherhood is not supported.

2.3. Liberal model of family policy

Characteristics of the welfare state. Liberal social states (USA, Australia, UK) support market-oriented individualism through minimum public social benefits and promotion of private and market patterns of social protection. Social benefits are usually based on income checks and reserved for the poorest. Social protection depends on the market and familism. The state plays a very small role as a provider of social services.

Family Policy in Liberal States. In the domain of family policy, there are no satisfactory measures to facilitate the conflict of women between work and childcare. Benefits related to motherhood (for example, maternity leave) and daily care for family members are minimal. Daily care in general is left to the private sector. Part of the day care services are subsidized and supervised by the state, but primarily for children under some form of public protection. On the other hand, despite the weaknesses and lack of public child care services, more than half of mothers with children under the age of 3 are employed, which shows that most of the child care functions are performed unofficially, usually through social and family networks of informal support (Forsyden, 1998).

In the liberal model family policy relies more on individual solutions that the family finds on the market than on state programs, where despite families at the top of income distribution, families with medium and low income have limited opportunities to combine paid work with a care-giving family function (Hartmann, Hegnigsch, Lovell, 2007).

Anglo-Saxon countries have a market-oriented model in which families depend on market resources or family relationships with regard to child care (Korpi, 2000). In these countries, the underdeveloped maternity leave and parental leave are compensated by a very flexible labor market. Flexible working practices in the private sector (flexible working time, part-time volunteer work, etc.) help women in easier integration on the labour market after childbearing (Bovberg, 2005). However, residual social protection and the absence of public childcare services marginalizes low-skilled workers and single-parent families (Jansaita, 2006). Basically, family policy encourages informal unpaid care for children and the elderly in the family and does not support active fatherhood (there are no parental leave opportunities for the father). In the absence of public family benefits, family policies are created by companies/employers resulting in the non-uniformity, inconsistency, and differences in access to these benefits.

2.4. South European model of family policy

Characteristics of the welfare state. Mediterranean social states (Italy, Portugal, Spain, Greece) are sometimes considered as part of the conservative welfare states, but because of their strong orientation towards familism they are treated as a separate group of social states. Due to the large role of the family in the provision of social protection, this model of a welfare state is also called a model of family care. Pluralism in the provision of social services by the state, but also by the non-governmental and private sectors is characteristic.

Family policy in South European countries. South-European countries are characterized by strong family-oriented values associated with a low degree of individualization and a lack of explicit family policies as evidenced by the limited number of social benefits for families. Public services for children are unsatisfactory, as are family allowances and the benefits of adjusting family and working life, so that families are left to themselves in meeting their needs. Families in these countries in comparison to other European countries are more generational, with greater share of young people living with their parents, the rates of extramarital couples are lower, and the number of children born out of wedlock, the rates of divorce and single families is lower, the intergenerational solidarity is stronger and dependence when it comes to providing care for children and the elderly for whom adult women have a traditional and moral obligation to care for (Flauler, 2000).

In such conditions, one cannot claim that the welfare state in south European countries is based solely on the model of one breadwinner, but rather on the entire family as the unit from which they provide income and resources, to which each member contributes. The figure of the husband as the provider of family existence is not central, but of the family and family solidarity and of the primary role of women (married women and mothers) in providing informal protection. According to Esping-Andersen (1999), this familism (familism) goes hand in hand with a passive and underdeveloped family policy. Thus, family policy in southern European countries implicitly fosters and reproduces the ideological assumption for the family as the main provider of social welfare in society.

Child care services are not very well developed. The public offer of care-giving services for children under 3 years old as well for older children (except in Italy) is insufficient, and the cost of child care is high. Parental leave is unpaid. Children's allowances are not universally available and are very low (Esping-Andersen, 2002). And while around 33% of children

under 3 years of age are covered in a private or public form of a pre-school institution in the developed Nordic countries or in the United Kingdom, in Greece, Italy, Spain this percentage is around 10% (Oberlin, 2008).

There are insufficient measures to support women's employment in these countries, hence maternity employees must rely on informal family assistance. Flexible working practices (Borja, 2001) are also missing, and are observed as a threat to the protected position male breadwinner.

2.5. The model of family policy in the post-communist countries of Central and Eastern Europe

Characteristics of the welfare state. The Professional literature increasingly introduces the notion and thus forms another model of social policy - characteristic of post-communist countries. These countries share common transitional experiences from state socialism to a market economy. Within this process, a transition from universal benefits and services toward completely different solutions has been made to meet social needs such as the market, civil society and the family, in addition to the state. Gradual inspection of income and targeting of social benefits is introduced. These countries have similar demographic, economic and social challenges from the transition, but the way they respond to these challenges differs depending on the social, political and cultural context. Because of these differences, this model is also called a hybrid model of a welfare state.

In essence, in constructing models welfare state, the CEE countries, are increasingly inspired by the pattern of international financial organizations such as the International Monetary Fund and the World Bank, rather than the European model (Manabu, 2005).

Family policy in post-communist countries. These countries are characterized by a non-coherent family policy, a lack of competent institutional structures and adequate financial resources. Family policy is often used to achieve pro-natal goals, and women mothers are discriminated against in the labour market (Kutsar, Ulikool, 2005).

Also, in the CEE countries, the much smaller involvement of fathers in childcare and the use of public provisions for parental leave for this purpose is characteristic. Family policy itself is based on supporting the mother's role in caring for members of the family "mothers as caregiver model" rather than active parenting of fathers.

According to Hobson and Fahlen (2009), CEE countries have the smallest opportunities to achieve a balance between family and work life due to the multiple factors: lower job protection, lack of policies designed to support the father in his family role as well as stronger norms according to which the role of a man is to secure the family's existence. As for mothers in these countries, they have the smallest opportunities to achieve this balance between working and family life.

In the transformation of the social system in the countries of this group, family politics leans towards the liberal model (opportunities for market satisfaction of the needs of childcare and the elderly are opened up), yet they retain much of the features of the Scandinavian model (primarily in relation of public benefits), while the dominant informal family protection makes this model much similar to the model of family care characteristic for the countries of South Europe.

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The Impact of Baghdad-Berlin Railway on Britain's Nautical and Commercial Interests in Iraq's Rivers

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Abstract

With the beginning of 20th century, Germany emerged as a strong state after the unification of Germany in 1871. It found itself behind the major powers in the field of colonialism. After the accession of Emperor William II the rule, he looked forward to gaining colonies and to get the ranks of major countries such as Britain and France. Germany has found in railway projects the means to achieve its ambitions. It has turned its attention to Iraq and the Arabian Gulf because of the enormous wealth that was there in Iraq. It also wanted to use it as a market for its products. Since Iraq and the Arabian Gulf were under the authority of Britain that had many interests in, as the road to India, it stood against the German penetration. As these areas were monopolized by Britain alone, it opposed the extension of the rail into Iraq and the Arabian Gulf.

Keywords: Baghdad, Berlin, Railway, Ottoman

Introduction

Baghdad-Berlin Railways Project

After Germany has achieved its national unity in 1871, it has emerged as a powerful state with great rapacity (Al-Assadi, 2001), particularly, after its economic development and the need for new markets for its products outside Europe (Abdul Aziz, 2007). This had culminated in investing its capitals in economically undeveloped countries (BOA, HR, SYS, /08/38/23-4-1903) and its attempts to build other colonies outside Europe (Al-Badaidi, 2011). The main focus of Germany in these concerns was in Asia, particularly, in the Ottoman State and Iraq to control their markets and raw materials (Al-Tikriti, C, 1966). Hence, Germany turned its attention to Iraq. And when General Von Moltke was working as an expert in the Ottoman army, he visited the Euphrates Valley and thought of what can be done there. Since then, he experienced an influence on the German orientation (BOA. HR. SYS, 95/32/23-3-1911), referring to the great fortunes in this region, especially, the agricultural sector (Al-Tikriti, H, 1985).

Germany thought of Iraq as an important source for raw materials and the food stuff it needs, especially, cereals (Shukri, 1994). On this basis, certain studies were conducted on the geography of Iraq, its potential fortunes and the navigation opportunities in its rivers. Thus, in the fifth decade of the nineteenth century, Karl Ritter dealt with the heights of the Euphrates valley (Salih, 1968).

Germany has conceived railways projects as the means which achieve its ambitions and interests in Minor Asia. These projects could encourage Germany to gain colonies whereby splendid areas will be open for it (BOA, HR, SYS, /08/38/23-4-1903). The economic deterioration and financial confusion in the Ottoman State provided a great opportunity for the German funders to build railways in this region (Aluzbaki, 1977).

Since 1873, the Germans worked extensively in building railways in the Asian part of the Ottoman State (BOA. HR. SYS, 95/32/23-3-1911). In 1875, the German engineers built the first part of the Anatolian Railways as requested by the Ottoman

government(BOA. HR. SYS, 95/32/23-3-1911). When Sultan Abdul Hammed II (1876-1909)⁽¹⁾ came to power, he showed a desire to build railways in the Ottoman state for political, strategic and economic goals. From the political and strategic perspectives, the Sultan would be able to move his troops in all the Anatolian region and the Mesopotamia. This would help him maintain security and order and give the Sultan a great power (BOA. HR. SYS, 108/38/23-3-1903). As for the economic side, the railways would increase the revenues of the Ottoman State and work to develop its economic sources (BOA. HR. SYS, 95/32/23-5-1911). Hence, all the obstacles facing the Germans were removed exploiting the relationship between Emperor William II⁽²⁾ and Sultan Abdul Hammed II. This relationship has rapidly developed after the Emperor's visit to the Ottoman State in 1898 whereby the Sultan promised him to give the concession of building the railways to the Germans (Malhut, 2013). On his part, the Emperor expressed his support to the Sultan in the Islamic University Project and showed his pretentious protect to Islam (BOA. HR. SYS, 108/38/23-4-1903).

Sultan Abdul Hameed II appointed a board to discuss the means that facilitate building the railway and everything pertaining to this project. The board included Raof Effendi, Minister of Trade, Hassan Effendi, Minister of General Labor, Mr. Wettendorf, Consultant of Ministry of Finance, Rachid Bay, Sultan Special Secretariat and Mr. Bertram, Chancellor of Customs in addition to other prominent personnel. After certain investigations and discussions concerning the adoption of the best way that links Istanbul with Baghdad, the board suggested expanding the lines from Eski shehir to Konia then to Baghdad. The board thought that this line is useful since trading ships would be able to move from Shatt Al-Arab to Balis, which gives great facilities to transfer construction materials to build the railway. Moreover, this line would be significant in times of war to confront attacks using boat fleets (FO, 78, 3385, XIL00799).

The budget of the project was 16 billion pounds. However, due to the difficult situation of the Ottoman funders, the company would shoulder the financial expenditures of this line. As a compensation of the losses, the Ottoman State would grant the company the concession of mining in Arkali and Ciwas (FO, 78, 3385, XIL00799).

The starting point of the railway would be Izmir towards Eski shehir, then Kutahya then Konia towards Adana then Aleppo to finally reach Baghdad following the right side of the Euphrates. The building of this line would be divided into six sections and it would cross mounts, rocks, mountains, and valleys leading to several difficulties. The first section of the line is 225 kms in length and it starts from Izmir to Eski shehir. As for the second section, it is 200 kms in length and it extends from Eski shehir to Kotahya then KarahHissar. The third section covers the region between KarahHissar and Konia to pass Rakman Valley towards Konia. It is 280 kms in length. The fourth section goes from Konia to follow Kirman Valley and reach Arkali. The fifth section is 350 kms and it starts from AoloKashla to Aleppo. Finally, the sixth section is 915 kms in length and it goes from Aleppo to Baghdad following the right side of the Euphrates⁽³⁾. Generally, the total length of the line from Izmir to Baghdad is 2200 kms and it requires expenditures amounting to 15 million pounds (FO, 78, 3385, XIL00799).

In 1888, the Ottoman Company of Anatolian Railway was established (BOA. HR. SYS, 95/32/23-3-1911). This company worked on building the railway inside the Anatolia to The Bosphorus with Ankara, which was completed in 1892 (Rafiq, 1978). In 1896, this line reached Konia (Kent, 1996) to reach Baghdad and a point on the Arab Gulf in 1899 through a concession to the Company of Anatolian Railway(BOA. HR. SYS, 95/32/23-3-1911). The company agreed to finish the railway within 8 years subject to any delays emerging from compell Lynch circumstances such as a war between the European powers or the change in the monetary condition of the powers participating in building the railway (BOA. HR. SYS, 108/39/25-4-1903). On the fifth of March, 1903, the final concession, which was under negotiations for several years and was an outcome of a German-Ottoman understanding, was granted to Baghdad Railway. In principle, the concession represented a great victory to the German policy and its ambitions (BOA. HR. SYS, 108/38/23-4-1903). The line was linked to Baiji City to the north of Samara and it was opened in July, 1912 (Kashif Al-Ghitta, 1977).

1 - William II 1888-1918, was in that period the German Caesar. He is the son of Fredric and Queen Victoria of Britain. He received a meticulous military training in he exhibited a strong character. After two years of becoming the German Caesar, he fired Bismarck and sought a new policy in which he affirmed the right of Germany to lead the world. In 1914, he announced war on two fronts against Britain, France and Russia. In 1918, he stepped down after Germany was defeated in the war and was exiled from Germany. (Palmer, 1992).

2 - See appendix (1).

3 - See appendix (2).

Effect of the railway on the British navigation in Iraqi rivers

At the beginning, Britain did not oppose the building of the railway in Minor Asia as long as the project is situated in regions far away from its interests. Supporting this stance, a British politician stated that Britain should not oppose the German ambitions and that Britain in a previous time was dreaming of building a railway in Minor Asia (BOA. HR. SYS, 108/38/23-4-1903). Hence, in 1872, Britain appointed a board led by Stafford Northcote who stated that building this line is of great significance in protecting India, yet, the project was disregarded (BOA. HR. SYS, 95/32/23-3-1911). However, the British stance towards the railway was changed after it conceived the effect of this line on its economic and trading interests in the Mediterranean towards the Arab Gulf, beside its effect on the strategic and political interests in the Arab Gulf towards the British influence in India (BOA. HR. SYS, 95/32/23-3-1911).

Building the railway was not restricted to the main line going from Berlin to Baghdad. Rather, the German company was given other concessions to build sub-lines, which raised the British fears. For instance, the company was given the concession to build a branch from Osmann on the Ottoman borders to Alexandria in Egypt and another branch on the Syrian coast (BOA. HR. SYS, 95/32/23-3-1911). The most dangerous of these on the British interests is the branch extending from Sadjji to Khanaqeen on the Iranian borders to meet the expected line in the middle of Iran. This would mean that the British trading which used to go from Baghdad to Iran⁽¹⁾, would be at a high danger (BOA. HR. SYS, 95/25/13-1-1911).

The fears of Britain began to emerge after the railway from Konia to Baghdad was completed, which means that the German trading control would be guaranteed for 400 miles from Istanbul to Konia and for 900 miles from Konia to Baghdad (BOA. HR. SYS, 95/32/23-5-1911). There might be some cargoes ready for shipping from Baghdad to Istanbul (BOA. HR. SYS, 108/38/23-2-1903). Britain realized that the Germans' goal was not only commercial, rather, it was political. Hence, Germany experienced a great influence on the Topkapi Palace in an attempt to gain a political influence and commercial domination in the Ottoman regions (BOA. HR. SYS, 95/32/23-5-1911). As a result, this would put several obstacles in front of the British interests in Iraq and the Arab Gulf (Persian Gulf, 1920).

After the railway would reach Baghdad ⁽²⁾, Britain opposed its extension to Basra as this would affect the British navigation interests. Arguing on this point, Lord Curzon ⁽³⁾ stated that "navigation in Basra was in the hands of a British company for several years. I am afraid that this will be blocked in recent years". In another statement, he said "I believe that river navigation in Basra and Baghdad belong to us". ⁽⁴⁾ (BOA. HR. SYS, 95/32/23-3-1911).

Transportation by trains is given preference to transportation by ships because the former is faster. (BOA. HR. SYS, 109/22/11-2-1911). Hence, after Lynch ships used to travel from Baghdad and Basra within four or five days because the river way is zigzagging, water flow is always unstable, and because of sand mounts (Ekinci, 1999), the train can travel the same distance in one day in different climate conditions even when loaded with goods and passengers (Earle, 1924). Moreover, transportation by trains is more comfortable, secure and systematic. (BOA. HR. SYS, 109/22/11-2-1911). In addition, it is cheap, which affects the British trading sector. (BOA. HR. SYS, 95/32/23-3-1911). Thus, transportation by

¹ - See appendix (3).

² - he was born on the 10th of January, 1859 in Kedleston Hull in Berbyshire in Britain. In 1882, he graduated from Oxford University. In 1883, he became the special secretary of Lord Salisbury. In 1886, he became a member in the common council and was interested in safeguarding the British colonies and strengthening its influence. In 1891, he was appointed the deputy minister of India, then he became the deputy minister for the British foreign office for the years 1895-1898. He became the deputy in India. (Al-Ahbab, 2011).

³ - in 1834, Britain sent a delegation to the Euphrates which was culminated in building a commercial chamber in Baghdad in 1842 by Hennyry Polis Lynch and his brother Thomas Gera Lynch. In 1861, this chamber was developed into an international company which began sending steamships between Baghdad and Basra and working in internal trading. (Nawar, 1968).

⁴ - Shut Al-Arab contains great sediments coming annually from Karun River from the Iranian mountains. These sediments formed a block that took the crescent from extending for (5-9, 22) Kms from Faw towards the Arab Gulf. (Al-Mudaris, nd).

trains would destroy river transportation (BOA. HR. SYS, 110/20/18-8-1911). Furthermore, the train capacity is higher than that of the steamships. A train can carry four times or more of what the ship can (Ssada Babel, 1911).

According to items 9 and 23 of the concession, Baghdad Railway Company was given the right to use commercial ships and wind boats in Tigris, the Euphrates and Shatt Al-Arab to transport construction materials and equipment required for building the railway. (Fraser, 1909). Moreover, the company was given the right to build ports in Baghdad and Basra (BOA. HR. SYS, 110/11/21-3-1911). This represented a threat to Lynch Company and made Baghdad Railway Company a partner in the great profits coming from transporting goods between Baghdad and Basra with high costs imposed without a supervision (Ibraheem, 1991). Therefore, Britain suggested that in case a British company would build the line from Baghdad to Basra, Britain would have free navigation in Tigris and the Euphrates (BOA. HR. SYS, 108/38/23-2-1903). Nevertheless, Britain refused to participate in the project under the pretext of lacking fair terms that give it the major part of domination in Baghdad-Basra section and absolute control on the end of the railway (BOA. HR. SYS, 110/20/1-5-1911).

Sir Edward Grey stated that the development of the British commerce does not depend on building Baghdad-Basra railway which probably suited the Ottoman desire for military and strategic reasons. It also did not guarantee a better and faster post service to Britain than that of Suez road, it only saves some time. Furthermore, Britain has river service that maintains faster and cheaper transportation for the British trading than the railway. (BOA. HR. SYS, 110/20/25-3-1911).

Britain insisted that the commercial end of the line should be Basra. On this basis, Fraser stated that "we always insist that the end of the line should be Basra, and transportation between Baghdad and Basra using the river will continue in the current situations. Moreover, steamships can carry big cargoes of goods and commodities without the railway affecting them, particularly, when the river paths will be improved and irrigation works will be completed. The only obstacle to change Basra surrounding to a port able to contain steamships coming from Suez Channel is the cape at the mouth of Shatt Al-Arab ⁽¹⁾. However, this can be treated by shovel Lynch and cleaning processes as well as building main platforms so that the city becomes an important trading center". (BOA. HR. SYS, 110/20/1-5-1911).

On the 14th of August, 1912, an agreement was made between the German bank and Lynch Company to set forth transportation terms. However, the Ottoman government objected this agreement because it is against the terms of the concession right. Therefore, the German company Lynch suggested indulging the Ottoman company in the agreement and establishing a new Belgium company which undertakes negotiations and agreement with the Ottoman government to transport the construction materials. (BOA. HR. SYS, 111/23/14-8-1912). This company was called River Transportation Company in the East. Its capital which amounts to 1,500,000 million Francs comes Lynch Company and the German Bank (Lughat Al Arab, 1912). The former Ottoman minister informed the Ottoman government about the talks between Baghdad Railway Company and Lynch to make an agreement to transport the equipment of the railway and stop the objection raised by Lynch and Britain against the project of Baghdad railway and the German company. He informed it, moreover, that the German Bank manager Gwiner was thinking that through this agreement, it is probable that the hostility of the British financial offices to the German project will end via indirectly providing a sum of money to Lynch, one of the main opposition bodies to this project. (BOA. HR. SYS, 111/23/14-8-1912). However, the 1912 agreement did not coincide with the British interests as it did not increase the British domination in the Iraqi rivers. (Ssada Babel, 1914). This agreement was not executed as it was canceled in 1913.

The British stance towards the German attempts to extend the railway from Basra to the Arab Gulf

After the line reaches Baghdad, Germany wanted to extend it to the Arab Gulf and build a port in Kuwait. However, Britain objected fearing that this would affect its commercial and strategic interests. Britain considers the Arab Gulf a crossing gate to India and when Germany builds a railway across the Arab Gulf, this would weaken the British status there. Britain had been in the Gulf years ago and it had interests and agreements and accords with the Sheiks there. Therefore, it will not allow Germany to penetrate the Arab Gulf. Hence, Lord Curzon argued that "I do not wish the railway to be extended from Baghdad to the Arab Gulf as this will lead to great damages to our trading and strategic interests there. I am not sure that our trade would benefit from building this line, on the contrary the line would do harm to our trade. In addition, I do not wish the line to go further than Baghdad. I am afraid that even if the line is built, trading would still be through steamboats. Our political interests are not restricted in the Gulf only, or from the Gulf to Basra, or from Basra to Baghdad, they extend in the whole region until Baghdad." (BOA. HR. SYS, 95/32/23-3-1911). Hence, the principle of the British policy is not allowing

¹Aslan or Arslan in Turkish means Lion in English.

the growth of any rivalry political influence in the Gulf water without a recognition from Britain. (BOA. HR. SYS, 95/32/23-5-1911).

As for the effect of the railway on Britain commercial interests, a gloomy picture was drawn of the future awaiting the British and Indian trading, which amounts to 1000000 pounds. It uses the ships throughout the Gulf to be delivered to Baghdad by steamboats through Tigris then by convoys to Iran. The British and Indian trading to Baghdad amounted to 90%. (BOA. HR. SYS, 95/32/23-3-1911).

Britain realized that the German goal in Kuwait is political, not commercial, and building a port there requires high costs. Hence, the question is why Germany wishes to go to Kuwait and build a line across the desert to be used for commercial purposes? The only probable reason is that it wishes to penetrate the Arab Gulf to threaten the British status there, notwithstanding the British suspicions concerning the German intent to build a port in Kuwait to serve the railway that extends from the Bosphorus to that port. (BOA. HR. SYS, 110/20/1-5-1911). A British politician mentioned that even if the port was built in Kuwait, commercially several ships would use the river to Basra and carry cargoes below Baghdad instead of using the railway. However, politically, Britain would find its status in the Gulf threatened and its colony in Kuwait weakened. (BOA. HR. SYS, 110/20, 18-8-1911).

Should the railway be extended to the Arab Gulf, Britain thought of indulging other European countries with Germany fearing the hegemony of the latter on the project, notwithstanding the fact that Germany had plans to develop great parts of Iraq. (BOA. HR. SYS, 95/32/23-3-1911).

After certain negotiations and discussions concerning extending the railway to the Gulf, the Ottoman government suggested in 1910 the establishment of a new company to build the end of the railway. The Ottoman would have a share of 40% in this company and each of Britain, Germany and France would have a share of 20%. A port would be built at the end of the railway and it would be under the control of the new company. Moreover, trading would be free and unconditional for all nations. Should the lines be extended to Kuwait, this should be done on agreement between Britain and the Ottoman government alone under certain terms. (BOA. HR. SYS, 11/25/29-7-1911). However, Britain refused this proposal and Freezer stated that "What is the benefit Britain can get from a company the biggest share of it is at the hands of the Ottomans and the Germans." Therefore, Britain insisted that the end of the line should be Basra. In case the railway is extended to the Gulf, Britain should have absolute control on the its end. (BOA. HR. SYS, 110/20/1-5-1911).

The other threat of Baghdad railway on the British commerce comes through the promise of the Ottoman government to Baghdad-Berlin Railway Company to pay the expenses of the railway lines as a kilometeric warranty via raising customs fees. However, the British government announced that it was unable to increase the customs fees as this increase would lead to facilitate building the railway which has a harmful effect on the British commercial interests long established in Iraq. (BOA. HR. SYS, 110/6/13-3-1911). For instance, Lynch wrote a memorandum to the British foreign minister Edward Grey in which he stated that the Ottoman government was able to get rid of administering debts in 1907. Therefore, increasing customs fees would guarantee a yearly sum of money of about 450,000 to 500,000 pounds. Moreover, the Topkapi Palace would do the best to apply these fees which were devoted to pay the deficiency in the balance of the Macedonian states and to find shares for the German capitalists in Baghdad-Berlin railway. He asked Edward Grey not to agree to pay these fees. (BOA. HR. SYS, 108/55/24-7-1907). Accordingly, the British government in these conditions would not agree to increase the Ottoman customs fees unless a satisfactory conciliation will be concluded concerning navigation and a solution for the end of the railway would be found so that the British interests in Iraq and the Arab Gulf would be guaranteed (BOA. HR. SYS, 111/25/29-7-1911).

The German Navigation Activity in Iraq and the British Stance

In 1896, Germany established Wonckhaus Company, after its founder Robert Wonckhaus, as a nucleus in the Arab Gulf (Al-Assadi, 2001). To keep pace with the increase in the German transportation processes in Iraq, it was obliged to depend on a new navigation line in addition to the other German lines. Moreover, it depended on a new navigation line for the French and British transportations through Bombay (Al-Jurani, 2002). For that purpose, in 1906, it built the Hamburg-America line and steamships started using this line to Basra in the same year. This had ended the monopolization of the British navigation lines of sea transportation (Al-Saadoon, 2006). Moreover, it had caused a competition between the two parties which led to decreasing transportation fees. For instance, Germany began paying less for transporting goods to Basra than that it used to pay to the British companies (Al-Samaraai, 1973). Furthermore, cargoes of the German ships to Basra port ranked the second after the British ships. The German commercial activity led to increasing transportation processes by Lynch Company between Basra and Baghdad (Salih, 1968). As a result of increasing the German commercial

transportation processes to Iraq, Robert Wonckhaus Company was obliged to move its headquarters from Bushaher to Basra so that the Hamburg-America Line there stopped (Al-Jurani, 2002).

The Hamburg-America Line was supported by the German government which shouldered its funding through The Deutsche Orient Bank (Al-Assadi, 2001). And to show the size of the German-Iraqi commercial transportation, Basra German Commercial Agency informed the commercial companies in Baghdad in April, 1906 that the three steamships affiliated to The Hamburg-America Line were no longer able to transport more cargoes (Al-Jurani, 2002). Thus, Britain feared the German threat to its commercial and navigation interests in the south of Iraq, particularly, after the German attempted to establish navigation interests in the Iraqi rivers (Oinham, 2004). For instance, F-Moral, representative of the German Commercial Chambers, attempted to win two concessions from the Ottoman government to build a navigation line on Tigris. In addition, the German ambassador in Istanbul showed the interest of his government in building navigation interests on Tigris and the Euphrates (Hasan, 1975). Moreover, Nicholson, the British Minister for Foreign Affairs, described the German attempts to conquer the region in the Mesopotamia saying that “the German automatically controlled Baghdad railway and they were seeking a control over the river navigation as well. If they win the oil concession in the Mesopotamia and Iran, they would not fail gaining big political influence at the expense of Britain in regions of utmost significance for India (Hiller, 1996).

The British warships were observing the German activity in Shatt Al-Arab. They used to apply medical detention and inspection on ships entering the river under the pretext of protecting this river from pirating actions (Al-Assadi, 2001).

As a result of the expansion of the German influence in the regions under the British control, a British politician stated that “The danger threatening our trade is not the competition of the railway for river transportation. It is that we are expecting a German attack in the future. The German will be heading to Iraq. The railway will bring the German settlers and between Baghdad and Mosul, about 20 stations will be built. Each of these will represent a nucleus for a German settlement. Moreover, the German chose the locations that contain minerals such as oil, iron and sulfur. We expect that the German arrivals in the region will be tremendous within the coming few years. It is time now to gain new concessions from the Ottoman Government by adding a new steamship and coaches for each ship. We also have to urge the Ottomans to merge their steamships within Lynch Company. The suffering of the British trading should not continue further and the Ottomans do not have the money to put new ships in Tigris. Hence, they should accept the aid from somebody. This help cannot be better than that of Britain. Britain in Istanbul should awake”. (BOA. HR. SYS, 110/20/16-8-1911).

Results

Germany used the railways as a means to penetrate the east and gain colonies. It directed its attention towards Iraq dreaming of its fortunes, particularly, the oil.

The Ottoman state represented by Sultan Abdul Hammed II welcomed building the railway for its political and economic significance. Economically, the railway would add an additional revenue for the Sultan's safe. Politically, the railway will facilitate the mobilization of the military troops to maintain security.

Germany experienced a great pressure on the Topkapi Palace because it was trying to gain commercial control and political influence. When the Ottoman state becomes weak, Germany will control its fortunes.

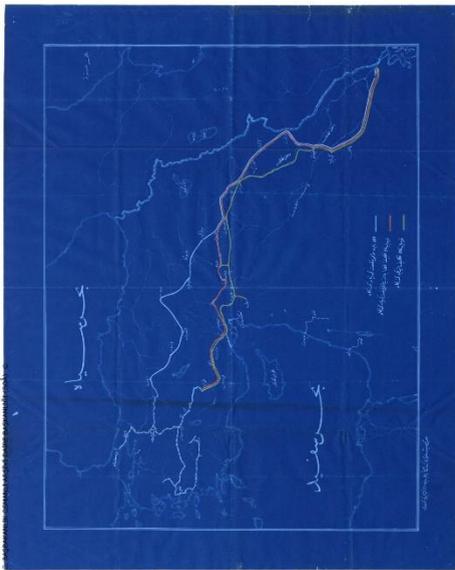
Building the railway leads to a great damage to the British commercial, political and strategic interests, which means removing Britain from the top position.

The British blocking of any project which threatens its trade and status represents a proof of the size of the influence it reached.

The Ottoman state's agreement to build foreign projects on its lands opened the way for the foreign penetration and, consequently, caused the collapse of the Ottoman state.

Appendices

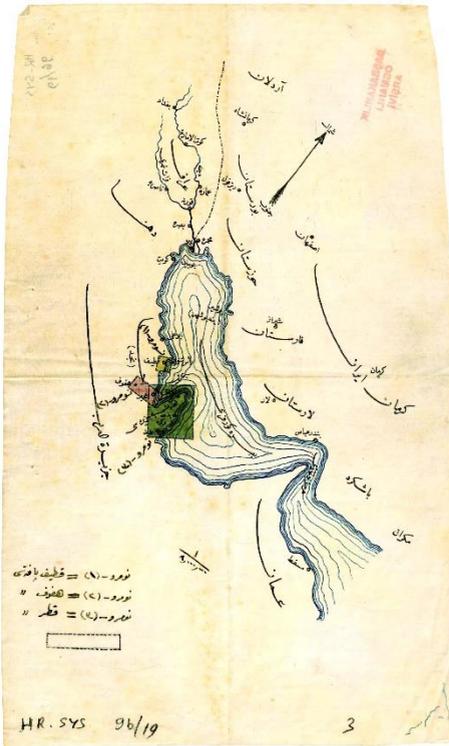
Appendix (1): Map showing the locations which Baghdad-Berlin Railway crosses (BOA.HRT, 1225/1)



Appendix (2): Map of Baghdad-Berlin Railway (BOA.HRT. 1614/2/ 2-4-1911.



Appendix (3): Map showing borders of Basra with the Arab Gulf and Persia. (BOA. HR. SYS, 96119).



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The Mirrors for Princes and Historical Codes of the Modern Leadership in the Middle East.

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Abstract

The *Mirrors for Princes* are administrative texts of ancient history. These texts, referred to by different names, are considered to be important because they have a function of projection, for rulers of the period. And their importance is not limited by this, because of its features. Since criticism and suggestions for the next ruler also shows the people's expectations, it is a reflection of the social and political characteristics of the period as well as texts. However, the *Mirrors for Princes* is not merely an object or the text to understand history or a period of time because these texts are elements of historical and social memory. From the text, written in the changing conditions and at different times, it can be understood that there were changing political and societal realities as well as unchanging elements. In this respect, the *Mirrors for Princes* can be considered not only an illumination of the past, staying in the dusty shelves of history, but also a relevant reflection that reaches to now. The main purpose of this study is to find out the secrets of leadership from this reflection. The main argument of this study is that this region has a historical code of the current leadership, which can be interpreted by the *Mirrors for Princes*. The backbone of the work depends on the interpretation and analysis of the *Mirrors for Princes*. This text was written in different times for different rulers; it raised powerful leaders from the Ottoman, Seljuk, Mongol, and Iranian societies. This research seeks to find out a different leader perception typology from commonalities despite social differences to different states and periodic variations. Considering that the *Mirrors for Princes* is an extensive literature, this study should be evaluated as a motivational tool for comprehensive successors.

Keywords: Mirror for Princes, Mirror for Princes and Sultans, Mirror for The Muslim Princes, Circle of Justice, Leadership

Introduction

As a period when the computer and the internet network surrounds the whole world, there are many possibilities for academicians and specialists (practitioners or theoreticians) who work in fields such as political science, sociology, public administration and social sciences to easily and quickly reach a lot of data that can be used to analyze or understand a society or its administrative and political system. These possibilities, of course, are often narrowed or distorted by some censorship, constraints or manipulations. However, it is clear that the availability of detailed information, especially through data banks or search engines, is too large to compare with previous periods. In this sense, it can be considered that the societies are getting close to each other in terms of life patterns, consumption habits, expectation of welfare and freedom. However, in this new small globe, whose distances are shortened, communication and transportation facilities are developed, the flow of life is accelerated, and thus the differences are reduced, it is expected that people living in different societies should not have any difficulties in understanding leaders and their rhetoric and reactions. However, it is seen that theoreticians or practitioners, especially from within the formation which can be called Western-style political understanding, often have difficulty in understanding the Orient specific-especially the Middle East-. In this sense, one of the most basic and functional means to trace the history of the codes of political and administrative reality appears as the mirrors for princes.

Although societies are becoming increasingly differentiated and increasingly similar to each other in their development, they eventually have codes that carry them from the past to today. Even though they are in the same country and within the same political system, cities are differentiated according to their spatial and architectural qualities; it is mentioned that cities have souls and they are distinguished from each other while living together. Societies on a higher scale are also different due to Rams and Memes which they brought from history. Therefore, it is possible to say that in the sense of social

and managerial reality, today's general view of the past or today's given data will not be enough alone, or at least past accumulation and experience will facilitate understanding. In this sense, one of the most basic and functional means to trace the history of the codes of political and administrative reality appears as the mirrors for princes.

Mirrors of Princes and Eastern Texts

The term "mirror for prince", when considered in general, emerges as a conceptualisation peculiar to the West. The mirrors for princes can be regarded as basic texts with mirror-like qualities for any historical period review. It is not possible to encounter western mirrors for princes in east in the same sense. The works which are in the Turkish - Persian and Arab tradition dominant in the Middle East and which resemble the mirrors for princes in the West are generally texts such as politics, advice, pleadings, and travel books. Anthony Black, as a worker on Eastern and Western political thought, describes the Islamic political thought in the first five centuries in his work *The West ...* and explains this in three ways. These are: *Nasihah al Muluk*, which he regards as the recommendation texts to kings, *fiqh* which he describes as religious law and a New Platonist understanding of philosophy. (Black, 2008:8)

In the same work, Black explains that the Islamic experts often compare the works of *Nasihah-ul Muluk* (*Nasihah al Muluk*) with the western mirrors for princes, whereas they are different from those of the monarchical state in Europe and *The nasihatulmuluk*-like qualitative works written as a recommendation to kings were written in the Muslim world much earlier and more variously than the first European examples and one of the most important examples is the *Politics of NizamülMülk*. Besides, one of the most important channels in political Islam is the Iranian effect. (Black, 2008: 101-102 ; Black,2011)

Pal Fodor is encountered as a remarkable name for the western mirrors for princes and eastern style political texts (*The Politics of the Orient*). Fodor explains why he uses the expression mirrors for princes instead of the words like politics, pleadings, and advice in his studies of the monarchs of the East. According to this, there are a lot of factors in Fodor's choosing the expression mirrors for princes of Europe or of the kings in the same way. The most important of these is the fact that the expression mirror of the prince is more comprehensive than the other determinations, and on the other hand it presents the opportunity to recognize the mirrors of the traditionally rich princes of the near east'. In addition, according to the authors, the texts of the Ottoman monarch's mirrors are the continuation and complement of the Islamic monarch's mirrors. (Fodor,1999: 281-282)

The mirrors for princes or another opinion on the discussion of politics belongs to H Bahadır Türk as the author of the book titled *Shepherd and King* which is one of the most comprehensive analysis written in Turkish. After entering the discussion on this subject, he states that his choice of politics corresponded to the mirrors princes in the Western literature and even their equivalents. (Türk,2012: 23-35). Although the above-mentioned authors have differences regarding the processing of these matters, they at least agree that the subject is at the forefront and scope of the subject, and that the Eastern texts of politics or advice are as important and interesting as the mirrors for princes. From this point of view, it will be appropriate to admit that the Middle Eastern texts of this frame, in particular, meet at least the qualification of mirrors for princes.

General Framework of Mirrors for Princes (Importance, Origin and Scope)

The mirrors for princes contain important clues about the time of the state they tell, the state administration, their functions, and the experience and political accumulation of administrators. These texts are not only an indication of the legitimacy and limits of power, but also provide access to the views of the political elite who think in this respect (Fodor,1999: 281). It is also possible to see how the understanding of worldly and prestigious power is fostered through these texts.

The Islamic-based Middle East oriented mirrors for princes carry a number of difficulties as well as being richly descriptive and guiding rich texts for researchers of this field. It is possible to draw a brief outline of what these difficulties are, by taking advantage of the findings of Ahmet Uğur in the form of "major problems of politics". (Uğur,1992: 13)

Firstly, one of the main difficulties of working in this field is the width of the field itself. Particularly in the 11th and 12th centuries, it appears that a large complex has emerged in this area. Moreover, the texts are written in Arabic, Turkish, Farsi and their combination of different languages such as the Ottoman language, and are the works close to the manuscript. This makes it difficult for readers to access and review works.

Secondly, it is not easy to distinguish these texts which have different names such as justice letters, politics, pleadings, advice letters, and letters of Turkish-Islamic rules and regulations. It is hard to say that the authors of the works in this respect are also consensus on what they analyze and examine later.

Another problem similar to the above is that the same work is recorded in different names in libraries. This causes duplicate works to appear, preventing them from determining how many works they actually have, and thus creating a time-consuming process. Another difficulty in this regard is that not all of the texts considered as the same as the mirrors for princes are directly related to this topic. It is seen that the vast majority of those which are involved are not receiving systematic remuneration or are randomly packed into a few pages.

Another important challenge is related to the identification information, such as the author and the names of the works. Many works prepared in this framework do not have clear information about the names of the authors or the history of the writings, but some are referred to in different dialects with different names and dates. Moreover, it is seen that many works have chosen a general name such as *Siyasetname*, *Pendname* or *Nasihātül Mülük*, which can cause confusion about the author and source of the book.

Another point that makes it difficult to study the mirrors for princes is that spiritual and earthly things are taken together, as Fodor also mentions it. (Fodor, 1999: 281) More precisely, the root of a secular sovereignty can be fed on a religious or even sectarian basis, which reveals the fact that the view is influenced by sectarian and socio-cultural differences, even though the origin is the same religion. Of course, it is not easy to catch these social differences or nuances.

Mirrors for princes, with the subjects such as rulers and administration, can be regarded as basic texts for mirroring the state, society and the domination of the kingdom for any historical period examination. When assessed in this direction, it is necessary to consider that the formation of the social and political formation is an important function of the mirrors for princes. The mirrors for princes are usually written for three sections. These are generic ones written for rulers, viziers and senior executives, as well as for other literate sections of the society (Uğur, 1992:7).

The roots of the mirrors for princes are quite early in the East. The general view in this regard links the beginning of politics-style texts with the post-Islamic period, especially with the Umayyad period. It is possible to explain this with the accumulation of the developed and comprehensive forms of such texts at a certain period. Fodor refers to the period of the fall of the Umayyads as the starting point for the first Islamic-based examples of politics and emphasizes that the internal political processes of the Arab-Islamic empire and the cultural endeavors to them are determinative in the formation of this tradition (Fodor, 1999: 282)

It is possible to say that Black does the same detection. However, it is often referred to Plato and Aristotle as early examples in the Western way, which extends to the 4th century. (Uğur, 1992:3). In this sense, it is possible that the beginning of this style can be taken back further in the Middle East. Especially, some tablets in studies on Mesopotamian and Anatolian civilizations show that there are boundaries for rulers or administrators who will come after themselves thousands of years before, it is possible to count them as ancestors or first examples of politics, justice or laws.

As an example of the first politics in Turkish political life, Yusuf Has Hacıp's *Kutadgu Bilig* is the starting point of his work. So this information is generally true, and even in the official education sites of the state, it is processed in the same frame. (www.eba.gov.tr) As it is known, this work was written in Karahanlılar period, the first Muslim Turkish state. In making this determination, it is necessary to admit that, of course, the value of the work as well as political religious motives is a specific determinant of its scope. However, the Orkhon Inscriptions, which were written long before this work, actually contain many political consultations and draw a framework on what should and should not be done for the state's presidency. The fact that one of these books belongs to the Vizier Tonyukuk can also be considered to strengthen this argument. Therefore, it would not be so wrong to accept the Orkhon Inscriptions written between 716 and 735 during the Göktürk period as the first Turkish mirror for prince as a sample of the text or at least as a substitute. (Taşağıl:2003)

As can be seen from the above frame, the extent of the scope of this deep history of the origins of the mirrors for princes originating in the Middle East is quite extensive. However, aside from starting from the primitive examples, it is impossible and even insignificant to try to fit into the work of even the entire text of the same mirror for prince in classic Islamic thought. In the last period of the Ottoman period, as a name that has been examined by the Bursalı Mehmet Tahir, a study of these works reveals the number of political Islamic works that can be reached in this way as 172, which also shows how wide the scope is. (Uğur, 1992:13-14) In addition, there are some difficulties in working on these works that have a mirror for prince as explained above. However, there is also the advantage of working in these texts that if the basic texts can be chosen, they should be of a quality that allows them to find the main points for the majority, if not all, due to similarities in approach, method and content. Therefore, a study has been carried out on the basis of the principal mirrors for princes in the Turkish Iranian and Islamic tradition, which is accepted as the basis in this study.

Main Characteristics of the Mirrors for Princes

The *Mirrors for Princes* are very important administrative texts. First, they provide considerable information about the political and administrative climate of the period. Such studies generally belong to two separate periods. A part of these texts-comparatively limited-were written in the most powerful period of the state. The second and more intense times of writing, were crisis periods. As a result, the writers aim to reflect and show the mistakes of the rulers of the time in which the old powerful state was in ashes.

In light of the above given information, it is possible to summarize the main features of ruler mirrors as follows:

Justices, politics, Islamic guild rules and regulations, pleadings, advices are the main kinds of mirrors for princes.

They carry mirror quality for the state and the ruler.

They include not only information about management and managers but also about the economic and social characteristics of the period.

They are mostly fed on a religious and sectarian basis and are framed as a moral attitude. In this respect, they are characteristic of moral texts.

It is observed that the mirrors for princes use a strong narrative language, which often uses authors' words, and that the reflections of the communal nature of the situation are in the foreground.

The issues they focus on may vary depending on the characteristics of the period they are written and the welfare of the society at this time, depending on the qualifications of the rulers.

The vast majority of those written during periods of crisis or malfeasance were written to lift the state again and to resume the limits of the religious and cultural legitimacy of the rulers. In this respect, they are reform documents.

In times of strong rulers who have a high level of prosperity and social satisfaction, it is often seen that the praise part is heavier and is prepared with a content about the continuity of the present situation.

Whereas the vast majority focuses on function, some of them, though limited, take structure, that is system, in the center.

The mirrors for princes were mostly built on a balance based on contrast.

These texts are generally not binding, they are works based on advice.

Basic Characteristics of Mirrors for Princes: Religion, Balance and Justice

Religion as a Basic Element

Looking at post-Islamic Middle Eastern texts of mirrors of princes, these texts seem to contain three key elements. These are Religion, Balance and Justice. Religion is, of course, Islamic religion, and a state and leadership understanding must be adopted according to its needs. This point is a dimension that is not sufficiently emphasized when the issue of secularism, which is often skipped in comparison with Western state understanding, is on the agenda.

Almost all of the Post-Islamic Period Middle Eastern mirrors for princes, despite some sectarian and ethno cultural sociological differences, take into the center an understanding of religion based justice systems such as the Holy Book, Hadith, fiqh and Sunnah. In this sense, the ideal state conforms to this. The ideal leader is a good religious person and a Muslim. It is possible to give examples of this from almost every mirror for prince. The characteristics that the Ahl-i Sunnah Speakers call in their rulers are being Muslim, having reached the age of free-wise intelligence, being a man, having justice and knowledge, being devout and having virtue. (See Mehmet Evkuran, 2003, p.222; by Bahadır Türk page 100.) It should not be too surprising to see the reflection of the stated conception in this context in today's states or in their leaders.

Contrast or Balance?

When one looks at the mirrors for princes as a whole, one of the most remarkable features is that they are based on contrasts. In fact, one of the most important characteristics of the general life practice of the Orient is the dilemmas. This situation manifests itself in the form of triplets in Western thought and life style. When you look at dilemmas, the first thing that attracts attention is a rationale based on contrast. This is again as it is in the example of the east, hidden in the TaiChi symbol Yin and Yang. As they are known, these are the contrasts of each other. However, in this contradiction there is a

thought of "every side also contains the opposite." In this case it appears that three dimensions have come forward. The first is that there are two opposite truths, like good-bad, beautiful-ugly, right wrong. In the second dimension these two opposing elements are very close to each other and sometimes even inside and the third dimension is that the contrasts gain meaning together, and even life balance through these contrasts.

When we look at the rulers' mirror, a Tai Chi situation is encountered. Therefore, these texts are often interpreted as a contrasting expression. However, this situation brings with it a balance rather than a contrast. There are basic preferences or phenomena, one of which is positive and the other is negative, which are often given in a form that would accommodate a religious reference. But as long as these two are together, it is meaningful because the positive is fed by the weakness of the negative, or by the harm of the other and vice versa. When we look at the mirrors for princes, it is seen that this state is preferred not to give an emphasis of contradiction under its origin but to determine and adopt the ideal, and that the meaning imposed on the state of equilibrium is used in a way to overcome its contrasts. This is a matter of being measured in a sense. For example, the presence of hell is one of the most important instruments of providing the work to go to heaven. But at the same time, it is ideal to configure without escaping and exaggeration. When the texts are examined at large, it is seen that the necessary qualities and the features that should not be on a ruler are given together, or in the advice letters, it is seen that the same level of necessity is given to what should and should not be done. A common advice in this regard is on avoiding extravagance and understatement, and balance is the key element of such studies. Because the balance appears as a constitutive principle for the actions of the ruler, the ruler. (Türk,2012: 39)

Traces of the balance can be found at every point from the daily hustle of social life to the nuances of managerial life. With a few examples, it would be instructive to establish this balance issue. Equilibrium in religion, justice, military, administration, generosity, and even in sexuality is important. The question of equilibrium is so important in this social reality that Fodor explains the reasons for writing these texts outwardly through the exchange of balances among the great powers or by the alterations of the balances. (Fodor,1999: 281)

According to Tusi, justice is a balance. Instead of modesty and multiplicity, average makes it right. İbni Tevmiye says, "If the senior managers are mild-mannered, the assistants should be hard, and when they are not, the assistants must be soft-tempered". (Türk,2012: 123.) Maverdi counts the equilibrium elements such as a determined but not rigid, soft but not feeble, generous but not wasted person among the qualities of the person who will pass to the ummah with reference to Caliph Umar. (Maverdi,2013:105)

Es-Sealibî says "The ideal ruler, who acts with the principle of metering, should approach his bureaucrats with an ideal balance and know where to reward and punish them." Es- Sealibi points to the bond between the idea of the measure and justice. Because Justice is a state of balance (Türk,2012: 82) According to Sadi Shirazi, a just ruler resembles a solid wall. If it loses its equality of justice and leans on one side, it is necessary to know it will collapse. (Şirazi,2016: 102)

The balance of the army is emphasized in Koçi Bey Risales. According to Koçi Bey, the capillary army and the tarmar army must balance each other. When the tarmar system was broken and balanced, the capillary army took power and the economic power of the country. (Fodor,1999: 295-296) Al-fahri also refers to Ibnu Tiktaka Hüsrev Perviz's advice to his son. Accordingly, it is also dangerous to act too generously and to be stingy to soldiers. That's why you need to give a decent salary (tip) to the soldier.

According to Farabi's state understanding, when the balance that exists in nature is deteriorated in society life, social resolution becomes inevitable. (Hopaç,2016:371) Again, according to Farabi, the "leader" is to be characterized and to be measured in sexual desire as ethical characteristics when counting the qualities of the "leader" . (Islamic thinkers page 25) According to Tusi, a ruler should manage the situation of the community in balance with grace and hardness. (Tusi,2016: 188-189) In the Kabusname, another work in the same form as a mirror for prince, it is stated that very much or little of the sexuality is also harmful, and that a medium level of everything is nice, so that even the extreme heat and cold should be avoided and warm times should be chosen for sexuality. (Keykavus:288)

As it is known, in the case of mirrors for princes, it is seen that the author frequently resorted to the use of metaphors and words of condolence. The determination and the influence of these texts also come from this great significance. Even in the use of metaphors, one of the most common methods is balance. Some of the most frequently used metaphors are organismic metaphors, including body parts such as the heart and the head. According to Akhisari, Veysi and Koçi Bey, the ruler is the heart of the body and according to the writer of Kitab-ı Müstetab, the ruler is the soul of the body. According to Veysi, if the heart is not regular and loses its balance, the disorder will definitely occur in the case of the body. (Fodor,1999: 299-300)

Entering the Justice Charter or Managing with the Verge of Justice

The concept of justice is one of the main areas of debate in every period of Islamic societies. When the mirrors for princes are examined, this concept appears to be in the center (Fodor, 1999: 283) The fact that this concept is centralized and so many discussed can be interpreted in two ways. First, justice is of utmost importance in terms of religion and societies, and it is very important for these social structures. Secondly, if this issue occupies an important agenda, it is probable that serious problems related to the issue are also occurring. Today, Middle Eastern societies are often at the center of justice-based debates. It is not a coincidence that problems often come to the fore in different dimensions of adulthood in narrower fields such as social justice, income justice and justice in representation, in particular the problem of justice in general.

Justice is of the utmost importance because it is an ordained command before everything else. In the Qur'an, it is said "Allah surely orders justice, goodness and looking after relatives, and forbids shamelessness, mischief and extravagance. As mentioned above, there is a search for a religious notion and an equilibrium situation at the root of justice. Therefore, these three concepts are in fact close to each other and complement each other. And these are the bases upon which the earth is built. Thus, according to Yusuf Has Hajib, the law restricting adherence is a pole for this sky; if the law breaks down, the sky cannot stand in place. (Kutadgu Bilig 3463. couplet) Justice is a siege for society. Justice in this sense is metaphorically like a circle. The circle should be considered in two forms; the first being socially enveloping and the second one being restrictive in terms of the ruler.

It may seem controversial how limited the kingdom of God as the shadow of the earth will be, but in the end it is a reality. Therefore, a ruler who wants to rule with justice must take all the classes of his people into this circle, and himself must rule with divine justice. Justice and equity for the sultan are seen as a source of righteous behavior ... cruelty and injustice are regarded as the reason for the disintegration of the subject. (Pal Fodor, quoted from Salimzjanova and Karckson, p. 300)

When we look within the boundaries of our topic, a few dimensions of justice come to the forefront. First, as mentioned above, there are mirrors for princes directly so-called justice. This topic will not be entered specifically here. Secondly, justice as opposed to cruelty; and just to cruel; is the instrument of balance and order. Thus, it deserves to be one of the most basic concepts even in this respect. As Inalcik emphasizes, the bond between absolute authority and justice, which has been in the Middle East for a long time, has become a fundamental principle. (Inalcik, 1965:49) Thirdly, when justice, which was just described as a circle, turns out to be a verge from inside the circle, a very special concept (or even an approach), called the verge of Justice, and which has many economic social and administrative dimensions, is emerging.

Justice is so important that Nizamül Mülk, known as a religious vizier, in his famous work titled Politics, says "Empire will eventually stand with unbelief, but never with unfair". (Nizam'ül-Mülk, 1999) According to Ibn al Mukaffa, the best of the rulers is only able to secure his government with justice among his people. In his duty, in his word and in his action, a ruler is the man who must be the most adherent man. (Mukaffa, 2016:131,59) According to Shayzari, justice is one of the four things that cannot be considered apart from the ruler. In addition, justice that provides obedience is regarded as one of the superior qualities for a ruler (Şeyzeri, 2013: 95). Yusuf Has Hacib states that justice should be pursued in this matter, and that even if necessary, it may be migrated elsewhere. Where a man finds justice and reputation, he must go there; he finds happiness in there (Kutadgu Bilig, 3462. couplet) It is possible to further examples of the above-mentioned. Because many mirrors for princes start talking about justice. However, as a third important dimension here with justice, it will be appropriate to look at the Verge of Justice approach.

If we start with the metaphor of the subject circle, the verge is more than the circle because it has both the envelope of the circle and the inside. The Verge of justice is an approach rather than a concept, and it is also a system. It is claimed that the origin of the understanding of the Verge of Justice goes back as far as to Sumerians. With much debate in this regard, it is undoubtedly the fact that this frame system is involved in the same time as the mirror for prince written in many places from Iran to the Arabic geography, then to the Ottoman capital.

Verge of Justice is a management system. It is a political sovereignty. Verge of justice is the management of economic, social and political things. Due to its many different applications, the chain of circles is a cyclical chain of management in which the numbers are changing but the central concept of justice and key concepts has not changed. It is possible to catch important codes of the present state system through this system when considering the basic elements of the Verge of Justice as a structural-functional characteristic of the agrarian society or as the management information of traditional agrarian societies (Yılmaz, 2012: 17-29) . It is possible to follow this system of Justice- State-Shariat-Country-Army-Property-People-Justice with the help of figure 1. According to that, the justice circle operates as follows.

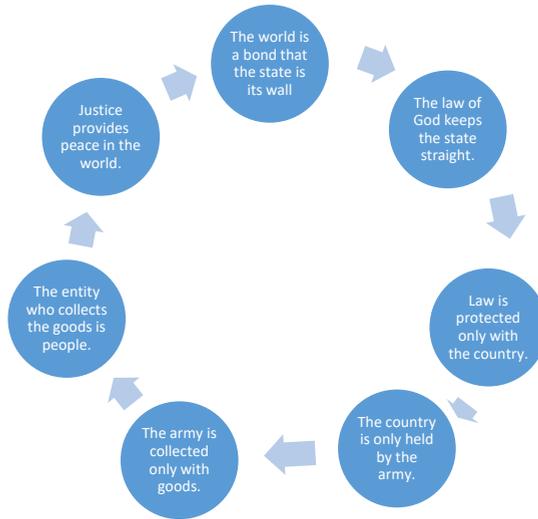


Figure 1: Daire-I Adalet (Circle of Justice or Power)

As understood from the circular system in the form of a verge above, the state is bound to the law, law to country, the country to army, the army to the money, money to the public and public to justice. Here justice has a broader notion than law. It is clear that the concepts such as country, people and power are the basic elements of the state and that it requires a current system like the military financial resource system. All of this system is endowed with the essence of adultery by many authors, as well as by the writer. The whole of this system is based on the essence of justice, which is seen by many authors of mirrors for princes as important.

Leader Typology of Mirrors for Princes

Adept Father: When the mirrors for princes are examined, it appears that lots of elements can be counted as the ideal leader's characteristics, most of which are abstract. However, some of them come to the fore. First, it can be said that it is a kind of loving father figure. In fact, the perception of politics, or more precisely, the perception of power as male sovereign has existed since ancient Greeks, even from Russia and even Mesopotamian civilizations. For example, in history, it is known that at the head of the cities there are the administrators called Babaghug in the sense of the father of the city. (Kıldirođlu,2016: 114) In Kutadgu Bilig, it is said "If the father is the ruler, the son is born, and he becomes the ruler like his father." (Kutadgu bilig, 1950 couplet) But this male sovereignty state is somewhat of a family concept and sociologically identical to his father, the father figure who protects and protects him, and is seen as having a direct word on it. In this case it would be insufficient to explain it only with patriarchy or masculinity. While the figure of the state is being examined, it is seen that the family metaphor is brought forward with the thought of cooperation and solidarity, and the state is portrayed as a large family. (Köylü,2016: 201) According to this understanding, in the Turkish States; often state is regarded as father, motherland as mother, and nation as children. (Duman,2016: 197)

Because of the abstract nature of the state concept, the father is more identified with the ruler as a symbol of power. The merciful and protective aspect of the rulers also makes him look like a father. (Çapraz,2016: 127) When we look at the subject through the mirrors for princes, it is understood that this compassionate guardian, but also the symbol of authority and power, continues to exist for the rulers of the father figure. Ibn al-Mukaffa, for example, approached the subject by saying, "If the Sultan sees you like a brother, you will see him as a father." (Mukaffa,2016:61) In the Kabusname, it is said that "the wise man knows his master as his father, mother and sister." (Keykavus: 230) According to Sadi Shirazi, the monarchs are portrayed as the father of orphaned children, and it is expressed that the orphans should be shown more affection and compassion than their fathers and suffer with their troubles. (According to Sadi Shirazi p.83) A similar approach is also seen in Tusi. So that the love of the ruler against the people is a father's love, the love of the people against him is a child's love, and if the people love each other, it should be brother's love. (Tusi,2016: .257) Türk: 115) This father-child relationship is of course not one-sided. So, Kinalizade takes the analogy a step further and says that the love

of the people to their ruler is superior to that of the love of the father, but that the love of the ruler to the people is less than the love of the father to his child. (Türk,2012: 168)

A Religious Person: Being called as a sultan, a vizier, a sultan or a gentleman; a leader is a human being in the end. But he is a religious figure. Because the law required to keep society together and to govern the state, and the individual virtues also have a religious origin. The emperor has an important power of being the shadow of God that reflects on the world and has significant responsibility as required by the principle of balance. However, at the same time, he is a human and a subject of God. The first and the most important condition of being a good emperor is being a good religious and Muslim person. It is possible to monitor this situation from mirrors for princes.

The mirrors for princes refer not only to the rulers, but also to the religiousness of other important state officials. For example, the person in charge of state affairs must be knowledgeable, dignified, and of course must be true and religious. (Türk,2012: 186.) According to Kutadgu Bilig, Hajibs who helped in the service of the ruler must be a person who is pious and religious (Kutadgu Bilig, 2462. couplet) According to Ghazali, it is emphasized that a vizier is a religious person, a person who is confident in his / her right, moral and acting in a prudent manner in public affairs. Also, if the president is not smart and devout, he will be dismissed from his office soon after. (Gazali,130-138.) According to Maverdi, the head of state should know and take care of the supremacy of the science. Because it is what will make religious values alive. (Maverdi,2013:137) İb-ni Mukaffa states that managers should not be able to behave in a way that religious people would not like as a means of love of service, and that virtue must be seen in religious people, and courage in towns, villages and tribes. (Mukaffa,2016.:55-66) According to Sadi Shirazi, only religiosity is important and the ruler must always keep the scholars and leaders of the religion as honorable. (Şirazi,2016: 80)

As you can see, religiosity is very important for a ruler. In such a structure it is almost impossible to expect the leader to have at least a position against religion, even if he is not a very religious person. Here, however, we must pay attention to an emphasis on religiousness, which is justice. As stated in Nizamül Mülk's politics and in some other important works, the expression "country may stay strong with kufr (unbelievers), but with injustice it will not." has become a common saying. (Koçi Bey, Gazali, Nizamul Mülk Siyasetname p.)

Roaring Lion: while people's relationship with nature enables them to find ways to struggle against its challenges, it also results in respect and taking it as example. In this sense, many animals in the nature have been symbolized with certain characteristics, and from this point of view, the way of analogy has been opened. For example, elephant is associated with greatness; fox is associated with canniness; snake is associated with sneakiness; and, rabbit is associated with cowardice. Similarly, lion is seen as the symbol of power, courage, authority, and potency. In Turkish classics, animals such as lion, tiger, and hawk are commonly used in the analogies about leadership. This analogy also reflects as a symbol of nobility. For example, Salur Kazan talks about his ancestry as saying that he has a root in Akkaya's tiger and Aksaz's lion. (Safran,2016.:32)

Lion is a king that has strong physical qualities and a powerful roaring sound that can be heard and felt from kilometres away. It is seen that this characteristic of lion is frequently used in metaphorical ways in terms of administration, and it is accepted and respected by the society. This is the reason why especially among Turkish people many famous leaders have lion (aslan¹) as their names or surnames. Names such as Aslan Bey, Sultan Kılıçarslan, Arslan Taman Kağan, Arslan Yabgu, and Sultan Alparslan can be shown as examples of this.

The importance socially given to the lion is also observed in mirrors for princes. Historically, one of the most important duties of rulers is that they are also commanders; in this sense, the characterization of lion is an emphasis on the ruler's quality of being commander. It is not surprising when it is thought that some of the qualities a commander should have are courage, bravery, power, and fearlessness. In addition to this, powerful oratory is still seen one of the most prominent qualities of a leader. A commander who roars like a lion and spreads fear among the enemy but also motivates his herd is surely considered as having leadership qualities. One of the texts in which the most important analogies about lion takes place is Kutadgu Bilig. Yusuf Has Hacib initially interrelates language and lion. Language is a lion; and if the owner of it is not careful, it will get the owner into trouble. (Couplet 164) According to another couplet, it is written that to rule over the world and to overcome wild ass, one should be lion. Beys are similar to lions, and if a lion leads dogs, dogs will act like

¹ "Pipeline creates tribal dissent," *Indian Country Today*, 27 September 2010.

lions; if a dog leads lions, lions will act like dogs. (Kutadgu Bilig, Couplets 284,764, 2047, 2048) According to İbnül Tıktaka, a good ruler should be more aggressive than a lion. (Tıktaka,2016: 12)

Lion does not only represent positive characteristics. According to Gazali, a ruler who cannot placate has nature of an animal just like a lion disguised as a human. (Gazali,2016:62) According to İbni Mukavva, a person who is close to the ruler is like one who rides a lion. The one who looks at him feels scared but it is more frightening for the lion. (Mukaffa,2016: 58) according to Essealibi, a predatory lion is better than a cruel ruler (Türk,2012: 118).

Well, is not there any solution if a ruler who is as courageous and powerful as a lion is cruel or does not know how to act? According to Sadi Şirazi, although cat seems weak and feeble, it can beat lion by scratching lion's eyes out with its nails. Again, if ants reach a consensus, they can make the lion regret the day it was born. (Şirazi,2016: 119,122) Attar, on the other hand, states that a ruler should have necessary qualifications by making analogy that when a lion is without its teeth and nails, it is treated as cripple by foxes. (Attar,2013: 83) Finally, as one of the authors who care about lions most, Yusuf Has Hacıp indicates that a person who knows how to manipulate and to play tricks can even deal with a lion. (Kutadgu Bilig, couplet 2327) To summarize, it is important for a ruler to be a lion; but it is more important for him to stay as lion.

Fair Shepherd: The metaphor of shepherd is also closely related to nature and culture. As it is known, a great deal of people in this geography earn their lives through stockbreeding. In fact, Turkish people are known as migrant settlers since they live in a mobilized way with their herds. Shepherd has interesting characteristics. He has a herd that has different types of animals having different qualities such as sheep, goats, females, males, babies, and grown-ups. While a shepherd is pasturing his herd, he does not discriminate; he aims to feed and protect them all. What is beneficial for the herd in the production and protection process is also beneficial for the shepherd.

The Arabic version of the word shepherd is *râ'inâ*. It is considered that companions of Prophet Muhammad addressed to the prophet as *Ra'inâ* meaning *protect us*, but did not refer to the meaning shepherd in this context. (Kur'an,2011:22) Again in Koran, in Surah of Bakara, the situation of the prophet against the ones who do not believe is liken to a shepherd who calls out and a herd that does not hear anything. (Surah Of Bakara, 171. Verse) Similarly, in the Old Testament, the statement "*God who shepherds me through my life*" is mentioned. (Genesis 48)

In such a social reality environment, it is seen that the metaphor of shepherd is one of the most determinant qualifications. By indicating that like all herds need a shepherd, society also needs a governor, Maverdi states that although people are not happy with this situation, it is better than living without a governor. (Maverdi,2013: 60) EbûMansur es-Seâlibi, on the other hand, indicates that just like a herd would be destroyed without a shepherd, people will also destroy each other without a ruler (EbûMansur es-Seâlibi, *Âdabu'l-Mulûk*, p. 33 as qtd.: (Türk,2012: 23)

Also, Kutadgu Bilig describes the society as a herd and the bey as a shepherd, but he states that shepherd should be merciful while treating the herd. (Kutadgu Bilig, 1412. Couplet) Based on hadith, İbnTeymiye uses the statement "you are all shepherds and you are responsible for the ones you shepherding." (Türk,2012: 153) By referring to the Prophet, Gazali writes that each shepherd will be questioned about where he pastured the herd and how he treated the herd, and each ruler will be questioned about how he treated his people. (Gazali,2016: 120) According to Sadi Şirazi, a leader should not be only fair but he should also be guardian. As a shepherd would keep the wolf out of his herd, ruler should also keep bad people out of his society. (Şirazi,2016: 89)

Well, does the ruler exist for the society or does the society exist for the ruler? İbnTıktaka summarizes the topic by stating that the ones whose shepherd is wolf torture themselves. (Tıktaka,2016: 42) Sadi Şirazi, on the other hand, states it more clearly when he says herd is not there for the shepherd but the shepherd is there to serve the herd. (Türk,2012: 143) However, this situation does not fill the gap between leader's effect on the society and the society's effect on leader.

When all these illustrations are considered, shepherd has a wise, protector, and self-sacrificing personality. But the shepherd is also the irreplaceable one for the herd and he has the right to decide about the herd. Also, if the herd is shepherd's own property, his rights will be more. In this metaphorical narration, the meaning of being for the shepherd is that shepherd's livelihood and even life depends on the herd but also the herd's life depends on the shepherd because while the shepherd can sacrifice some to feed himself or to please his guests, the herd cannot take a risk of living without a shepherd.

Conclusion

There are some historical facts that shape societies, political administrative institutions embedded in them, concepts, and titles. Each society undergoes a change in terms of its main components, and depending on its knowledge about other societies, it obtains some new qualities or loses some old qualities, institutions, and habits. Especially the development of mass communication and transportation seems to approximate societies and values. On the other hand, there are also historical administrative codes that societies bring from their pasts. It is seen that today, many habits experienced in the society, the facts known by people, and the rituals repeated by new generations are based on a historical root because societies have memory; and the experience, habits, truths, and faults continue to exist by being transferred from one generation to the other. When considered from this point of view, understanding the past means understanding the present events or situations better. Within the context of this study, mirrors for princes can have an active and facilitative function in understanding political and administrative facts occurring in today's Middle East, and the perception of leadership that gains importance in this context.

Although the roots of mirrors for princes date back to much earlier times, this study focuses on fundamental texts found in the geography of Middle East after Islam. As a result of the analysis, it is possible to make some observations. Addressed with different names, mirrors for princes have been basic political and administrative texts of this geography. It is observed that Eastern mirrors for princes are structured on three fundamental factors; these are religion, balance, and justice.

From the perspective of leader typology, it is seen that the described or idealised leader is a benevolent father for his children, a fair shepherd for his herd, and a religious person who roars against his enemy. When we take a look at it in today's perception, leaders are people who have weaknesses in front of the society and God although they have many strong personality traits. This person is religious, and develops an identity within a moral doctrine.

The symbolization of the leader through the use of lion metaphor is observed with the qualities of power, authority, and oratory. As the threat or the perception of threat in the society increases, a lionhearted leader who roars is appreciated more. Although people themselves are sometimes scared of the roaring of their own leader, they have an absolute faith that this roar will protect them in dark forests.

The father figure is generally benevolent. The real expectation from him is to act with compassion. However, as indicated by a common statement, the father both loves and beats. Father's approach to his children defines his worldview, and a good part of it is based on unwritten social rules called mores. Mores do not only have a negative meaning as it is expected, on the contrary, it is a way of having government and laws in a migrant settler society.

The perception of a fair shepherd is not interpreted in a negative concept by the people who are called herd. To give examples from the recent past, it is understood from the statements of politicians who says that this duty cannot be fulfilled by the people who cannot shepherd two geese or three sheep. It is also an indicator that people are not disturbed by the nickname, shepherd, of a leader who is one of the most important political figures in recent past of Turkey. Like a shepherd who does not sacrifice his herd, leaders also protect their teams although they make frequent mistakes. This is about balance. The distortion of this justice-centred balance is one of the most serious dangers for both the leader and the society. The worldview of this geography's people, which is based on emotions rather than logic, also reflects in mirrors for princes; this situation shows itself in the fact that the determinant is moral rather than material, and the subject rather than the system. It is observed in mirrors for princes that there is a dominant understanding based on happiness rather than wealth and prosperity, on justice rather than order, on leader rather than system, on courage rather than weapon, and on governor rather than government.

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Contribution of Competencies Management for Performance Training

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Abstract

The aim of this study is to analyze the relationship between practices of competencies management and training. These practices go well beyond the traditional concept of HRM since it is also interested in organizational competencies. By the end of our study, it appears that the process which guaranteed the success of the training is divided into three (03) times. The first depends on a configuration approach of HRM and key skills to be served, the second reverts to the training engineering (on its three levels) and the third depends on the conditions of skills transfer.

Keywords: Training, Management Competencies, HRM, Performance, Organizational Competencies, Individual Competencies.

Introduction

The existence of the business company is based on competencies likely to generate necessary organizational synergies to gain an income above the financial costs and production costs (Courtinet, on 1998). In that way, competencies are the focus of organizational dynamics to attain the results of the firm.

That is why our study takes all these dimensions. It is based on the link of two main managerial concepts, specifically, the management of competencies (a concept that we retained the whole of the managerial actions hired by an organisation in order to manage and to develop the individual and/or the organizational competencies) and the company performances (the individual and organizational results).

Having regard to a recent advanced research of the last twenty-five years in the study of link between HRM (practical and political) and the performance of an organisation (Arthur, on 1994; Guest and Hoque, on 1994; Huselid, on 1995; Kalleberg and Moody, on 1994; MacDuffie, on 1995; Catherine Struss 2001), this concern remains a big interest just as well for the academic community as for the professional one (Wright and al. , on 1999).

Our participation in this research, is precisely, to try to figure out a little more the contents of link between the practices and the performance of HR. More particularly, we are going to focus on the results of the concept concerning training. In doing so, we go beyond the traditional idea that financial capital is the primary resource for assessing a firm's ability to succeed (eg, Khan, 2013b), while being aware that the concept of performance goes widely beyond. But generally, this relation is certified by J. Paauwe on 2009 as « Black Box ».

Indeed, even if it is proved that the practices of HR affect the performance of the business company, what we want to reveal, is how and in which manner the management of competencies contributes to the performances of one firm and particularly to the individual training?

In order to answer this question, we are going to discuss the HRM in a logic of competencies management at an individual and organizational level. The availability of individual skills for the benefit of components of a business in the prospect of generating acceptable results remain one of the main purposes of the human resources management today.

In terms of the performance, we try to follow recommendations of one of the most known authors of synthesis works on the question of link between HR practices and performances, specifically, J. Paauwe (2009). The latter recommends, a priori, the recourse to the grid of Kaplan and Norton (1992, 1996). These authors classify the performances of a company in four (04) large prospects: Finance, customer, process as well as learning and growth. This last prospect constitutes the main reference to which our results return.

I-main concepts of the study:

Beneath this title we put forward a brief theoretical analysis on the management of competencies, on one hand, and on the concept of performance, as we conceive it in this article, on the other hand.

1. 1-The management of competencies: the selection of a model

Originally, the concept «management of competencies» is coming from the evolution of practices of the human resources management. In order to give it a closer meaning to the current study, we came back to the four standard types of management of competencies suggested by Dietrich and al. (2010). He included in particular: a normative model, an instrumental model, analytic model and a model with a comprehensive aiming.

In this classification we think that the analytical model is the appropriate one for our study. It charts all practices and procedures, as well as all engineering of HRM which allows to the managers of human resources to take over the required abilities for the proper functioning of the internal processes of the firm. This model also sets the factors which provide the distinction between the practices " classical RH " in comparison with other practices (which is our concern in this research work) having one vocation: to develop the firm competencies. Specifically, it is practices of competences management (Dietrich & al. , 2010), such as the valuation of competences, the development of competences and the set up of a competency framework. Also, it is in these practices that Dietrich and al. (2010) address the three levels of the competences management, namely: individual, collective and organizational level. This coordination is also admitted by other authors like Dejoux (2001).

1. 2-The concept of performance

1. 2. 1-Within the meaning of Balanced Scorecard

Considering the abundance of literature in the field, we do not pretend to provide an exhaustive definition of what a performance is. This concept of performance is difficult to be defined in a specific manner (P. Voyer, on 2006).

However, we try to determine the concept definition of performance in a way to ease the processing of our problems. As Saucier points out (2006): «The concept of performance should thus, also, be specified each time we want to use it».

On our part, it is necessary to clarify at what level of analysis the concept of performance should be covered (Guest, on 1997). We are particularly interested in the individual performance which concerns the individual in his workstation.

For this purpose, we return to the Balanced Scorecard as a grid of analysis (Kaplan and Norton 1992, 1996). In order to assist the organisations in the implementation of their strategies, these authors conceived a system which reconciles the historical accuracy of financial data with the leaders of future achievement, while developing the value of intangible assets. These authors admit four (04) levels of measures:

- The measures of financial performance state the level of the strategy success in financial goals services; the measurements related to the costumers who are focused, mainly, on the satisfaction that the company brings to its costumers; the measurements related to «internal processes» which describe the organizational results created by the internal components of the company; finally, the measurements related to «learning and development». The latter describe constant improvements in terms of human capital, organizational capital as well as the informational capital.

This fourth level of analysis gives particularly importance to the individual performance from the point of view learning and development of the staff. To provide more details in the field, it is required to specify what are the performances in the training and learning field.

1. 2. 2-Within the meaning of the training management

To value the performance in training course, we have enlisted the model of the training valuation of the American author Donald Kirkpatrick (1959).

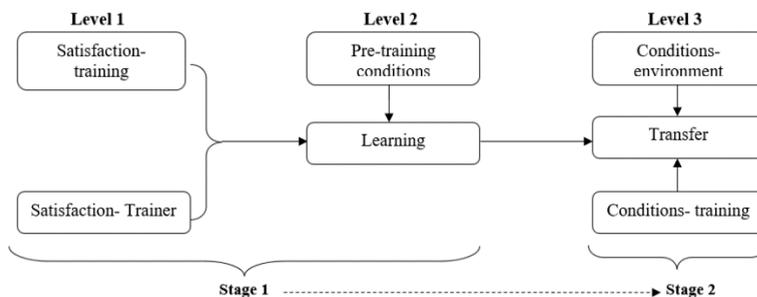
According to this author, the performance in training course is at four levels:

- The first is about the training progress (the quality of its contents, of its management, the unfolded logistics, etc.);
- The second one has to do with the reachable level of teaching goals in terms of knowledge, know-how, knowledge of being;
- Third level is linked to executed professional behaviours during real work situations;
- Last and not least, the fourth level of performance is referred to the organizational results induced by the same learner.

This model was partly validated by J. Louarn and Pottiez (2010) in their article «partial validation of trainings valuation model of Kirkpatrick». These authors have studied, first, causal links between the first stage of valuation related to the learners satisfaction with the second stage which is related to the level of their learning. They tried to know, secondly, if the behaviours improvement in work situation is a function of learning came from the training. However, they left the fourth stage of valuation that is linked to organizational result. As a conclusion of their study, the authors managed to say, on one hand, that «The satisfaction regarding the contents of the training as well as a positive state of mind before the training are required conditions for learning». On the other hand, the learners behaviour improvement in work situation (in other words the learning transfer) depends on conditions of transfer more than the learning itself. The authors quote four conditions regarding to the learner. For the latter, the training should be interesting, holds the necessary means to apply what he had learned, that we give him the opportunity to to apply his learning and ultimately the environment in which work is supportive.

These previous conditions should be part of the training management process.

Diagram 1: Business model of the training valuation stages



Source: J. Le Louarn and Pottiez (2010)

In the reality of companies, evaluation of training is not necessarily practiced or very little. This is not because managers are not interested in training issues. Instead they have the unwavering conviction of its value (Meignant, 2013).

II-Research Methodology:

2. 1-The methodological choices:

Concerning the methodological adopted approach, we did not want to opt for a mode of deductive reasoning which founds the hypothético-deductive step: The latter consists in working out one or several hypotheses and in confronting them then with a reality (A. Thiétart, on 2007). On the other hand, in a perspective to suggest new valid and robust theoretical conceptualisations, we had opted for the abductive step.

It seems to us that this one is the most suitable for our research. If hypothético-deductive step is a logical inference which confers to the discovery a constancy in priori (laws, theory...etc), the abductive step confers on it an explanatory or understanding status that could be tested, to be set towards a rule or law (Thiétart 2007). This is what we look for through the how of our question at the beginning.

Also, we opted for a qualitative step with a strategy of numerous cases. We will see that this choice was directly motivated by the nature of our main research question which is of type «how?» (Yin, on 1994)

2. 2-Brief introduction of studied cases:

It seems important to us to make it clear that the data collection of concerned activities was made between 2015 and 2016. The studied cases release everything about the National Company of Distribution of Hydrocarbons Products NAFTAL. It is a 'Economic Public Company (EPC) of Algerian right. The performance management of the Fuels Branch is organised as a management system form that meets the quality standards ISO 9001-2008, ISO 14001 and OHSAS18001. It is about a System of Management Quality Security and Environment SMQSE. It works by means of processes, procedures, surgical modes and management instructions. It even determines the sequences and correlations of these processes and specifies especially the criteria and methods which assure their implementation and their control.

As part of this system, it has been set up a management of human resources based on a logic of management of individual competences. The latter concerns mainly the wage earners occupying workstations constituting the core business (aviation fuels, the preventive and remedial maintenance and marketing).

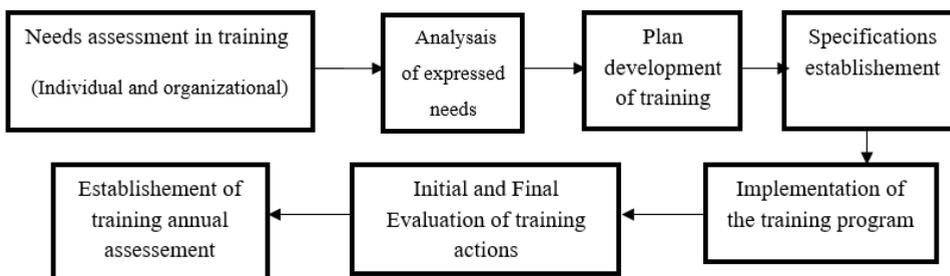
In this context, our study has particularly focused on five (05) cases. First of all, the case of the preventive maintenance of the rolling equipment, then the case of the remedial service of the rolling equipment, the case of deliveries of fuels for the marine watercrafts, the case of business activity and finally case of work-place accidents. More precisely, for each of these cases, we developed successively:

- 1) The problem or the strategic goal to be reached (the strategic concern).
- 2) The study of links of «cause and effect».
- 3) The necessary organizational competences to cover the strategic concern.
- 4) The management of individual competences as main contributing factor in the development of organizational competences.
- 5) The results of the competences management actions (on the individual and organizational plan).

About the practices found of competences management comparing to these cases, they included between others to identify the necessary individual competences those will contribute to the development of organizational skills and define the actions as a regards in there relation to the HRM.

In order to succeed, the Human resources Department tried to stop accurately the quantitative and qualitative needs of human resources by referencing, on one hand, at the valuation of competences and at the staffing management and, on the other hand, at the organizational needs expressed by the concerned structures. The diagram below defines the stages of the training management.

Diagram 1: Process of training management



The first result of our study amounts to saying that the Management of individual skills encourages the learning of employees and improves their professional conducts. The training allowed the development of individual competences. It

has been highlighted by the first level of the grid of BSC of Kaplan and Norton (on 1992, on 1996) (development and learning). The development of competences is considered to be a full-blown performance.

Also in comparison with the model of Kirkpatrick (1959), we have come to two conclusions. The first one is related to the satisfaction of learners, via «the initial evaluation». While the second conclusion highlights the learning transfer in work situation. Which represents to the third stage of the evaluation of same model.

On the other hand, the learning evaluation (on pedagogical level), that represents the second stage of the model, does not included in our results. This is not an omission. By trying to obtain the results of the training evaluation carried out by the training providers or even by trainers in the internal, we realized that it is not at any situation that we review to examinations and controltests. The head of the training department has explained : «This depends on the length of trainings courses. For those who lasted between one and two weeks, for example, we do not anticipate a pedagogic control». This type of trainings constitutes the majority, in our study. The lack of information in the field, made us not to take it into consideration.

In addition, it is not the concern of the company. What is important it rather the compliance of specifications (initial evaluation) and the development of the learners conducts in real work situation. The head of the training department says it: «what interests us the most is not the examinations results. Moreover we do not even ask about them. What we do look for, is what the training brings back to us as an added value in real work situation». The added value to which he refers, is well the developed or acquired competence by the learners and that is indeed determined on ground and especially admitted by the hierarchic leaders (reviewers).

As regards the fourth level of evaluation which has related to the impact of the training on the organizational results, the latter has been excluded from our study. In fact, for an internal validity of our research, we focussed only on the theoretical conception that has been well approved by J. Louarn and Pottiez (2010).

3. 1-The Initial Evaluation

As regards to the evaluation of learners satisfaction, of each studied case, the results are summarized in the table (1), below. The values listed in the table represent the arithmetic averages of the statical means of the allocated levels for each assesment setting.

We used a questionnaire that has been given to the learners at the end of their training. The filled out questionnaires are forwarded in the training department for study and overview. The learners assessments are classified in four levels: unpleased, dissatisfied, satisfied or very pleased.

To assess the degree of the learners satisfaction regarding to the training content, we went back mainly towards the quality of the training program, the length of the training, the animation, the documentation, the teaching methods and the reception (as criteria of assesment). It should be noted that the state of mind of learners has not been tested before the training as Louarn and Pottiez (2010) recommend it, but at the end of the training. We assumed that in spite of a probable bad prejudice of learners during the beginning of their training, the latters can change the mind by being acquainted with the contents of the mentioned training. In other words, they can have a better opinion and find actually that the training is interesting. This hypothesis has been well proved through our interviews. It is what was revealed to us, between others, by a worker in office «providor produced movements» in the case of maritime exploitation: «We thought that they will redo the same things to us... things we have already known, but everything is new... it is interesting, anyway.

By coming back to the results of the initial evaluation, we have noticed that the biggest number of dissatisfied lies in the setting «length of training». By questioning the learners, the latters explained to us «... we have thought that our training is such interesting that its length is insufficient ». Really, the results certify that in most of the cases, the length of trainings are considered to be insufficient. The table, below, summerizes the rates of initial evaluation of each studied case. (See table 1 below).

As for the measure of the learners satisfaction regarding the training content, we measured the training program, animation, documentation and teaching methods. We consider that these assessment settings are required for measuring the training quality. Finally, we think that the good reception by the organism trainers contributes to give a good assessment on the training.

3. 2-The Final Evaluation

It gives an account of transfer of training in real work situation. It is a question of proving if the training's achievements are used in this frame. This check is made via the hierarchic leaders who are responsible for determining the conducts development of their subordinates after a given period of their training. It is a question of assessing them on the basis of the operational goals of the training that the HRM had fixed beforehand and had mentioned in the reports of final evaluation.

By returning to J. Louarn and Pottiez's study (2010), it proves to be that the improvement of the learners behaviours in work situation depends on the transfer conditions of more than the learning itself. Comparing with these conclusions, we find that the competences management as we have found it in the firm takes into consideration the required conditions.

The first condition is related to the use and pertinence that the learner estimates regarding to the training has been already taken by a good definition of needs in training. The latters are fixed, upstream, by the skills assessment. This one proceeds by the identification of the difference between the required competences and the acquired ones by the learners and leads to a consent between the evaluated and the evaluator on the needs in training, for example.

The second condition is linked to the provision of necessary means for the tasks execution and the missions which are assigned to the learner, allowing to him it to implement his training. Our survey in the field showed us that:

For the case of the preventive maintenance, the drivers do not need specific materials. The efficiency of the preventive maintenance depends on their awareness as well as on their awakening and on their attention. For the remedial maintenance case, the operators dispose all the necessary materials to act in their workshops. However, what they are missing is only the towing tools, when it requires to move for a breakdown (far from the workshop).

In case of the maritime fuels shipping, we have mentioned the lack of exploitation assets and of the shipping means (failures of transformer, failures of pump, etc.). These situations are not generalised since during the proper functioning of these equipments, the learners in particular and the operators in general, record pleasant results.

For the activity marketing case, we showed a limitation of storage capacities, the lack of delivery capacities and the lack of delivery means. However, when the means are available, the operators have the opportunity to implement their new skills. For this purpose, the results of the final evaluation certifies it.

However, the chronic lack of means, in the case of work accidents, is feeded back on the results. In spite of the awareness transmitted by the different trainings, the lack of means remains one of the reasons of the occurrence of work accidents. On the other hand, other reasons of accidents are reduced with time, while maintaining awareness campaigns.

As regards the occasion to apply the new acquired skills by the learners (third condition), this one is planned in the job sheet. On organizational plan the latter (the sheet) specifies the tasks and the missions of each agent. It is via this job sheet that the learner has the possibility (the prerogative) of implementing his training. It is necessary to know at the begining, the learning is launched in comparison with requirements of the job sheet in terms of competences keys.

Finally, as regards the support by the employer (fourth condition), the company is conceived so that he has a coordination and a support between the different elements of the company (between the employees). Furthermore, the instructions of management and the internal regulation of the firm reinforce the necessity to support the wage earners by every possible means. It is in particular about compensations, favourable conditions for work, securing employment and of social insurance, as well as all that has relation with the social-professional advantages.

Debate and conclusion

The results comparison of our investigations in the field with a literature on the concepts of competences management and of performance, allowed us to understand better the reality of competences development in the real work situation .

At the begining, we thought that the training's success and the competences development depended only on the quality of management of the training's engineering. In reality, this idea turns out to be very restricted regarding to the socio-professional one.

Indeed, the actual study has revealed to us that the competences development had to exceed the management area of human resources, in order to register in a holistic vision by taking into consideration all the company's management aspects (in particular its operational and strategical ones).This is what has been suggested by the competences management pursuant to the analytical model of Dietrich & al. (2010).

In brief, we can divide the taking care of the training by the competences management into three main steps. The first one lies upstream of training process. This one includes the global strategy of the firm, its internal processes as well as the organizational competences. That is to say that core competences which constitute the heart of the company's business (core competencies, Prahalad and Hammel (1990).

The second step during the process training integrates the management of logical and educational aspects specifically, the educational program, the length, the quality of animation, the documentation, the teaching methods, the reception of trainees, the food and accommodation services. For better efficiency (performance), Donald Kirkpatrick (1959) and J. Louarn and Pottiez (2010) suggested the initial evaluation as we defined it above.

The third step that comes after is the progress of the training course. This last step integrates the supporting measures that guarantee the transfer of competences in real work situations. It is a question, first of all, of having a business company fostering the adequacy between what is learned and the activities before being undertaken by the learner. In other words, the concerned person would have the opportunity to implement his training. This condition has been well illustrated by the results of studied cases.

Secondly, in the occupied workstation, the learner should be equipped by necessary means of production allowing him to apply properly what he has learned during his training. The expression 'mean' reveals an extended meaning. According to our study, we mean by 'means' all the tangible resources (equipments, facilities, and finances) and intangible ones as Kaplan and Norton (2004) defined in particular, the organizational capital (organisation and methods), the human capital (the competences) and informational capital (system of information).

Thirdly, the relating condition to have the opportunity to implement the training in real work situation returns, one one hand, to a proper assignement of the formed that suits their training (whether as part of a career plan, or in a logic of career management). In other words, « the right man at the right place», and on the other hand, to have an updated job sheet. Indeed, the intended activities in the aforementioned document as well as the related competences should create the necessity to mobilize the acquired knowledges via the training. It is what comes out again from most treated cases before.

Fourthly, concerning the condition relating to « working in a supportive environment » that provides to the learner the necessary support, the cases previously mentioned give an account of it. Generally, it is interlinked to good working conditions and it, by the response services HSE. The latters work under the certification of OHSAS 18 001 relating to safety and health at work. It is what makes their services of a good quality. Also, an adequate remuneration at the level of competences, remains a key in order to guarantee a employee retention. These remunerations should be the same or even upper than those prevailing in labor market.

The favorable environment that provides the necessary support for work goes by a good social environment. The latter, on one hand, in a justice to see a social equity in the professional world, and on the other hand, in the clarity and transparency of the information which has been announced to the collaborators.

The conclusions of this study corroborate the assertions of Van der Merwe J. and Sloman M. (2014): "training and learning takes place firmly in an organizational context". These same authors also argue that the development of competences is not limited to the formed-trainer relationship, but rather to a collective and collaborative one.

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Enterprise Social Media for Knowledge Sharing and Innovation in Manufacturing Small And Medium-Sized Enterprises

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Abstract

This paper extends previous studies on the organizational impact of Internet technologies by analyzing factors affecting social web knowledge sharing and its effect on innovation performance in manufacturing small and medium-sized enterprises (SMEs). In addition, this study analyzes whether social web knowledge sharing may be a mediator in the relationship between human resource (HR) practices and innovation performance. The proposed research model and its associated hypotheses are tested by using partial least squares (PLS) structural equation modeling on a dataset of 175 manufacturing SMEs. This study contributes to research seeking to understand the factors affecting social web knowledge sharing by demonstrating that technological and organizational factors have greater impact than environmental factors on social web knowledge sharing. It also contributes to research by exploring the indirect effects of the social influence of HR practices on organizational innovation performance by offering evidence on the mediating effect of social web knowledge sharing in the relationship between HR practices and organizational innovation performance in manufacturing SMEs

Keywords: Social web; social media; knowledge management; technology; innovation performance; SMEs.

1. Introduction

The term social web was originally coined to distinguish static websites in which individuals were only recipients of information, from interactive and dynamic sites in which they collaborate and share information. The social web was initially identified to distinguish between traditional static web sites and interactive web platforms or online social networks, where users exchange information and reconfigure existing knowledge simultaneously (Palacios-Marqués et al. 2015a; Xin et al. 2014). Recently, the term Knowledge Management (KM) 2.0 has been coined as the acquisition, creation and sharing of collective intelligence through online social networks and communities of knowledge (Sigala and Chalkiti 2014). The social web constitutes an Internet-based digital platform that enables the creation of social networks, facilitating information dissemination and knowledge sharing (Joo and Normatov 2013). Consequently, firms are deploying social web technologies such as social networking, wikis, and internal blogging to improve collaboration and social web knowledge sharing within their boundaries (Soto-Acosta et al., 2014). In addition, although the literature suggests that findings from studies examining KM practices in large companies are unlikely to be generalizable to small and medium-sized enterprises (SMEs), very few and recent studies focus on this specific type of firms (Chan et al. 2012; Lopez-Nicolas and Soto-Acosta 2010; Palacios-Marqués et al. 2015b; Xin et al. 2014), with even less existing research focusing on KM practices in manufacturing SMEs. Meanwhile, manufacturing SMEs are of key importance for economic growth, employment and wealth creation, representing over 80% of the total number of firms within the manufacturing industry and accounting for around 60% of the employment in Europe (Jardim-Goncalves et al. 2012; Soto-Acosta et al. 2015).

Existing investigations have demonstrated that, although firms have extensively adopted Internet technologies, technology use is an important link to business value and that such link is sometimes limited especially in SMEs (Devaraj and Kohli 2003; Zhu and Kraemer 2005). In this sense, studies in SMEs suggest that, although having a proper information technology (IT) infrastructure can facilitate knowledge creation, it does not necessarily mean that knowledge is created (Lopez-Nicolas and Soto-Acosta 2010; Popa et al. 2016). Thus, implementing IT applications, by itself, is not enough to ensure a better

outcome in terms of knowledge sharing, since interaction between employees has to occur. Knowledge will not necessarily circulate freely firm-wide just because accurate IT to support such circulation is available (Brown and Duguid 2000).

Furthermore, literature suggests that knowledge is precursor of innovation through organizational learning (Lopez-Nicolas and Soto-Acosta 2010). Although there is research that has analyzed the relationship between KM and innovation (López-Nicolás and Meroño-Cerdán 2011), little is known about whether and how different factors promote or hinder social web knowledge sharing and the different effects of social web knowledge sharing on innovation performance in manufacturing SMEs. To delve into these questions, grounded in the Technology-Organization-Environment (TOE) theory, this paper develops an integrative conceptual model to assess the effect of different factors on social web knowledge sharing and its effect on innovation performance in manufacturing SMEs. Moreover, this study analyzes whether social web knowledge sharing may be a mediator in the relationship between human resource (HR) practices and innovation performance, when employees are motivated to work together and share knowledge. With this aim in mind, the rest of our study is organized as follows. Next, the literature review and hypotheses are presented. Following that, the research methods drawing from a sample of 175 manufacturing SMEs are described. Then, data analysis and results are examined and, finally, conclusions, limitations and future research guidelines are presented.

2. Theoretical Background and Hypotheses

2.1 Factors Affecting Social Web Knowledge Sharing

The TOE theory conceptualizes the context of adoption and implementation of technological innovations as consisting of three aspects: technological context, organizational context and environmental context (Tornatzky and Fleischer 1990). The technological context refers to the characteristics of the technological innovation, the organizational context describes characteristics of the organizations, and the environmental context implies characteristics of the environment in which the adopting organizations operate (Tornatzky and Fleischer 1990). This framework has been considered in the literature as one of the main theoretical frameworks to analyze factors which affect the adoption and use of different ITs (Bordonaba-Juste et al. 2012; Chan et al. 2012; San Martín et al. 2012, Soto-Acosta et al. 2014). Thus, drawing upon literature analyzing Internet technologies adoption/use and the TOE theory, this paper proposes several hypotheses to investigate factors that influence social web knowledge sharing and its effect on innovation performance in manufacturing SMEs.

Social web knowledge sharing is expected to be influenced by firms' technology, since IT plays a pivotal role to support KM processes. As a result, Information Systems (IS) integration has been found significant in studies using the TOE framework (e.g. Zhu et al. 2006; Zhu and Kraemer 2005). IS integration is conceptualized as front-end integration and back-end IT integration (Zhu and Kraemer 2005). IS integration may influence social web knowledge sharing, since it enables efficient communication and collaboration through different IS and electronic devices. Therefore, IS integration may be an important technological issue to explain the extent of knowledge sharing through social networking tools in organizations. In addition, the TOE framework has long discussed the importance of organizational factors in influencing Internet-based technologies adoption and use. Technology enablers are a necessary, but not a sufficient condition, for employees to collaborate and share knowledge (Soto-Acosta et al. 2010). That is, although it is essential to develop interaction networks that allow individuals not only to access the same information but also to come together and collaborate through the network, knowledge creation and acquisition rarely occurs if individuals do not interact. Thus, promoting a positive working environment may be crucial to motivate employees to work together and share knowledge (Valkokari et al. 2012). This is even more crucial when sharing tacit knowledge, which requires more interaction between employees (Fox 2000). The literature distinguishes between transaction-based HR practices, which concentrate on individual short-term exchange relationships, and commitment-based HR practices, which draw their attention to mutual long-term exchange relationships, suggesting that the latter may contribute to a positive working environment (Tsui et al. 1995). As a consequence, Collis and Smith (2006) found that commitment-based HR practices are positively related to knowledge exchange among workers. Based on this discussion, the following hypotheses are proposed:

Hypothesis 1: IS integration is positively related to social web knowledge sharing.

Hypothesis 2: Commitment-based HR practices are positively related to social web knowledge sharing.

Furthermore, the TOE framework considers that the environmental context influences the adoption and implementation of technological innovations. According to Thong (1999), competition is determined by the business environment in which a company operates. Early studies on technology diffusion found that competition increases firms' incentives to adopt new technologies so as to remain competitive. Competition intensity has been encountered to be a driver of Internet technologies

adoption (Zhu et al. 2006). However, there is also investigation (e.g. Chan et al. 2012; Zhu et al. 2006) showing that competition may deter firms from using Internet technologies and, thus, challenging the traditional wisdom about competition and technology use in large and small businesses. Chan et al. (2012) and Zhu et al. (2006) found a positive relationship between competition and Internet technologies adoption, but a negative relationship between competition and the extent of Internet technologies use. Thus, Internet technologies use is less tied to competition intensity than initially thought in both large and small businesses. Too much competitive pressure lead firms to change rapidly from one technology to another without sufficient time to infuse the technology into the company (Zhu et al. 2006). Thus, although competition encourage technology adoption, it is not necessarily good for technology use. According to the Porter's (1985) five forces competition comes mostly from horizontal competition: threat of substitute products; threat of existing rivals; and threat of new entrants. Thus, the following hypothesis is proposed:

Hypothesis 3: Horizontal competition is negatively related to social web knowledge sharing.

2.2 Social Web Knowledge Sharing and Innovation Performance: Direct and Mediated Associations

Knowledge has been recognized as the main driver of new products, services and processes (Lopez-Cabrales et al. 2009). However, the literature suggests that the ability to create new knowledge, which enables firms to innovate especially in dynamic environments, comes mostly from the collective ability of employees to share and combine knowledge (Nahapiet and Goshal 1998). In this sense, there are a number of studies that suggest that knowledge sharing is an antecedent of innovation. For instance, Capon et al. (1992) found that encouraging scientific discussions enhances the firm ability to innovate. Other studies link knowledge sharing and innovation to inter-functional coordination and the use of networks (Darrow 2005). Thus, since innovation largely depends on tacit knowledge, knowledge sharing is a major requisite for innovation (Nonaka 1994).

Collaborative technologies and virtual spaces, where participants can share knowledge and information in real time, have been found to be positively related to innovation in SMEs (Meroño-Cerdán et al. 2008). Similarly, social web technologies can be used to distribute and share individual experience and innovation throughout the organization and offer the chance of applying knowledge for the creation of new products and/or services or processes. These technologies facilitate the execution of the innovation process with users and partners from remote places. Thus, the benefits from social web knowledge sharing, which include efficient information and knowledge sharing as well as working with no distance limitations, are expected to be positively related to innovation.

Social exchange theory argues that employees balance their level of commitment with the company's level of commitment to them (Wayne et al. 1997). Based on this, Eisenberger (2001) suggested that employees contribute to firm success in response to the rewards or care they receive from the organization. Commitment-based HR practices may be considered as kind of group incentives (Park and Kim 2013; Peterson and Luthans 2006). However, recent research found that HR practices are not directly related to innovation unless they into consideration employees' knowledge (Lopez-Cabrales et al. 2009). Group-incentive improves employees' attitude toward organizational communication (Hanlon and Taylor 1991). Thus, commitment-based HR practices may affect innovation positively through social web knowledge sharing. In other words, commitment-based HR practices are expected to motivate employees to work together and share knowledge through social networks, such strong climate for cooperation and knowledge sharing is expected to contribute to innovation performance. Thus, the following hypotheses are suggested:

Hypothesis 4: Social web knowledge sharing is positively related to innovation performance.

Hypothesis 5: Social web knowledge sharing mediates the relationship between Commitment-based HR practices and innovation performance.

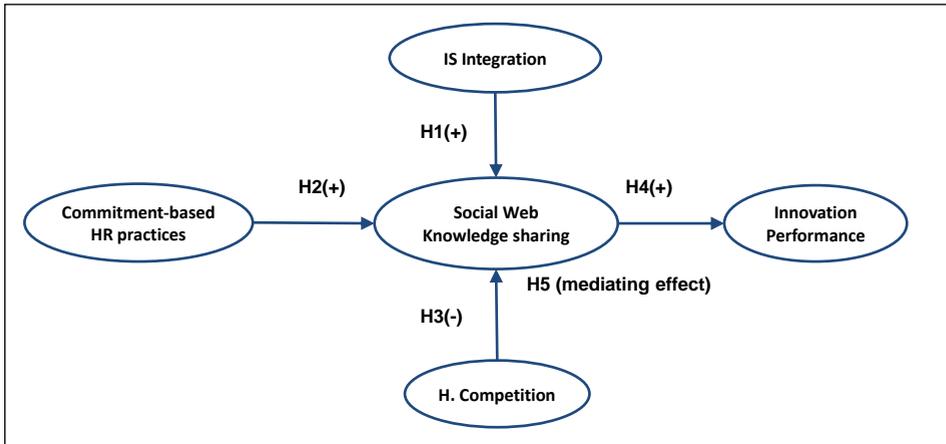


Figure 1. Research model

3. Methodology

3.1 Data Collection and Sample

The organisations selected for this study are SMEs from Spain. To ensure a minimum firm complexity in which ITs may be relevant, only firms with at least 15 employees were used. Data collection was conducted in two stages: a pilot study and a questionnaire were conducted. The population considered in this study was the set of all Spanish enterprises, with at least 15 employees, located in the southeast of the country whose primary business activity is manufacturing. A total of 1291 were identified and contacted for participation. The survey was administered to the CEO of the companies via personal interview and the unit of analysis for this study was the company. In total, 175 valid questionnaires were obtained, yielding a response rate of 13.55 percent. The dataset was examined for potential bias in terms of non-response by comparing the characteristics of early and late participants in the sample. These comparisons did not reveal significant differences in terms of general characteristic and model variables, suggesting that non-response did not cause any survey bias.

3.2 Measures

Measurement items were introduced on the basis of a comprehensive literature review. Scales were measured on a 5-point Likert scale with anchors from strongly disagree (1) to strongly agree (5). All the variables were operationalized as multi-item constructs. IS integration assessed the extent to which internal information systems and databases are connected, and the extent to which company IS are linked to business partners' databases and systems. Items for IS integration are based on Zhu et al. (2006). Commitment-based HR practices were operationalized based on Collins and Smith (2006), Delery and Doty (1996) and Youndt et al. (1996). Overall, 7 items were adapted to measure Commitment-based HR practices as a second-order single consisting of two dimensions: Training support and employees interest (CHRP1) and career plans and evaluation reporting (CHRP2). Social web knowledge sharing measured the extent of use of social web technologies for sharing collective knowledge between employees. Social web knowledge sharing scale is based on Soto-Acosta and Meroño-Cerdán (2006). Innovation performance was measured following the definition of the overall innovation performance of the firm by the OSLO manual (OECD, 2005) and items in previous studies (Lee and Choi 2003; López-Nicolás and Meroño-Cerdán 2011) and represents the implementation of a new or significantly improved product (good or service), or process, organizational practice, or marketing method. Horizontal Competition was measured as a formative construct following the three concepts of Porter's (1985) horizontal competition: threat of substitute products, threat of existing rivals, and threat of new entrants.

3.3. Instrument Validation

We used Structural Equation Modelling (SEM) for measurement validation and testing the structural model. SEM is particularly useful for testing complex models and when researchers need to incorporate latent variables. More specifically, we opted to use SEM based on Partial Least Squares (PLS) approach because the variance-based PLS method is preferable to the covariance-based when research models incorporate both reflective and formative measures (Chin et al.

2003). The measures from the dataset were refined by assessing their unidimensionality and reliability. First, an initial exploration of unidimensionality was made using principal component factor analyses. In each analysis, eigenvalues were greater than 1, lending preliminary support to a claim of unidimensionality in the constructs. Next, we verified the reliability and validity of the measurement model. Convergent validity of the scales is contingent on the fulfillment of three criteria (Fornell and Larcker 1981; Hair et al. 1998): (1) all indicator loadings should exceed 0.65 (2) Composite Reliabilities (CR) should exceed 0.8; and (3) the average variance extracted (AVE) for each construct should exceed 0.5. As shown in table 1, all the indicator loadings are above the recommended threshold, the CR values range from 0.85 to 0.89, and the AVE ranges from 0.62 to 0.81. All three conditions for convergent validity thus hold. As presented in table 2, discriminant validity holds for the model, since the AVE for each construct is greater than the shared variances between pairs of constructs (Fornell and Larcker, 1981). Furthermore, the Cronbach's alpha values of all indicators should exceed the recommended value of 0.6 (Nunnally 1967) and all our measurement items noted in table 1 exceed 0.6. Thus, overall measurement items have adequate item reliability.

Table 1: Descriptive statistics and discriminant validity

| Constructs | Av. | SD | Shared variance matrix | | | | | |
|----------------------------|------|------|------------------------|-------------|------|-------------|-------------|-------------|
| | | | (1) | (2) | (3) | (4) | (5) | (6) |
| 1. <i>CHRP1</i> | 3.72 | 0.83 | 0.62 | | | | | |
| 2. <i>CHRP2</i> | 3.43 | 0.94 | 0.09 | 0.74 | | | | |
| 3. <i>H. Competition</i> | 4.19 | 0.64 | 0.11 | 0.12 | na | | | |
| 4. <i>IS Integration</i> | 2.70 | 1.20 | 0.00 | 0.17 | 0.05 | 0.81 | | |
| 5. <i>Innovation Perf.</i> | 3.41 | 0.88 | 0.13 | 0.03 | 0.08 | 0.01 | 0.66 | |
| 6. <i>Social web KS</i> | 3.27 | 1.02 | 0.02 | 0.19 | 0.07 | 0.26 | 0.08 | 0.74 |

Av. = average score of all items included in the construct; SD = Standard Deviation;
na. Variance extracted is not applicable to formative constructs; Diagonal values in bold represent the AVE;
Shared Variances are given in the lower triangle of the matrix.

Table 2: Reliability and convergent validity

| Construct | Item loading ^a | t-statistic | Cronbach's Alpha | CR & AVE |
|--------------------------------|---------------------------|-------------|------------------|------------|
| <i>CHRP1</i> | | | | |
| HR1 | 0.78 | 18.86 | | |
| HR2 | 0.84 | 27.79 | | CR = 0.87 |
| HR3 | 0.81 | 27.27 | 0.80 | AVE = 0.62 |
| HR4 | 0.72 | 14.40 | | |
| <i>CHRP2</i> | | | | |
| HR5 | 0.79 | 15.95 | | CR = 0.89 |
| HR6 | 0.90 | 52.76 | 0.82 | AVE = 0.74 |
| HR7 | 0.88 | 37.40 | | |
| <i>Competition^b</i> | | | | |
| HC1 | 0.39 | 2.16 | na | na |
| HC2 | 0.61 | 3.07 | | |
| HC3 | 0.46 | 1.98 | | |
| <i>IS integration</i> | | | | |
| IS11 | 0.88 | 34.19 | 0.77 | CR = 0.89 |
| IS12 | 0.92 | 61.47 | | AVE = 0.81 |
| <i>Innovation performance</i> | | | | |
| IP1 | 0.83 | 22.92 | | CR = 0.88 |
| IP2 | 0.77 | 15.92 | 0.82 | AVE = 0.66 |
| IP3 | 0.82 | 19.68 | | |
| IP4 | 0.82 | 19.28 | | |
| <i>Social web K. Shar.</i> | | | | |
| SWKS1 | 0.78 | 15.09 | | CR = 0.89 |
| SWKS2 | 0.91 | 64.26 | 0.82 | AVE = 0.74 |
| SWKS3 | 0.88 | 44.94 | | |

^a $p < 0.01$; ^b formative construct ;CR: Composite reliability; AVE: Average variance extracted
na. Cronbach's Alpha, CR and AVE are not applicable to formative constructs

Most researchers agree that common method variance is a potentially serious bias threat in behavioural research, especially with single informant surveys. Three procedures were used to empirically determine whether or not common method bias threatened the interpretation of our results. First, the Harman's one-factor test was used by entering all the

indicators into a principal components factor analysis (Podsakoff and Organ, 1986). With all indicators entered, no single factor accounted for threshold of 50% variance, indicating no substantial common method bias. Second, a partial correlation method was used (Podsakoff, Organ 1986). The highest factor from the principal component factor analysis was added to the Partial Least Square (PLS) model as a control variable on all dependent variables. According to Podsakoff and Organ, this factor is assumed to “contain the best approximation of the common method variance if is a general factor on which all variables load” (Podsakoff and Organ 1986: 536). This factor did not produce a significant change in variance explained in any of the dependent variables, again suggesting no substantial common method bias. Third, we checked for bivariate correlations between constructs and did not find extremely high correlations ($r > 0.90$) and, thus, this test confirmed no evidence of common method bias as well (Bagozzi et al. 1991). In summary, these tests suggested that common method bias is not a serious threat in our study.

4. Results

Figure 2 displays the results of hypotheses H1 to H4, showing the path coefficients along with their significance levels. The results of the statistical model offer support for H1, H2, and H4, and fail to corroborate H3. With regard to hypothesis H5, a variable may be considered a mediator to the extent to which it carries the influence of a given independent variable to a given dependent variable. We conducted three tests to examine the mediating effect of organizational innovation: the Sobel test, the Aroian test, and the Goodman test. According to MacKinnon et al. (1995), the Sobel test and the Aroian test perform best with sample sizes greater than 50 or so. The three tests were all significant at the $p < 0.05$ level (Sobel test statistic: 2.42; Aroian test statistic: 2.40; Goodman test statistic: 2.45) and, thus, corroborating the mediating effect. Our finding supports a partial mediation effect of social web knowledge sharing between commitment-based HR practices and innovation performance since the effect of commitment-based HR practices on innovation performance shrinks upon the addition of social web knowledge sharing to the model. Thus, results offer partial support for hypothesis H5.

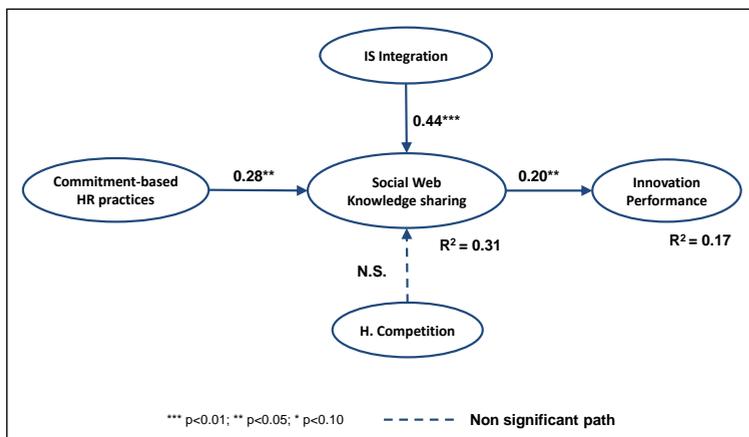


Figure 2. Results H1-H4

5. Discussion and Conclusions

This paper develops an integrative conceptual model, grounded in the TOE theory, to assess the effect of different factors on social web knowledge sharing and its effect on innovation performance in manufacturing SMEs. The empirical results have shown that factors have different effects on social web knowledge sharing. With regard to the technological context, results found that IS integration is positively associated with social web knowledge sharing. This first finding confirms existing research analyzing Internet technologies (e.g. Zhu et al. 2006, Zhu and Kraemer 2005), which found that technology integration is positively related to the extent of e-business use (Zhu et al 2006) and positively associated to e-business value (Zhu and Kraemer 2005).

Regarding the organizational context, results showed a positive relationship between commitment-based HR practices and social web knowledge sharing. This finding supports previous studies (Collins and Smith 2006) which, though not focusing on Internet technologies, found that commitment-based HR practices were significantly related to knowledge exchange among workers, while, in addition, Gardner (2012) found that performance pressure undermines knowledge sharing. Thus,

manufacturing SMEs should focus on commitment-based HR practices, rather than on transaction-based HR practices, in order to create a social climate which promotes social web knowledge sharing (Hernández-López et al. 2010). Results regarding factors from the environmental context suggest a non-significant relationship between horizontal competition and web knowledge sharing. This finding partially does not support recent research (Chan et al. 2012; Zhu et al. 2006), which found that competition may deter firms from using Internet technologies. Thus, although external competition has been found to positively affect Internet technologies adoption (Del Aguila and Padilla 2008) and negatively influence Internet technologies use (Zhu et al. 2006), horizontal competition does not seem to influence social web knowledge sharing in manufacturing SMEs. In addition, this finding demonstrates that social web knowledge sharing emerges from internal technological and organizational resources rather than from external pressure.

Furthermore, results suggest a positive relationship between social web knowledge sharing and innovation performance. These findings support previous research suggesting that knowledge sharing is an antecedent of innovation (e.g. Capon et al. 1992; Griffin and Hauster 1996) as well as studies suggesting that Internet technologies uses (including knowledge sharing) are related to innovation (Meroño-Cerdán et al. 2008). Therefore, although the literature suggests that innovation cannot be easily split into separate phases or stages and innovation do not neatly proceed in a linear fashion, the characteristics of social web knowledge sharing make it suitable to enhance efficient information and knowledge sharing, which, in turn, leads to higher innovation outcomes. In addition, results support the mediating effect of social web knowledge sharing in the relationship between commitment-based HR practices and innovation performance. This finding confirms previous research which found that HR practices are not directly related to innovation unless they take into consideration employees' knowledge (Lopez-Cabrales et al. 2009). Thus, commitment-based HR practices are expected to motivate employees to work together and share knowledge through social networks, such strong climate for cooperation and knowledge sharing is expected to contribute to innovation performance. Thus, commitment-based HR practices are expected to motivate employees to work together and share knowledge through social networks and such strong climate for cooperation and knowledge sharing is expected to contribute, by extension, to innovation performance.

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Combating Overweight and Obesity among School Children and Adolescents through Student Counselling in Saudi Arabia

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Abstract

Overweight and obesity are health problems that can affect many children and adolescents around the world. The literature has identified that the prevalence of overweight and obesity is high in the Kingdom of Saudi Arabia (Saudi Arabia) in children and adolescents attending schools in Saudi Arabia. Student counselling practices can be a cost effective way to help students to deal with overweight and obesity in Saudi schools. The aim of the study was to conduct an evidence-based review of the literature in order to suggest new approaches to applying student counselling services and programmes in order to directly combat overweight and obesity in schools in Saudi Arabia. The study used a non-empirical review of the literature on overweight and obesity and on student counselling in the United Kingdom and Saudi Arabia. The study argues that in theory student counsellors in schools in Saudi Arabia are ideally placed to help to directly address and reduce the existing high prevalence of overweight and obesity in youths and adolescents attending schools in Saudi Arabia. This could be done using a combination of dietary interventions and counselling methods. The research study concludes that student counselling in schools in Saudi Arabia could potentially be used to directly help to combat and reduce levels of overweight and obesity among school children and adolescents in the long term.

Keywords: Student counselling; overweight; obesity; children; psychotherapy; behavioural therapy; cognitive therapy; health; diet; schools; Saudi Arabia.

Introduction

The Global Burden of Disease (GBD) 2015 Study systematically estimated the prevalence of overweight and obesity among children (<20 years of age) and adults between 1980 and 2015 (Obesity Collaborators, 2017). It was estimated that in 2015 107.7 million children (prevalence of 5.0%, uncertainty level, 101.1 to 115.1) and 603.7 million adults (prevalence of 12.0%, uncertainty interval, 592.9 to 615.6) were obese worldwide (Obesity Collaborators, 2017). It was also noted that the prevalence of obesity among children and adults has doubled in 73 countries since 1980, it has shown a continuous increase in most other countries, and the rate of childhood obesity in many countries has been greater than the rate of increase in adult obesity (Obesity Collaborators, 2017).

Statistics released by the World Health Organization (WHO) (2010) showed the prevalence of obesity was 23% for males and 36% for females in the Kingdom of Saudi Arabia (Saudi Arabia). These represent highly significant prevalences of obesity in Saudi Arabia. As will be seen, other studies have shown that there has also been an alarming rise in the prevalence of overweight and obesity in children and adolescents in Saudi Arabia. Al-Enazy *et al.* (2014) note that obesity at any age will increase the risk of persistence of obesity at subsequent ages. Indeed, another survey noted that approximately one-third (26% male, 41% female) of obese Arabic-speaking pre-school children and half (42% male, 63% female) of obese school-age children were also obese at adulthood. In practice this would seem to indicate that unless overweight and obesity is tackled effectively at a young age, there is an increased likelihood that overweight and obese children and adolescents will continue this trend on into adulthood. This is highly problematic from a health perspective, as the WHO (2016) states that:

Childhood obesity is associated with a higher chance of obesity, premature death and disability in adulthood. But in addition to increased future risks, obese children experience breathing difficulties, increased risk of fractures, hypertension, early markers of cardiovascular disease, insulin resistance and psychological effects.

This article seeks to highlight the spiraling prevalence levels of overweight and obesity in children and adolescents in Saudi Arabia. It will show how the complex interaction of social determinants that affect overweight and obesity levels in children and adolescents in Saudi Arabia make tackling overweight and obesity highly difficult in practice. The article will also show how student counsellors in schools in Saudi Arabia could in theory be used to bring about a significant change in prevalence levels of overweight and obesity in Saudi schools. The first part of the article will provide an overview of school counseling practices, the second part will outline the prevalence of overweight and obesity around the world, the third part will provide an overview of overweight and obesity in Saudi Arabia, and the fourth part will show how overweight and obesity can be combated through student counseling in Saudi Arabia.

School Counselling Practices

The United Kingdom (UK) Department for Education (2015) states that although mental health issues are relatively common (e.g. up to 10% of 5 to 15 year old school pupils experience them), many children and young people do not always get the help that they need as quickly as they should. Consequently it is observed that issues such as depression, anxiety, low mood, conduct disorders, and eating disorders can significantly impact on the happiness and future life chances of such children and young people (Department for Education, 2015). The WHO (2014) defines mental health as a state of wellbeing in which every individual recognises his or her own potential, can cope with the normal stresses of life, can work productively and fruitfully, and is able to make a contribution to his or her own community.

Good mental and emotional wellbeing is viewed as an integral part of the personal development of children and young people, so when this development is inhibited in some way counseling can be used to address this inhibition (Department for Education, 2015). Counseling is defined to mean "...a mental health intervention that children or young people can voluntarily enter into if they want to explore, understand and overcome issues in their lives which may be causing them difficulty, distress and/or confusion" (Department for Education, 2015, p.16). The British Association for Counselling & Psychotherapy (BACP) note that in Great Britain nearly 80,000 children and young people are seriously depressed, and around three children in every class have a diagnosable mental health condition (BACP, 2015). School-based counseling is defined as:

...a professional activity, delivered by qualified practitioners in schools. Counsellors offer troubled and/or distressed children and young people an opportunity to explore and understand their difficulties within a relationship of agreed confidentiality (BACP, 2015, p.1).

It has been noted that counseling and psychotherapy involve professionals focusing on encouraging people to talk about their problems and implementing change through these discussions (Rutten and Hulme, 2013). In practice it is also noted that there a range of theoretical models of counseling, with the most well known models being psychodynamic, person-centered and cognitive-behavioural approaches (Rutten and Hulme, 2013). School-based counseling is now one of the most widely recognised forms of psychological therapy for children and young people in the UK, and there are between 70,000-90,000 cases seen in UK secondary schools every year (BACP, 2015). It is noted that counseling in schools has proven to be a highly effective method of support for tens of thousands of troubled children and young people who are experiencing emotional health difficulties (BACP, 2015).

For example, counseling is beneficial because it can: (1) reduce the psychological distress that children and young people experience owing to them having to face a range of difficulties such as bullying and bereavement; (2) support young people who are having relationship problems with family and friends; (3) help young people who are having difficulty managing their emotions such as anger or depression (Department for Education, 2015). School pupils have also reported improvements in their ability to concentrate, study and learn after undergoing counseling, as well as school pupils reporting an increased motivation for school and schoolwork (Department for Education, 2015). In practice school-based counseling can help children and young people to better cope with bullying, family-related matters, emotional problems, anxiety, depression, self-harm, suicide, mental health issues, and emotional and behavioural difficulties (Phillips and Smith, 2011). This is important because emotional and behavioural difficulties may lead to several negative outcomes such as substance abuse, unemployment, school exclusion, criminal activity, social withdrawal, bullying, fighting, compulsive lying, truancy, vandalism, cruelty to people or animals, and destruction to property (WHO, 1992).

The counsellor's role covers a range of areas such as: (1) listening in a non-judgemental and patient way; (2) helping an individual to make choices and changes; (3) viewing problems from the individual's point of view; (4) helping individuals view issues more clearly and from alternative viewpoints; and (5) helping to minimise confusion (BACP, 2004). Counselling skills may include being empathic, helping people to feel valued and understood, and listening to people in a non-judgmental

way (Welsh Government, 2008). These counseling skills may be used by people who work with children and young people in roles such as teachers, school nurses, youth workers and social workers (Welsh Government, 2008).

Although there is strong support to be found in the literature for the benefits of school-based counseling, there are others who have objected to this type of counseling. For example, a research study undertaken by Montgomery (2003) found that a small minority of teachers felt that counseling was not appropriate within an educational environment as they believed that pupils would use it as an excuse to get out of lessons and as a way of exploiting the system. A study undertaken by Polat and Jenkins (2004) also noted that some teachers saw school-based counseling as a way of avoiding lessons, and therefore suggested that it should be offered out of school hours. Kerry (2001) argued that the counseling of students in schools might in theory lead to tensions within the schools. Kerry (2001) explained that counselors are meant to act in a non-judgmental way which might be taken to mean that they condone the actions of students. However, teachers require to instill authority within the classroom setting and this often includes the use of sanctions, and so teachers might perceive counseling staff as undermining their authority (Kerry, 2001). Consequently, when evaluating the use of school-based counseling it is important to note the context in which it will be undertaken in order to aim to ensure that counseling will be beneficial for the students and not negatively affect the school environment in any way.

Overweight and Obesity

The UK National Health Service (NHS) notes that the term 'obese' describes a person who is very overweight with a lot of body fat (NHS Choices, 2017). In the UK it is said that obesity is a common problem estimated to affect around one in every four adults and around one in every five children aged 10 to 11 (NHS Choices, 2017). Obesity is generally caused by the consumption of excess calories (e.g. fatty and sugary foods), and the excess energy is stored by the body as fat (NHS Choices, 2017). Overweight and obesity can be measured through the use of the 'body mass index' (BMI). This is a weight-for-height index which is typically used to classify overweight and obesity. The BMI is measured by dividing a person's weight in kilograms by their height in meters (kg/m²) (WHO, 2015). An individual who has a BMI that is 25 or greater than 25 is overweight (WHO, 2015). An individual who has a BMI that is 30 or greater than 30 is obese (WHO, 2015).

In 2014 more than 1.9 billion people aged 18 or over were overweight, with 600 million of these people being obese (WHO, 2015). The WHO found that worldwide obesity has more than doubled since 1980, that 39% of adults aged 18 years and over were overweight (2014) and 13% were obese (WHO, 2015). It was also found that 41 million children under the age 5 were overweight or obese (2014), and that most of the world's population live in countries where overweight and obesity kills more people than underweight (WHO, 2015). Alqarni (2016) states that the determinants of obesity include: (1) family history of obesity; (2) diet; (3) marital status; (4) diagnoses of diabetes; (5) physical activity; (6) education; (7) age; (8) hypertension; (9) high glucose level; (10) eating habits; (11) sleeping interruptions; and (12) genetic factors. Alqarni (2016) states that the consequences of obesity include: (1) cardiovascular diseases; (2) cancers; (3) hypertension; (4) hypercholesterolemia; and (5) Ischemic heart disease. Obesity may also lead to other serious risks such as type 2 diabetes, coronary heart disease, some types of cancer (e.g. breast cancer, bowel cancer), and stroke (NHS Choices, 2017). It can also lead to other conditions such as depression and low self-esteem (NHS Choices, 2017).

Boodhna (2013) observes that there is considerable evidence that links childhood overweight and obesity with a number of long-term and immediate physiological and psychological health risks. Boodhna (2013) notes that childhood and adolescent obesity can continue on into adulthood, with more severe and well-established health risks such as middle-age mortality and a range of chronic diseases in adult life. Research studies have identified high levels of adolescent dissatisfaction with body size and shape, and an increased prevalence among girls (Gustafson-Larson and Terry, 1992; Hill, Draper, and Stack, 1994; Braet and Wythooge, 2000). Other negative psychological effects linked with overweight and obesity include low self esteem, low self image and depression (Sjoberg, 2005; Cornette, 2008).

Overweight and Obesity in Saudi Arabia

Overweight and obesity have been linked to more deaths around the world as compared to underweight (WHO, 2015). However a scoping review of the literature has identified that overweight and obesity in Saudi Arabia is reaching chronic levels, among children, adolescents, and adults. El-Hazmi and Warsy (1997) conducted a research study of 14,660 adult Saudi males and females in Saudi Arabia. The study found that 27.98% out of a sample of 1033 males present in the Western Region were overweight, and 16.55% of these were obese (El-Hazmi and Warsy, 1997). Out of a sample of 1358 females, 24.15% of those were found to be overweight, and 21.8% of these were found to be obese (El-Hazmi and Warsy, 1997).

Al-Nuaim (1996) undertook a research study that demonstrated that out of 9,061 children (6-18 years) attending public schools in Saudi Arabia, the prevalence of overweight (11.7%) and obesity (15.8%) were very high. Al-Nuaim (1996) noted that the findings of a high prevalence of childhood obesity called for an early health education programme on the appropriate choice of diets for growth, health and longevity. The research study carried out by El-Mouzan *et al.* (2010) used Saudi reference data to show that out of 19,317 children and adolescents studied, the prevalence of overweight (21.3%), obesity (9.3%), and severe obesity (2.0%) were all significantly high. El-Mouzan *et al.* (2010) concluded that it was essential that some type of action be taken in order to try to prevent a rise in the significant number of overweight and obese children and adolescents in Saudi Arabia.

Al-Hazzaa (2012) undertook a longitudinal study (10 years) of 2,906 school children (14-19 years) in secondary schools in Saudi Arabia. The study found that young children and adolescents had less active lifestyles, with less physical activity levels and with increasingly sedentary lifestyles owing to sedentary activities such as watching television or video (Al-Hazzaa, 2012). Al-Hazzaa (2012) believed that it was absolutely vital that the Saudi Government should make obesity a national priority in order to promote more healthy and active lifestyles for children and adolescents in Saudi schools. Al-Hazzaa *et al.* (2014) carried out a school-based multicentre cross-sectional study from 2009 to 2010 in three major cities in Saudi Arabia: Al-Khobar, Jeddah, and Riyadh.

The study sampled 1,401 male secondary school students and 1,507 female secondary school students (aged 14 to 19 years) (Al-Hazzaa *et al.*, 2014). The study found the prevalence of overweight in males was 19.5% and in females was 20.8%, whilst the prevalence of obesity in males was 24.1% and in females was 14% (Al-Hazzaa *et al.*, 2014). Al-Hazzaa (2014) stated:

It is concluded [sic] that the proportions of overweight, obesity, and abdominal obesity, observed among Saudi adolescents were remarkably high. Such high prevalence of overweight and obesity is a major public-health concern (p.634).

A study carried out by Al Saleh (2013) sampled 1,000 children of Saudi nationality aged 2-14 years who visited the National Guard Comprehensive Specialized Clinic between December 2014 and May 2015. The study found that the prevalence of overweight in boys was 9.5% and in girls was 14.4%, and the prevalence of obesity in boys was 13.5% and in girls was 18% (Al Saleh, 2013). The study also found that the prevalences of overweight and obesity were the highest in the 10-14 year group (Al Saleh, 2013). A cross-sectional study carried out by Al-Dossawry (2010) sought to determine the prevalence and demographic characteristics of overweight and obesity in children in the Eastern province of Saudi Arabia.

The study sampled a total of 7,056 children (aged 2-18 years) from schools and the outpatient department of a hospital (Al-Dossawry, 2010). The study found that the overall prevalence of overweight was 19.0% and of obesity was 23.3% (Al-Dossawry, 2010). It was also found that more than 50% of children aged between 4 and 18 years had weight above the 85th percentile. A cross-sectional study conducted by Al-Enazy *et al.* (2017) focused on primary school students in AlAbnaa schools based in Tabuk, Saudi Arabia. A total of 331 primary school students aged 6-13 years were sampled (Al-Enazy *et al.*, 2017). It was found that the prevalence of overweight among males was 7.3% and among females was 12.4%, whilst the prevalence of obesity among males was 17.4% and among females was 20.9% (Al-Enazy *et al.*, 2017). Al-Enazy *et al.* (2017, p.17) stated "The results of the study provide alarming evidence-based data on the considerable prevalence of childhood overweight and obesity among primary school children in Tabuk, Saudi Arabia."

Al-Saleh (2013) notes that over the past three decades Saudi Arabia has undergone an enormous lifestyle-related transformation, and that this has largely contributed to the increased prevalence of obesity in Saudi children. Al-Saleh (2013) believes that children in Saudi Arabia have become less active, as fewer children walk to school, and many of them spend a lot more time on sedentary activities (e.g. watching television, using computers, playing video games). Al-Saleh also notes that adolescent boys can drive cars which give them easy access to unhealthy diets (e.g. fast food restaurants). Al-Enazy *et al.* (2017) notes that there is evidence that the prevalence of overweight and obesity in Saudi Arabia is growing dramatically, perhaps owing to a tax of urbanization and increased sedentary life style.

Al-Dossawry *et al.* (2010) also believed that children in Saudi Arabia had become less active, that few or none walked to school, and more spent time in sedentary activities such as viewing television, or playing computer and video games. Al-Hazzaa *et al.* (2014) also agreed with these conclusions. They noted that the high prevalence rates of overweight and obesity must reflect major changes in lifestyle-related factors such as lack of physical activity, increased sedentary behaviours, unhealthy eating habits, or a combination of any of these factors (Al-Hazzaa *et al.*, 2014). Al-Hazzaa *et al.*, (2014) explain that the hot climate and high air pollution in major cities discourages outdoor activities and increases the prevalence of inactivity. There seemed to be an over-reliance on cars rather than walking for short-distance travel (e.g. trips

to and from schools) (Al-Hazaa *et al.*, 2014). Also, whereas previously communities in major Saudi cities were designed to support pedestrian travel in common daily activities (e.g. shopping, travelling to schools and mosques), newly modernized cities with large street networks totally discourages walking (Al-Hazaa *et al.*, 2014).

Combatting Overweight and Obesity through Student Counselling in Saudi Arabia

The WHO (2016) notes that:

Overweight and obesity, as well as their related noncommunicable diseases, are largely preventable. Supportive environments and communities are fundamental in shaping people's choices, by making the choice of healthier foods and regular physical activity the easiest choice (the choice that is the most accessible, available and affordable), and therefore preventing overweight and obesity.

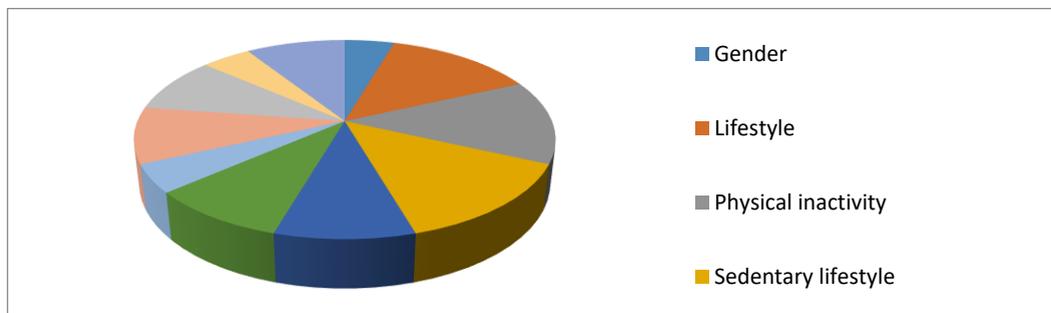
As has been noted previously, the high prevalence rates of overweight and obesity seen in Saudi adolescents reflect major changes in lifestyle related factors. Al-Hazaa *et al.* (2014) argue that in order to combat childhood overweight and obesity fundamental changes in public policies, the food and built environments, and health systems are required, in addition to primary prevention through promotion of a healthy diet and active lifestyle. Al-Hazaa *et al.* (2014) warn that if no drastic measures are taken to reduce the level of obesity among Saudi children and youths, it is likely that Saudi Arabia will experience a fair reduction in the absolute life-expectancy for the young generation. Alqarni (2016) states:

There is a dire need to raise the issue at the national level, and design efforts and strategies to combat obesity in the country, through involvement of all stakeholders, including policy makers, educators, healthcare providers, and individual citizens (p.5).

There would therefore seem to be a clear and pressing need to effectively address the alarmingly high levels of prevalence of overweight and obesity in children and adolescents in Saudi Arabia. Al-Enazy (2017) observes that childhood is the critical period for the initiation of obesity and associated morbidity, and therefore this is precisely the time at which measures to prevent overweight and obesity will be most effective. Kann *et al.* (2006) state that school health programmes can significantly affect the lives of children and adolescents as they can improve their health-related knowledge, attitudes, and skills required to learn healthy behaviours. Dhaifallah *et al.* (2017) remark that children spend an essential part of their lives at school and it is plausible to acknowledge that schools can exert significant influence in achieving positive students' health and social outcomes.

They argue that the role of educational institutions in creating sustainable improvements in the health status of the Saudi Arabian community is crucial (Dhaifallah *et al.*, 2017). The school setting is potentially a highly apt environment in which to develop and set up an effective overweight and obesity prevention programme (OOP Programme) which would aim to tackle the moderating social determinants of obesity (Figure 3).

Figure 3: Social Determinants of Childrens' Overweight and Obesity



The WHO (2017a) states that the promotion of healthy diets and physical activity in school is essential to fight the childhood obesity epidemic. It states that:

Because children and adolescents spend a significant time of their young lives in school, the school environment is an ideal setting to acquire knowledge and skills about healthy choices and to increase physical activity levels (WHO, 2017a, p.1).

The WHO (2017c) generally recommends that individuals increase consumption of fruit and vegetables (as well as legumes, whole grains and nuts), they limit energy intake from total fats and shift fat consumption away from saturated fats to unsaturated fats, they limit the intake of sugars, and they become physically active, i.e. at least 60 minutes of regular, moderate- to vigorous-intensity activity each day that is developmentally appropriate. In addition to this, it is observed that a multisectoral approach is essential for sustained progress, as it can mobilize the combined energy, resources and expertise of all stakeholders involved (WHO, 2017c).

Pelletier (2015) carried out a review of the literature relating to the school nurse teacher's role in preventing childhood obesity at school. It was found that the review of the literature demonstrated that school nurses could have a major impact in preventing obesity (Pelletier, 2015). Effective interventions implemented by school nurse teachers included: (1) Hohman, Price, Sonnevill, Rlfas-SHiman, Gortmaker, Gillman and Tavaras, 2012; (2) Johnston, Moreno, El-Mubasher, Gallagher, Tyler, and Woehler, 2013; (3) Morrison-Sandberg, Kubik, and Johnson, 2011; (4) NASN, 2014; (5) Steele, Wu, Cushing, and Jensen, 2013; and (6) Soderlund, Malmsten, Bentsen and Nilsen, 2010 (Pelletier, 2015).

AlBashtaway *et al.* (2014) argue that school nurses are particularly well placed to take action to promote healthy behaviours within the school, and to help students in schools gain appropriate access to services that can help them maintain or improve their health. School nurses can act as health assessors (i.e. obtaining students' health history and performing physical assessments) and health educators (i.e. educating students by promoting a healthy lifestyle and modifying unhealthy behaviours) (AlBashtaway *et al.*, 2014). Indeed, it is noted that school nurses have an ideal opportunity to enhance health-promoting activities in order to reduce the risks of benign overweight or obese (AlBashtaway *et al.*, 2014).

In practice, the United States (US) National Association of State Boards of Education (NASBE) states that schools can help students adopt and maintain healthy eating and physical behaviours in eight ways (Table 1) (Wechsler *et al.*, 2004).

Table 1: 10 Health Strategies for Schools (Wechsler *et al.*, 2004)

| | |
|----|----------------------------------------------------------------------------------------------------------------------------|
| 1 | Address physical activity and nutrition through a Co-ordinated School Health Programme (CSHP) approach. |
| 2 | Designate a school health co-ordinator and maintain an active school health council. |
| 3 | Assess the schools health policies and programmes and develop a plan for improvement. |
| 4 | Strengthen the school's nutrition and physical activity policies. |
| 5 | Implement a high-quality health promotion programme for school staff. |
| 6 | Implement a high-quality course of study in health education. |
| 7 | Implement a high-quality course of study in physical education. |
| 8 | Increase opportunities for students to engage in physical activity. |
| 9 | Implement a quality school meals programme. |
| 10 | Ensure that students have appealing, healthy choices in foods and beverages offered outside of the school meals programme. |

Al Saleh (2013) has argued that the establishment of pre-school, school, and adolescent health programmes, with an emphasis on increasing the number of hours of physical education and the consumption of healthy food, as well as incorporating health messages into the school curricula, will help to reduce obesity. The literature has identified that school nurses can help to implement healthy dietary intervention programmes in schools. However, the implementation of an effective and successful OOP Programme will require a great deal of time and effort from a range of stakeholders. This is especially the case in Saudi schools where there exist a broad range of social determinants of childrens' overweight and obesity which need to be specifically addressed.

Consequently, it is argued that the school's student counselor is in the ideal position to be able to implement and oversee the OOP Programme in schools in Saudi Arabia. The student counselor would act as the coordinator to coordinate with relevant stakeholders such as teachers, parents, physical education teachers, and school nurses. The student counselor is also ideally placed because they are able to provide ongoing and rounded support to students in schools. Al-Hazzaa *et al.* (2014, p.642) note that "Obesity is a complex disease with genetic and life-style factors, both playing important roles in determining a child's weight and body composition." If student counselors are able to speak and counsel students on a regular basis they will not only be able to provide regular positive support regarding adopting a healthy lifestyle and healthy eating habits, but they will be able to build up a more detailed and comprehensive picture of the social determinants that may be affecting a particular child.

The use of student counselors in schools to combat overweight and obesity among school children and adolescents in Saudi schools is therefore highly recommended, as this would form part of the overall guidance and counseling programmes for school children and adolescents in schools in Saudi Arabia. The complex nature and interaction of social determinants

of overweight and obesity demonstrate the need for a more holistic and comprehensive assessment of the health of children and adolescents in Saudi schools. Consequently, it is noted that within the specific context of Saudi schools, the implementation of an OOP Programme by school nurses alone might prove to be highly challenging. School nurses may understand the medical and health perspectives relating to overweight and obesity.

However, the broad range of social determinants of overweight and obesity in Saudi schools calls for a broader and more comprehensive understanding of social and behavioral factors affecting the prevalence of overweight and obesity in children and adolescents in Saudi schools. Consequently it is recommended that student counselors who have regular and ongoing contact with students in Saudi schools, would be ideally placed to lead a multi-stakeholder OOP Programme in Saudi schools. Overweight and obesity can often be traced back to a number of behavioural, social, and emotional factors such as depression, comfort eating, bullying, and loneliness. Therefore student counselors are in an ideal position to be able to monitor students and provide regular and ongoing support regarding the implementation of health and healthy eating programmes.

Conclusion

The spiraling prevalence levels of overweight and obesity in children and adolescents in Saudi Arabia is highly concerning. Moreover, the literature has identified a complex range of social determinants that affect prevalence levels of overweight and obesity in children and adolescents. These include factors such as increasingly sedentary lifestyles, poor dietary habits, over-abundance of fast foods, and poor quality physical activities. The complex interaction between these factors means that in practice children and adolescents in Saudi schools may find it difficult to effectively tackle overweight and obesity. Without concerted efforts at a national level it has been noted that Saudi Arabia will experience a fair reduction in the absolute life-expectancy for the young generation (Al-Hazzaa *et al.*, 2014).

The literature has identified that dietary and health interventions undertaken by school nurses have been successful in the past. Consequently, building on this literature this article has proposed that because of the broad range of health strategies that schools need to put in place in order to tackle overweight and obesity, student counselors are ideally placed to run and oversee special cost-effective programmes that are designed to effectively combat overweight and obesity in Saudi schools. Student counselors can work with other relevant stakeholders to oversee these programmes and to regularly communicate and counsel students on dietary and health issues, as well as a broad range of mental, psychological, and emotional issues within the student counseling framework. This is a strategy that would be likely to have a higher probability of successfully combating overweight and obesity among school children and adolescents in schools in Saudi Arabia.

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Literary Creation: Insights from Sanskrit Literary Critics

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Abstract

All aspects of literary creation, from creation to expression, have been recorded with perceptive insights and in minute detail by the renowned Sanskrit literary critics. The main topics dealt with by these critics are: the definition and classification of literary creation, viz., poetry, prose, drama etc; the figures of speech (*alamkaras*), the sentiments (*rasas*), literary merits and defects (*gunas* and *doshas*), style (*ritis*), and purpose (*prayojana*). They discuss important ingredients of literary creation such as creative talent (*pratibha*), erudition (*vyutpatti*) and practice (*abhyasa*), the problem of coincidence (*samvada*), inexhaustible resources, etc. A great literary creation is one that has great imageries, natural descriptions, exquisite miniatures, precious maxims and keen observations of men and matter, besides revealing deep understanding of human character. It exhibits precise phrasing, proportion and restraint, delicacy, sensitiveness, and above all, a profound suggestiveness. Sanskrit literary critics' views on the relative importance of word and sense in literary creation, their concept of poetry which has spontaneous expression of a deeply felt emotion as its essence, their appeal to make new literary creation, their views on what is essential for literary creation—all these are very valuable contributions towards literary creation. The main purpose of this paper is to help budding literary creators in any language irrespective of time and place by providing new insights.

Keywords: creative talent, suggestion, equipments of literary creation, aesthetics, Sanskrit poets

Introduction

Long literary heritage in Sanskrit language has resulted in creating a standard literary taste and due to this a very large number of works on literary criticism came to be composed in that Language. The entire field of Sanskrit literary criticism may be regarded as one continued attempt to understand and appreciate literary creation. All aspects of literary creation, from creation to expression, have been recorded with perceptive insights and in minute detail by the great Sanskrit literary critics.

The prime concern of Sanskrit literary criticism is a search for the "soul" of poetry. It recognizes the uniqueness of aesthetic experience and made it the primary purpose of literary creation. The main topic dealt with by the Sanskrit literary critics are the definition and classification of literary creation, viz., poetry, prose, drama etc; the figures of speech (*alamkaras*), the sentiments (*rasas*), literary merits (*gunas*) and defects (*doshas*), style (*ritis*), and purpose (*prayojana*).

There are different schools of thought in the field of literary criticism, each school approaching the subject from a different point of view. The main point of enquiry is what constitutes the essence of literary creation and how to achieve it? Anandavardhana (9th C.A.D), a renowned Sanskrit literary critic established suggestion (*dhvani*) as the soul of poetry. He came out with a new scheme, where all the different elements of literary creation are systematically and harmoniously assigned their own places. One of the main objectives of this paper is to understand and appreciate the literary creation as discussed by Sanskrit literary critics. They have shown deep interest in analysing the issue of literary creation and answered various questions related to creative talent, equipments that are essential, inexhaustible resources for literary creation, the problem of coincidence etc. This paper also focuses on the assessment of a poet made by a renowned Sanskrit literary critic that is highly beneficial to the budding literary creators in any language irrespective of time and place.

Creative Talent

According to Sanskrit literary critics, creative talent called *pratibha* is the foundation of literary creation. It is like a seed without which nothing can grow and one cannot create good poetry, prose, and drama without this basic talent. *Pratibha* literally means a flash across the mind—a revelation characterized by 'immediacy and freshness'. *Pratibha* is that faculty of the mind which is capable of original creation.¹ *Pratibha* helps a person to have visions, which are ever new, steeped in beauty, unforeseen events, incidents, concepts and ideas. It provides him/her with wonderful insights to correlate all complex things, arrange and rearrange. Literary creators do not merely see dreams and do not merely entertain ever-refreshing ideas; they translate them into reality. They experience intense feelings at first and then they recount their impressions when their mind is tranquil. Thus there are two aspects of literary creation process viz. having emotional moods and ideas at first (talent) and then communicating them through suitable words (expression). A conception, however original it might be, it is not appreciated until it is expressed in appropriate words or converted into literary creation. Philosophers hold that one possessed an intuition only to the extent one is able to express it, at least to oneself. A conception taking its rise in imagination of a poet will not have attained perfection at the very first flash.²

At best it will be like a precious stone dug out of the mine, with its native appearance hardly to be distinguished from that of a piece of stone. It needs polish before it can shine with full lustre; this it undergoes in the process of literary creation. That is to say, it is in being expressed or created that a creative talent defines itself.

Equipments

For literary creation one is expected to acquire all-round knowledge. Erudition (*vyutpatti*) is an aid to creative talent (*pratibha*) because erudition lends power of discretion. Erudition in the real sense is not the acquisition of wide knowledge; it indicates an in-depth study that leads to power of discretion, the ability to distinguish the suitable from the not so suitable material.³ Whether a person endowed with creative talent but devoid of erudition or training can produce good poetry is a topic that is discussed to a great length by many Sanskrit literary critics. People without formal education have been able to create good poetry. This is best explained through the statement of Kalidasa, the famous Sanskrit poet, who says that 'Creepers in the wilderness can surpass creepers in the garden'.⁴ There are instances of scholars well-versed in different branches of learning unable to compose a single line. Sanskrit critics mention two types of creative talent:

(1) inborn talent (*sahaja pratibha*),

(2) acquired talent (*aharya pratibha*).

Inborn talent operates due to impressions of the past births.⁵ Acquired talent requires hard work and rigorous training. Proficiency and practice are acquired through an effort; therefore, so far as, these are concerned a creative person is made. One cannot become creative until and unless one has got some intrinsic creative talent. At the same time this faculty alone is not enough for producing literary creations worth the name. Rajasekhara, a celebrated literary critic refers to eight equipments as necessary conditions for literary creation.⁶ They are:

Peace of mind

Intuition

Practice

Devotion

Participation in the assembly of the learned

All inclusive knowledge

Strong memory

Courage

According to Abhinavagupta the seven factors, essential equipments of the creation of good poetry are⁷:

Aesthetic susceptibility

Power of visualization

Intellectual background and close observation of facts of nature

Contemplative habit

Capacity to identify

Freedom from purposive attitude

Freedom from personal joys and sorrows.

Concentration, which means oneness of mind or single mindedness in which all other thoughts are withdrawn, is given due importance in literary creation as it facilitates the process. It is a method of withdrawing the mind from going to external objects. When the mind is fully concentrated, it can perceive new objects and new ideas can occur in it. Some Sanskrit critics advocate selection of proper time and place. Proper place according to them is the place free from human beings.⁸ Solitude or loneliness helps one to concentrate on the creative idea or its expression. Some writers suggest the early morning or fourth quarter of the night as congenial for any intellectual/creative activity. As it is fresh after night's rest, concentration becomes easier. There is no doubt about the fact that if the brain is to function at its best solitude is necessary. Anthony Storr says,

Learning, thinking, innovation and maintaining contact with one's inner world are all facilitated by solitude.⁹

It is to be noted that ancient Sanskrit critics while attaching the greatest importance to *pratibha* as the direct cause of literary creation did not lose sight of other factors that go to assist in literary creation. This corroborates an observation made by JC Shaipr:

While Imagination, working in these and other ways, is the poet's peculiar endowment, it is clear that for its beneficent operation there must be present an ample range, a large store of material, on which to work. This it cannot create for itself. From other regions it must be gathered from a wealth of mind in the poet himself, from large experience of life and intimate knowledge of nature, from the exercise of his heart, his judgment, his reflection, indeed of his whole being, on all he has seen and felt. In fact, a great poet must be a man made wise by large experience, much feeling and deep reflection, when many conditions are present, then and then only can his imagination work widely; benignly, and for all time.¹⁰

In favour of above citation, we may consider the example Banabhatta (7th C. A.D.) the celebrated author of *Kadambari* and *Harshacharita*, two great prose works of Sanskrit literature. Bana has given a new literary dimension to Sanskrit prose. Bana was born in an affluent family and had also received an all-round education in sacred and secular subjects. Bana's real greatness lies in the delineation of various characters invented by him, the emotions felt by them and their reaction to the circumstances in which they find themselves. The reader is completely mesmerized by the picture presented to him and he feels that he himself had been experiencing all that. How Bana could give such realistic pictures of his characters? The answer probably lies in the fact that Bana on completion of the routine studies, went on a long tour to different regions, where he met different scholars and had a first-hand experience of the customs and manners of the people. He travelled with a big company of people that included forty-four members, each one with a special attainment in the arts and crafts of the time. Some of them were poets, a few were philosophers and quite a few were artists. His team included magicians and musicians, gamblers and dice-players, actors and scribes, Buddhist monks and nuns, jewelers and physicians, ascetics of different denominations, and story tellers, potters, shampooers, personal attendants, gold smith, painter, sculptor, drummer, singers, flute-players, female dancer, mineralogist, and snake charmer. Thus Bana had managed to get around him persons proficient in various arts, and representatives of various strata of society. In short, his travels contributed as much as his learning to shape his innate creative talent.

The rich qualities of Bana's head and heart are evident in almost every page of his literary creations. His perfect literary style must have been the result of his wide learning, especially in the literary art. He shows an intimate knowledge of the ancient Indian historical and mythological tradition embodied in epics and old narratives.

His mastery of literary theory is complete, extending to the most difficult figures of speech like paradox, alliteration, hyperbole and poetic fancy. He was also well read in all the schools of Indian philosophy and in all the miscellaneous arts and sciences of the time. Grammar, prosody, erotic, Buddhism and Jainism-all this formed part of his equipment.¹¹

Inexhaustible Resources and the Problem of Coincidence

All sorts of ideas and expressions are capable of being constituents of poetry. Namisadhu, commentator on *Rudratas's Kavyalamkara* says,

There is no such word nor any meaning, no proverbial saying, no art that cannot become a part of poetry. Indeed poet's burden is great.¹²

This gives tremendous hopes to those who are involved in literary creation. Anandavardhana the author of *Dhvanyaloka* says, There is nothing on earth which cannot serve as grist to the mill of a person gifted with genius and everything can be transmuted into a thing of beauty.¹³

He says further:

Though primordial Nature has been responsible for the creation of numerous worlds containing varied objects over a cycle of several centuries, it is not possible to say even now that her ability for the creation of new objects has diminished even by an iota.¹⁴

Therefore, there is no scarcity of resources for new literary creation. It all depends on possessing and nurturing creative talent. The very same thing that may look dull and devoid of beauty becomes full of energy and charming due to creative touch. Anandavardhana has a beautiful simile to explain this creative process. He says, it is just like the "spring season transforming an ordinary creeper into beautiful object"¹⁵

There are bound to be plenty of coincidences amongst great minds. But all of them should not be regarded by the wise as being identical. Further, Anandavardhana points out how they are not identical. Coincidence in creative persons is just another name for the similarity of one with another. It is of three kinds:

- (1) like that of a reflected image of persons,
- (2) like that of a painted picture of persons,
- (3) like that of living persons resembling each other.

Some creative works are like reflections of other works. Some others are like painted pictures of other works; still others are just similar to other works. An intelligent man should avoid the first kind of coincidence, viz., that like a reflected image, because it has no separate life of its own or, in other words, not even a real body of its own.

The second kind of coincidence, viz. that like a painted portrait also deserves to be avoided, since its soul is nothing but a nonentity though it has a body of its own. But the third kind of coincidence need not be rejected by the creative person at all, since it possesses a lovely body of its own which is real (as well as a distinct soul). It is not at all possible to affirm that two living persons who bear a close resemblance of features are identical with each other.¹⁶ Thus Sanskrit critics open up fresh and beautiful vistas for literary creation by immensely widening the scope of resources.

Anandavardhana says that there would have been only two or three poets in the world; no good poetry could possibly be produced without in some manner or other using some phrases, some expressions and some beautiful ideas from the works of previous authors. In fact, there is nothing new under the sun. Creative talent enables one to express a single idea in a thousand agreeable ways. Creative persons need not be under the impression that only new ideas should be thought after and that there is no virtue in using what others have already tried. Though thousands and thousands of poets write poetry, the scope of poetic art would in no way be curtailed by that, and the resources of creative persons like the resources of Nature can never be exhausted. Anandavardhana says,

The Goddess of Speech, Sarasvati, herself will provide the desired ideas for a good poet whose mind is averse to borrowing the belongings of another.¹⁷

Literary Critic's Assessment of a Poet

As mentioned earlier, Anandavardhana is the foremost among Sanskrit literary critics. His theory on literary creation and standards of literary criticism set forth in his *Dhvanyaloka* became a model for almost all literary critics in India. He emphasized the technique of suggestion and the importance of emotional appeal in poetry.¹⁸ He has laid down the principles to be observed by the poets in order to ensure emotional appeal and evolved the principles of literary criticism enabling a critical reader to appreciate the artistic merits of poetry in general and suggestive poetry in particular.¹⁹ He assessed Kalidasa, the master poet in Sanskrit, in the course of his exposition of the theory of suggestion in literary creations. This

assessment reflects the mature judgment of a true critic and throws new light on Kalidasa's literary creations. This assessment is certainly of considerable significance for a correct and full appreciation of literary creations.

Anadavardhana has made a comparative study of Kalidasa's works with their original sources and has come to the conclusion that the poet effected necessary modifications in the original stories and wove into them incidents and situations of his own invention with a view to produce sentimental charm. A crude story selected by the poet from a well-known source may have the potential to be the basis of a literary composition brimming with emotional beauty, but it may not be suitable for ready adoption without any modifications. In such cases the poet should prune the story with a view to leaving out what is not congenial for the delineation of the sentiment. Further, he should expand the story by suitable incidents which are the creation of his own poetic imagination. Anadavardhana mentions Kalidasa's works as model in this respect.²⁰ As an example we may cite the transformation of original Sakuntala story found in the Mahabharata into a world famous drama viz, Abhijnanasakuntala by Kalidasa.

As one reads the original story, one hardly thinks it is capable of supplying the greatest of Sanskrit dramatists with the necessary plot for the most renowned of his works. Yet the fact is there, that into this dry unromantic skeleton Kalidasa has breathed the life of romanticism and animation.²¹

Among such modifications, attention may be drawn to a few that are most significant. The simple and outspoken forest-bred maiden quite typical of the epic age, does not appeal to the poet as a suitable heroine, for delineating love in all its elegance, and he artistically transforms her into a dignified and romantic damsel susceptible to the influence of love and capable of sweet reactions to its impact. Judging correctly that the hermitage will not afford the proper atmosphere for the love intrigues, he has shifted the scene to the grove which with its natural beauty affords effective excitements of love. By introducing two new characters Kalidasa creates an atmosphere of sincere friendship and sweet sympathy in which love grows freely and steadily. Goethe, the master poet of Europe, has summed up his criticism of Sakuntala in the following lines:

Would'st thou the young year's blossoms
and the fruits of its decline,
And all by which the soul is charmed,
Enraptured, feasted, fed,
Would'st thou the Earth and Heaven itself
in one sole name combine?
I name thee, O Sakuntala! and all at
once is said.²²

This is a very significant tribute paid by Goethe. He says expressly that Sakuntala contains the history of a development—the development of flower into fruit, of earth into heaven, of matter into spirit. In fact there are two unions in Sakuntala; and the motif of the play is the progress from the earlier union of the first Act, with its earthly unstable beauty and romance, to the higher union in the heavenly hermitage of eternal bliss described in the last Act. This drama was not meant for dealing with a particular passion, not for developing a particular character, but for translating the whole subject from one world to another—to elevate love from the sphere of physical beauty to the eternal heaven of moral beauty.²³

Kalidasa has introduced new devices to achieve novelty in his descriptions. Sanskrit poets describe natural phenomena like mountains, rivers and forests not only in their material form, but also crediting them with an appropriate sentient personality and attributing to them the behavior of dignified human beings.

The beautiful places, the rivers, lakes, plants, hills, valleys, forests etc, captivated Kalidasa's mind, they have become vivid in his poems and dramas as a result of very skilful delineation by him. To Kalidasa Nature appears to be alive. She is conscious. Nature is very sympathetic towards man. She respects the sentiments of man and moves with the perfect knowledge of the moods and fancies of the latter. This is evident in certain sketches, which the poet has presented.

Even a cursory look at the imagery in Kalidasa's works would prove that images appear themselves to him spontaneously as he is engaged in literary creation. In spite of a rush of images in close succession one after the other his sense of poetic

proportion usually curbs any possible enthusiasm to overburden his poetry with imagery. But there are a few instances which indicate that he has succumbed to the temptation of overdoing the imagery in his compositions. Anadavardhana appears to exempt Kalidasa from this defect as he says even though Kalidasa has occasionally overdone figures of speech in his poetry, he takes ample care to see that they occupy only a subordinate position and never spoil or eclipse the emotional beauty of his poetry.²⁴

In lyrics, epics, dramas and other similar literary creations various sentiments are bound to be described; but a poet intent on enhancing the emotional appeal of his work should adopt one of them as the principal sentiment, assigning to others only a subordinate position.²⁵ It requires great skill and training on the part of the poets to harmonise different sentiments in their works, giving predominance to one of them and keeping others as subsidiaries. The description of conflicting sentiments and moods without prejudice to the principal one, offers a challenge to the genius of a poet. Kalidasa, in the estimate of Anadavardhana takes up this challenge and comes out successful in all glory. Another aspect of Kalidasa's literary creations appreciated by Anadavardhana is worth noting here. According to him the descriptions of Kalidasa have a freshness and charm of their own due to the predominating element of suggestion. While ordinary poets express their ideas in a crude and blunt manner and use words in their conventional meaning, Kalidasa successfully employs the technique of suggestion in his composition. The greatness of a poet depends on the suggestive character of his works. To achieve greatness, a poet should become conscious of the importance of suggestion and master the necessary technique and successfully press it into service in his literary creations. A poet desiring recognition as a great poet should cultivate mastery over the sense and the word that possess the power of suggestion.²⁶

It is only by the effective employment of suggested sense and suggestive expressions that a poet attains the status of a great poet; on the contrary, if he confines himself, in the conventional way, to the expressed sense and to words conveying the ordinary meaning, he is bound to fail in realizing his ambition.²⁷ A great poet with the spirit of suggestion should harmonise the ideas and figures with suggestion of sentiment in a spontaneous manner by a single effort of his mind without any distraction.²⁸

Kalidasa brought refinement and elegance to Sanskrit poetry. His style is chaste and pure. The laxity noted in the language of the earlier narratives (*Puranas*) is conspicuously absent in his compositions. The extravagant and scholastic diction of the later Sanskrit authors that appears to be artificial is also absent in Kalidasa. He had a unique skill in presenting his matters in a very precise and effective manner. Brevity, in fact, is the hallmark of his poetry. While other poets in delineating emotions compose a large number of verses and create a pathetic effect by bringing the sentiment to the brink of boredom, Kalidasa by his artistic insight produces a more attractive and delightful picture by reproducing the content within a limited extent. He has avoided elaboration in all the spheres, which is likely to mar the spirit of narration or bring monotony to it. He has displayed an unprecedented wisdom in maintaining restraint in all kinds of sketches, which is definitely a product of his deep artistic feeling and keen observation of beauty. This perfect harmony between sound and sense of expression and idea has characterized his writing.²⁹ Again he has no equal in imagery and simile and in natural descriptions. His miniatures are exquisite and precious maxims and observations are strewn over his writings and he reveals his deep understanding of human character in his works. He is unparalleled in his choice of precise phrasing, proportion and restraint, delicacy, sensitiveness, and above all, a profound suggestiveness, -qualities that should pertain to all great literary creation, whatever its place or period of origin.³⁰

Kalidasa is famous for similes as the saying goes *upama kalidasasya*. Similes, metaphors and imagery are not mere embellishments; they are the doors through which the poet's vision reaches out on all sides, and reveals things in an undreamt of relatedness. They are not external additions but are of the very texture and making of the poet's expression. Kalidasa is exceptionally rich in similes. The main features of Kalidasa's similes are variety, grace, aptness and suggestiveness.

They are drawn from diverse fields, from flora and fauna, from the other aspects of nature, from human behavior, from old literature, myth and tradition, from the different arts, and from intellectual concepts and abstractions.

In the sphere of literature a word cannot exist without a significant sense and no sense can be imagined except through words. This togetherness of word and sense constitutes the texture of literary creation. But this also means that words are important in literature only in so far as they convey a sense, namely the intent of the poet, the emotional experience he intends to communicate. The poets often forget, particularly in the composition of longer poems and in narrative or descriptive passages, the relative importance of word and sense, and are tempted to play with words only.³¹ It is true that the play with words has an ornamental effect; figures of word like alliteration, rhyme, and the picturesque arrangement of

letters which is particular feature in Sanskrit poetry, owe their existence to word-play. It has a charm of its own; but it is not true or high poetry by common consent. As a matter of fact, renowned literary critics had pointed out that poetry which has charm only of words and patterned arrangement of words, and of the manufactured ornaments of rhetorical figures, is of a very low order.³² Kalidasa was aware of this important concept related to the proper function of word and sense, and of the nature of best poetry and it is a very important insight in creating good poetry.³³

In conclusion, it may be said that the Sanskrit literary critics' views on the relative importance of word and sense in literary creation, their concept of poetry which has spontaneous expression of a deeply felt emotion as its essence, their appeal to make something new, their views that natural talent, profound and genuine scholarship and the continued practice are the essential factors for literary creation-all these are very valuable contributions towards literary creations and it is of great significance to note that ns of success in literary creation.

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Rethinking the Dworkinian Forward-Looking Approach: is Affirmative Action Compatible with Fairness?

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RUNNING HEAD: Affirmative Action

Abstract

Whether Affirmative Action is a proper way to accomplish social justice in terms of fairness has been an ongoing debate in the United States. Late philosopher Ronald Dworkin was a vocal supporter of Category 4 Affirmative Action, in which preferential treatments for minorities is justified. Dworkin emphasized a forward-looking approach as a means to achieve social justice and overall fairness. In his view, it is not sufficient for black applicants to enjoy preferential treatment now just because in the past their ancestors suffered due to slavery. Rather, a successful argument for affirmative action programs must include a forward-looking justification. To be specific, this policy promises a better educational environment in terms of diversity and promotes a less racially conscious society for all citizens. Additionally, Dworkin often cited the study entitled *The Shape of the River* to substantiate his claim that special treatment for minorities could amend social injustice and produce fairer outcomes. This article attempts to evaluate this Dworkinian theory on both the principle and practical levels. It concluded that while a neutral or non-interventional policy is insufficient to achieve racial equality, interventions in terms of special treatments and soft quotas are not yet shown to be fair in practice.

Keywords: Action, Affirmative, Compatible, Fairness.

Introduction

Whether affirmative action is a proper way to accomplish social justice in terms of fairness has been an ongoing debate in the United States. Late philosopher Ronald Dworkin (1931-2013) was a vocal supporter of affirmative action and his contribution to this field is well-recognized. Atman (2001) highlighted the importance of the Dworkinian theory as follows: "Ronald Dworkin's writing on affirmative action has been among the best of the work that liberal jurisprudence has had to offer on matters of race in the years since the end of the Civil Rights Movement in the United States" (p. 241). Although there is no direct and explicit evidence that the Dworkinian theory had been adopted by the US public authorities, and Dworkin was critical of some opinions of the US Supreme Court justices, the widespread endorsement of affirmative action policies by the Supreme Court is compatible with Dworkin's narrative (Sabbagh, 2011).

For example, in June 2003 the US Supreme Court determined by a 5-4 split on the case of *Grutter vs. Bollinger* regarding the University of Michigan Law School that the consideration of race in university admissions is not contradicted by the Equal Protection Clause of the 14th Amendment to the Constitution. Justice Sandra Day O'Connor wrote in her opinion "today we endorse Justice Powell's view that student body diversity is a compelling state interest that can justify the use of race in university admissions" (Legal Information Institute, 2003, section A, para. 8). This is a view that is consistent with Dworkin's and, despite some disagreement in the reasoning, supported by Dworkin (1985, 2000). Specifically, the Supreme Court asserts that the Affirmative Action is acceptable if race is only one of many factors for consideration by university admissions to achieve diversity. This decision reflects two major trends of conceptualization of affirmative action in recent years. First, the race factor in admissions is justified by the rationale that it is only one of several factors. Second, the focus of affirmative action programs has been shifted from reparation to diversity. Actually, the US Supreme Court's decision could be viewed as an actualization of Dworkinian theory. Given the importance of the Dworkinian theory, it is imperative to evaluate the efficacy of this theory through a multi-disciplinary lens.

What Are Affirmative Action Programs?

Different people might conceptualize and implement affirmative action programs differently. The discussion would not be fruitful without a precise definition of an affirmative action program. According to Taylor (2009), an affirmative action program is a spectrum consisting of at least five categories:

Category 1. Formal equality of opportunity: In this approach, an affirmative action program aims to implement a neutral policy to ensure that opportunities are open to everyone regardless of race, gender, religion, or any demographic attribute. This is the original intent of affirmative action advocated by President Kennedy in 1961. Executive Order 10925 signed by President Kennedy states that “it is the plain and positive obligation of the United States Government to promote and ensure equal opportunity for all qualified persons, without regard to race, creed, color, or national origin, employed or seeking employment with the Federal Government and on government contracts” (Kennedy, 1961, para. 2).

Category 2. Aggressive formal equality of opportunity: Instead of neutrality and non-intervention, supporters of Category 2 would aggressively use sensitivity training, external monitoring, and outreach efforts to achieve a fair outcome in admission and employment. For example, the Office of Civil Engagement at the University of Chicago developed a plethora of programs for minority middle school and high school students to learn science, such as the Young Scientist Program and Space Explorers (University of Chicago, 2017).

Category 3. Compensating support: In this approach, special training programs, financial support, mentoring, or tutoring are provided to minorities to compensate for their disadvantages. Executive Order 11625 signed by President Nixon in 1971 is a good example. Under this law, the Federal Government is obligated to provide minorities with additional technical and management assistance to disadvantaged businesses, and to assist in demonstration projects. It is mandatory for the Secretary of Commerce to “establish a center for the development, collection, summarization, and dissemination of information that will be helpful to persons and organizations throughout the Nation in undertaking or promoting the establishment and successful operation of minority business enterprise” (Nixon, 1971, para. 5).

Category 4. Soft quotas: In this method, “bonus points” are added to the selection indices of minorities in admission and employment while no explicit quota is set. It is important to point out that very often explicit point-adding is forbidden. In 2003, the US Supreme Court struck down the proposed admission policy of the University of Michigan, where 20 points out of 100 were added to minority applicants. Nonetheless, sometimes the soft-quota approach is allowed in an implicit way. For example, in 1997 the University of Texas, Austin adopted a new admissions policy that gives more weight to the essay for non-top 10-percent applicants. This admission criterion is based on how well the candidate could overcome adversity, and also takes into account the special circumstance that might affect the candidate’s test score and GPA. As a result, the freshman enrollment of minorities surged significantly (Sabbagh, 2011). This policy was challenged by Fisher, a white applicant who was turned down by the university in 2008 (Fisher vs. University of Texas, No. 14-981). After a long legal process, the Supreme Court decided to side with UT, Austin (Liptak, 2016).

Category 5. Hard quotas: As the name implies, this approach aims to achieve a proportional representation of the population by gender and racial composition in the student body and the work force. Today, this category is unacceptable because in *Regents of University of California vs. Bakke* (1978), the Supreme Court ruled that a university’s use of hard quotas in the admission process is unconstitutional (Justia, 2016).

It is the authors’ belief that a neutral, non-inference policy as described in Category 1 is incapable of accomplishing social justice. Due to past and current discrimination, many minorities involuntarily inherit certain social stigmas and disadvantages which do not level the playing field. As Boddie (2016) stated, “The very rawness and extent of these [racial] injustices are too disturbing to bear: videos of police killing unarmed African-Americans; reports by the Department of Justice documenting law enforcement’s excessive force against, and harassment of African Americans in Baltimore and Ferguson; xenophobic targeting of American Muslims and Mexican Americans by a presidential candidate” (pp. 38-39). In addition, the White Nationalist rally in Charlottesville, Virginia in August 2017 indicates that racism is still alive in America. Therefore, Boddie rightly questioned whether colorblindness is an appropriate response to racial problems. The authors strongly support Categories 2 and 3 interventions as a remedy, and there is no sign that these types of interventions face any widespread rejection or resistance. As previously mentioned, Category 5 had been outlawed, and therefore the remaining controversy concerns Category 4.

The Dworkinian Theory

To fully understand and appreciate Dworkin’s theory, we need to track the development of his thoughts from Dworkin (1985) to Dworkin (2000). In the *Bakke* case, four Justices – Chief Justice Burger, and Justices Stewart, Rehnquist, and Stevens

– held that the case had an independent case on the grounds of the 1964 Civil Rights Act, a position that Dworkin (1985) criticized. Then, of the five Justices—Brennan, White, Marshall, Blackmun and Powell—who considered whether it was constitutional, Justice Powell held that Bakke had a case and others held otherwise. Eventually, Bakke won because a majority of the Justices believed he had a case on some grounds “even though they disagreed on which” (Dworkin, 1985, p. 305).

Part of Justice Powell’s opinion is that universities and colleges may still take race into account as one factor among others. However, regarding the other part, unfortunately the medical school at University of California, Davis, failed on this account by adopting a policy of hard quotas. This immediately became popular among admission offices of universities and colleges because it did not rule out all sorts of affirmative action programs, and it explicitly pointed to the Harvard undergraduate admissions program as a constitutional practice (Dworkin, 1985). Despite the favorable use of this opinion to license certain forms of affirmative action programs, Dworkin disagreed with Powell, claiming that that is not “sufficiently strong in principle to furnish the basis for a coherent and lasting constitutional law of affirmative action” (Dworkin, 1985, p. 314).

Let us take a closer look at Justice Powell’s opinion. He held that the racial classifications used in any affirmative action programs are “suspect” classifications which the US Supreme Court should subject to “strict scrutiny,” where it is necessary for the defendant to show that there is a compelling governmental interest in the program. Consequently, simply showing that an affirmative action program conceivably may serve the social goal of combating racial discrimination, which involves what is called a “benign racial classification,” is not sufficient to pass the strict scrutiny. All affirmative action programs, including that of the medical school of the University of California, Davis, are subject to strict scrutiny, and they would not pass the test because it is “subjective” and “standardless” to determine whether a classification carries “stigma” (Dworkin, 1985, p. 312). However, Dworkin criticized Powell as being inconsistent. Whereas Powell declared the program at the University of California as unconstitutional, he praised the Harvard program as constitutional, even though the latter involved exactly the same “subjective” and “standardless” judgments (Dworkin, 1985).

The idea of stigma leads us to a very important and fundamental insight into Dworkin’s view of affirmative action programs. Even though some people believe Bakke is being discriminated against and therefore should be protected by the Civil Rights Act or the Fourteenth Amendment’s guarantee of equal protection under the law, Dworkin did not believe the kind of discrimination that Bakke receives is commensurate or symmetrical with what the blacks and other minorities receive because only the latter involves social stigma. As Dworkin put it, Bakke was not “kept out because his race is the object of prejudice or contempt,” but only cases of blacks or other minorities are “distinguished by the special character of public insult” (Dworkin, 1985, p. 301). Years later, Dworkin (2000) repeated this fundamental insight and declared this kind of public insult does not “merely close off to [the victims] one or another opportunity open to others,” but it is so destructive to its victims’ lives such that it “injures them in almost all the prospects and hopes they might conceive” (Dworkin, 2000, p. 407). We may reasonably conclude that, to Dworkin, this fundamental asymmetry is the underlying reason why there are significant differences between malign discrimination (e.g., against blacks) and benign discrimination (e.g., against Bakke), or why it is still fair to have Category 4 affirmative action programs even when some whites lose their places at universities.

It should be noted that, if the Supreme Court had not outlawed hard quotas, Dworkin might have supported it more explicitly. While he acknowledges the conceptual differences between hard quotas and taking race as a factor into consideration, i.e., the difference between Categories 4 and 5, he believes the differences are merely administrative and symbolic. In effect, the admissions consideration and process under either one of the concepts will be very similar (Dworkin, 1985).

The above ideas are his early thoughts in Dworkin (1985). In Dworkin (2000), his position has shifted a bit, or we may say developed further. We saw that his fundamental insight about the asymmetry of discrimination remains the same. What is new in Dworkin (2000) is his attempt to incorporate the study of “The Shape of the River” (*River Study*), and his more explicit defense of the fairness of affirmative action programs regarding the Fourteenth Amendment’s guarantee of equal protection under the law. As Dworkin (2000) said, these are “two main strands of that debate” (p. 389), empirical and normative. We will defer the discussion of the empirical studies to the next section. Now, let us examine Dworkin’s discussion of the normative forward-looking argument.

It is important to note first that Dworkin, who has famously coined the metaphor that rights trump utilities (Dworkin 1984), is certainly not going to be content with a position that affirmative action is effective and therefore it does not matter whether affirmative action violates some people’s rights. That is why, after he favorably presented the *River Study*, which he sincerely believed to be powerful, empirical proof, he must take up the burden to argue further that it is fair nonetheless. As he said, “Still, if affirmative action is unfair, because it violates the rights of white and other candidates who are refused

places or of the few blacks who feel insulted, then it would be improper even if it does make the nation better off" (Dworkin, 2000, p. 401).

Dworkin's argument that affirmative action is fair consists of two steps. The first step is the basis of qualification. The bases of qualification in different competitions or selections are not the same. Some are a matter of "backward-looking achievement" or "natural property," while some are a matter of "forward-looking promise." He used beauty contests as an example and said that the winner is chosen on the basis of her natural property that she has. However, he goes on to say that we do not choose a doctor as a tribute to his or her skill or to reward the doctor for past cures. We choose the doctor whom we expect to do best for us in the future, and we take the doctor's innate talent or past achievements into account only because so far these are good indicators of the doctor's value to us in the future (Dworkin, 2000).

The second step is the mission of a university or college. Unlike private corporations, these higher education institutions have the public responsibilities of envisioning what the community should be like and how it could be benefited. For the students to be better equipped for commercial and professional life, and "better prepared to act as good citizens in a pluralistic democracy," the institutions usually assume that the students need to have "worked and played with classmates of different geographical background, economic class, religion, culture, and — above all, now—race" (Dworkin, 2000, p. 403). In more contemporary language, this is the idea of integration (e.g., Anderson 2010).

In the context of justifying affirmative action programs, the forward-looking argument focuses on how to build a better future for society, whereas the backward-looking argument focuses on punishing the contemporary whites to compensate for the past injustice done to the blacks. According to Dworkin, however, the backward-looking argument is inferior because it does not make much sense to think that one race "owes" another compensation (Dworkin 2000). The forward-looking argument is more convincing. When the higher education institutions have this kind of diversity vision for the community, it makes sense for them to select candidates with the best forward-looking qualifications, which suggests that affirmative action programs are fair.

However, there are two objections. First, there are many ways to achieve diversity and integration on campus. Why should we choose affirmative action for blacks? Second, what if a community has a law firm that does not welcome blacks? To better serve that community, shouldn't there be an affirmative action to select more whites? Dworkin's answer to both questions is basically the same: "The worst of the stereotypes, suspicions, fears, and hatreds that still poison America are coded by color, not by class or culture" (Dworkin 2000, p. 403). And that color is black. Again, this goes back to the aforementioned fundamental insight about the asymmetry of discrimination — only the blacks carry the social stigma and public insult which could easily "injure them in almost all the prospects and hopes they might conceive" (Dworkin, 2000, p. 407). Therefore, the correct path to achieve a diversified and integrated community is primarily to lift the curse on blacks.

What can we make of the similarities and differences between Dworkin (1985) and Dworkin (2000)? It is obvious that Dworkin (1985) did not explicitly present any forward-looking argument. Dworkin's concern there seems to be centered on helping the blacks, which could come with a compensatory tone. However, we do not think that Dworkin has changed his view. He is simply developing his view into a more sophisticated version. The focus on helping the blacks does not have to be compensatory, or backward-looking. It is still consistent with a forward-looking argument because the forward-looking argument still has to take into consideration what happened in the past in order to decide what actions are appropriate and fair to build a better future of diversity and integration. And we should not overlook that the fundamental insight of asymmetry of discrimination remains the same, playing important roles in the arguments.

Dworkin is inclined to support Category 4. In Dworkin's (1985, 1986, 2000) view, the equal protection under the law does not literally mean that the government cannot make special laws for disadvantaged groups. In contrast, equal protection is also applied to protecting minorities. The equal protection clause is violated when some group's loss results from its special vulnerability to prejudice, hostility, or stereotype. Each person receives only a guarantee of being treated with equal respect, but to achieve this goal sometimes requires special treatment. To be specific, this policy promises a better educational environment in terms of diversity and promotes a less racially stratified society for all citizens. Racism has harmed all members of society, and fostering opportunities for different races to study and work together is considered an effective remedy. Further, universities should not admit applicants for past achievements only. Instead, they have a responsibility to choose promising students who will contribute to the institution's educational, academic and social goals. If a race-based policy can offer a better education to everyone in a racially diverse setting, then this judgment is no more unfair to anyone than its judgment that it can do better with a geographically diverse class or with athletes as well as scholars.

Dworkin heavily cited “The Shape of the River” conducted by Bowen and Bok (1998) in attempting to substantiate his claim. It is important to note that in Glazer’s view (1999), the arguments provided by the *River Study* for the affirmative action program involve practical consequences rather than principles. While citing the study’s statistical analysis, it seems that Dworkin tried to shift the focus of the arguments from the practical level to the principle level. Nonetheless, it is important to point out that for Dworkin the legitimacy and fairness of a legal interpretation is established through “testing” its “fit” against the practical aspect of the law. Dworkin’s method is based on a factual-historical analysis, rather than an ontological argument (Anderson, 1999). It is difficult, if not impossible, to distinguish the principle level from the practical level. Specifically, for Dworkin the concept of fairness is built on claims of improving the general interests of the community resulting from implementing the affirmative action program. To examine whether affirmative action in principle is fair or not, it is essential to evaluate the statistical results and interpretation of the *River Study*. In the following analysis, we will approach this issue on both the principle and empirical levels.

The Diversity and The General Interest Arguments

Dworkin (1985) pointed out that the US “will continue to be pervaded by racial division as long as the most lucrative, satisfying, and important careers remain mainly the prerogative of members of the white race” (p. 294). As a remedy, Dworkin (2000) argued that by increasing the number of blacks on campus, affirmative action enriches the educational opportunities of other students, including whites. A diversified learning environment will better prepare all students to function in a pluralistic society. Even though the policy may seem to be unfair to certain applicants in the short run, it increases the general interests of society in the long run. However, his argument developed back in 1985 and 2000 seems outdated because today the American pluralistic society is not composed only of blacks and whites. For several decades, America has attracted a large number of immigrants from all over the world. Today, it is more likely that a white college graduate would work with people from a wide diversity of countries and ethnic groups. According to the Bureau of Labor Statistics (2013), in 2012 16.1% of the US labor force is foreign-born. Moreover, in the age of globalization, American companies have been increasing the level of interaction with people in other nations. If racial and cultural diversity is useful in building a richer learning environment where cultural awareness is taught, then increasing the number of immigrants and international students should also be considered an important goal because it could further broaden a student’s cultural horizons.

Dworkin (2000) insisted that officials could make decisions to “benefit some citizens and disadvantage others,” and the decisions “are in the general interest of the community as a whole” (p. 411). By the same token, universities and colleges “must choose goals to benefit a much wider community than their own faculty and students” (p. 402). However, even if the involuntary sacrifice of a small number of white and Asian applicants could improve the overall welfare of a wider community, it is still unfair to deprive some individuals of their rights to serve the “general interest” of a community. By examining university admission data, Espenshade and Radford (2009) found that Asian-Americans needed an average SAT score of 1550 to be accepted at a top private university, while whites needed an average score of 1410 and African Americans needed an average score of 1100. In the utilitarian view, it may be justified to make a small number of people unhappy in order to maximize the overall happiness of the majority. Nonetheless, even if one takes a utilitarian approach to justify this policy (an approach that Dworkin would not accept, as we explained in the previous section), the consequence may still not be what one expects. While the *River Study* made many counterfactual calculations of how blacks might be worse off if rejected by selective institutions, do we realize the potential consequence to society when qualified whites and Asians are rejected by top universities? Who could know how many Nobel Prize winners or innovators America has lost as a result of rejecting more qualified candidates? There is no evidence that the sacrifice of a small number of people will contribute to a better society.

In contrast, there is evidence that race-based admissions and hiring policies would harm the society as a whole. Take Malaysia as an example. Malaysia is a racially-diverse country, which is composed of Malays, Indians, Chinese people, and other minorities, including Orang Asli (Aborigines of Peninsular Malaysia), Eurasians, and the indigenous groups of Ibans, Kadazan, Dusuns, Bidayus, and Murut. Malays are the ruling majority while the Indian and Chinese people are significantly smaller minorities in terms of number. Indians and Chinese people outperform Malays in both academic and economic achievements. To empower the Malay group, the government implements its own version of “affirmative action,” setting different admissions and hiring standards for different ethnic groups. As a result, many talented people lost the opportunity to actualize their potential. In 1965, a group of Chinese separated themselves from Malaysia to form an independent country—Singapore. Singapore adopted a racially-neutral policy in virtually all aspects of their society. Within a decade, Singapore became one of the “four tigers” in Asia. In terms of area and population, Singapore is a much smaller

country than Malaysia. The size of Singapore is only 263 square miles and the population is about 4 million, whereas Malaysia covers 127,316 square miles of land and has a population of 23 million. Despite this disparity, Singapore's sophisticated manufacturing infrastructure and technological advancements have made her a regional giant. In 2016, the GDP of Singapore was almost US\$297 billion while the per capita GNP approached US\$52,600. In contrast, the 2016 GDP of Malaysia was almost US\$275 billion and the per capita GNP was only \$US11,028 (Trading Economics, 2017). Therefore, we do not need a counterfactual argument or a thought experiment; the comparison between Malaysia and Singapore illustrates that depriving a small number of people their rights and suppressing their talents makes a worse, not a better society. Candidly, Malaysia has been hurt by her own policy. Should a policy be considered fair if the so-called overall fairness in terms of total welfare of a wider community is not achieved?

The *River Study* made a counterfactual but unconvincing calculation of the damage to whites and Asians under the affirmative action program. Bowen and Bok (1998) pointed out that even if race-sensitive admission policies were abolished, the number of white and Asian applicants in top institutions would not increase significantly. Among thousands of white and Asian applicants who believed the policy would affect their admission, in reality only a few were denied due to the policy. However, no matter how minimal the impact of the policy is on whites and Asians, this argument does not successfully defend the "fairness" or explain the "unfairness" of the policy. In the 1980s, the US and Japan clashed over trade policies. The former embraced full access to the free market, while the latter endorsed protectionism. One argument used by the Japanese was: The lost market share that Americans complained about was insignificant. Even if all trade barriers were removed, it would not have reversed the trend of the trade imbalance. By the same token, no matter how minor the impact of trade barriers is on American companies, it does not change the fact that trade barriers are unfair. In short, using "insignificance" as an argument does not defend fairness.

Bowen and Bok (1998) asserted that without the race-sensitive admission policy some blacks could not have been admitted to selective universities such as Harvard. As a result, counterfactually speaking, those universities would not have been culturally diverse and those blacks would not have led successful lives. There are two problems with this argument. First, if those black applicants were rejected by selective universities, they could have been admitted to less selective universities. Don't less competitive universities also need a diversified environment? One of the goals of equality is to help those who are disadvantaged. When less prestigious colleges are in a disadvantageous position compared to top universities, doesn't it make sense for these schools to increase their diversity to enhance the learning environment and educational opportunities? In 1996, the State of California passed Proposition 209, which prohibited public institutions from using race-based admission policies. Although the black and Hispanic enrollment was reduced at the most prestigious University of California campuses (-42% at UC Berkeley; -37% at UCLA), other less competitive UC campuses increased their black and Hispanic enrollment (+22% at UC Irvine, +18% at UC Santa Cruz; +65% at UC Riverside) (Sander & Taylor, 2012). Basically, overall diversity of more UC campuses improved as a result of Proposition 209.

Second, Dworkin defined true equality in terms of the resources that each person commands, not in the success he or she achieves. Why is it important for minorities to attend top universities if career success, earning power, social status, etc. are not the objectives of equality? Do less prestigious colleges also provide sufficient learning resources for minorities to lead successful lives in a non-materialistic sense? Dworkin (2000) emphasized that without affirmative action, "scarcely any Black students will be admitted to the best law and medical schools. That would be a huge defeat for racial harmony and justice" (p. 410). Why is it necessary to achieve racial harmony and justice by providing resources in the best law and medical schools? The authors of this article didn't graduate from Yale or Harvard, but we never complain.

The Forward-Looking Argument

Dworkin emphasized that his approach concerning affirmative action is forward-looking; the admission policy should not solely focus on the past achievements of candidates. In Dworkin's view, we have to take the potential and the future outlook of the candidates into consideration. This argument seems confusing. We forecast the future based on past data. It is common to predict an individual's future based on his/her past performance. As a matter of fact, although selective universities take many factors into consideration during the admissions process, the single-most important one is the likelihood of success in the school's academic program. It is generally agreed that SAT scores and high school grades are good predictors of college performance. But SAT scores and high school grades over-predict the performance of blacks in college (Sandalow & Bowen, 2003). In other words, past achievements in terms of test scores suggests that blacks with lower scores are not promising students. It is not clear what other specific criteria Dworkin employed to justify his forward-looking admission approach.

Perhaps contribution to the community is one of the forward-looking criteria. Nonetheless, it is unclear how the admissions board could judge whether an applicant would be a community leader after graduation. Although the *River Study* mentioned that blacks who graduated from selective universities tend to take leadership roles or participate in community activities, it is not clear whether the active community involvement is concentrated in organizations whose activities primarily affect other relatively privileged blacks or if they also participated in community activities which can help disadvantaged blacks (Sandalow & Bowen, 2003). More importantly, even though black professionals provide leadership in the community, and even in the political arena, it does not guarantee that the overall well-being of disadvantaged blacks could be promoted. Sowell (1999) pointed out that Asian-Americans have no leader of their own like Jesse Jackson, who speaks for blacks, but they seem to do better than those who have political leaders.

Evaluation of Empirical Merits of the *River Study*

Next, we will examine the validity of Dworkin's arguments and the *River Study* on the empirical level. According to Epstein (1999), the *River Study* omitted some highly selective universities such as Harvard and the University of Chicago, as well as most major state universities, including those in the California and Texas educational systems. Similarly, Trow (1999) also questioned the generalizability of the *River Study* by arguing that Bowen and Bok highlighted only a small number of successful black graduates, but failed to prove that these benefits would not be undone by larger harms for higher education and society as a whole. Sowell (1999) also criticized that the sample used in the *River Study* is not representative. For example, at Berkeley, the graduation rate of blacks is about 30 percent, but Berkeley is not included in the *River Study*. Further, although Bowen and Bok asserted that one of the important measures of success in college is the graduation rate and the high graduation rate among blacks means that racial preference does not lead to the admission of unqualified students, we should be cautious because they did not partition the dataset into race-neutrally admitted blacks and specially admitted ones. Instead, their discussion of the graduation rate included all black students.

In addition, although the *River Study* seems to be supported by a sea of statistical figures, the meaning of these numbers is subject to the analysis and interpretation of the researchers. In other words, one may call a glass filled with 50 percent water "half-full" or "half-empty." It is important to note that a large portion of data are soft opinions regarding perceived experience and satisfaction, but Bowen and Bok treated them as hard data. While enhancing diversity plays a central role of their support for preferential admission, Bowen and Bok didn't cite survey responses to support this assertion. Therefore, Orleans (1999) questioned its validity noting, "The book seems less an objective report of an empirical inquiry than an advocate's well-researched brief for preferential admission" (p. 187).

The *River Study* pointed out that black students earn grades that typically place them at the twenty-third percentile of their class. Neither Dworkin nor Bowen/Bok addressed the problem of lower performance. Instead they gave optimistic generalizations and praised their achievements as impressive. Based on different empirical data, Sander (2005) found the otherwise. Sander argued that although during the past 30 years American law schools has been implementing race-based affirmative action with the noble intention to help African-American law students, this policy actually is detrimental to the group. Sander found that on the average black law students admitted through preferences have low grades. It is not because of any racial characteristic, but because the preferences themselves put them at an enormous academic disadvantage. The median black student starting law school in 1991 received first-year grades equivalent to a white student at the 7th or 8th percentile. Further, this poorer performance substantially hinders black students from graduation and certification. Only 45 percent of black law students in the 1991 group completed law school and passed the bar on their first attempt. Sander counterfactually argued that without preferential admissions, this rate would have risen to 74 percent. A few years later in 2012, Sander and Taylor followed up this study with additional data. They found that at the UCLA Law School only 50 percent of black students and 70 percent of Hispanic students were able to pass the bar exam, compared with 90 percent of white students. However, the pass rate of black students who attended other law schools is between 75 percent and 80 percent while the pass rate of Hispanic students ranges from 80 to 85 percent. Sander and Taylor concluded that the race-based admission policy at the UCLA Law School unintentionally created a "mismatch" problem: black and Hispanic students were placed into a competitive environment that they were under-prepared for, and consequently the affirmative action program harmed the students that it is intended to help.

Sander and Taylor (2012) went beyond law school data by comparing overall UC data before and after Proposition 209. Proposition 209 encountered very strong resistance because people were afraid going forward the enrollment of blacks and Hispanics would drop substantially. Truly, after Proposition 209 there was a 50-percent reduction in black freshman enrollment and a 25-percent drop for Hispanics. Nevertheless, the total number of black and Hispanic students earning bachelor's degrees was the same for the five classes after Proposition 209 as for the five classes before the proposition.

Before Proposition 209, the black and Hispanic graduation rate was 63 percent but in the post-Proposition 209 era, it increased slightly to 69 percent. Sander and Taylor argued that when more qualified black and Hispanic students were admitted into the UC system, it alleviated the mismatch problem, resulting in a higher graduation rate.

However, Kidder and Onwuachi-Willig (2014) argued against the preceding assertion. They bluntly pointed out that Sander and Taylor's calculation was flawed because they reported the average graduation rate of adjacent years. When each year was examined individually, there was no substantive upward trajectory. However, even though the gain of the minority graduation rate was, as Kidder and Onwuachi-Willig (2014) said, "... less impressive, if not disappointing..." (p. 912), it still cannot negate Sander and Taylor's notion. Before the implementation of Proposition 209, many critics predicted that eventually blacks and Hispanics would disappear from the UCLA campus (Sander & Taylor, 2012). Bowen and Bok (1998) were among those critics. They worried that if racial preference was banned in college admission, prestigious schools would become all-white campuses; racial tensions would get worse when top jobs in government and business were dominated by whites. However, a flat trend of black and Hispanic graduation rates before and after Proposition 209 indicates that the opportunities of black and Hispanics were not affected by color-blind admission policies.

Conclusion

Although Dworkin admirably attempted to give an argument for fairness that is backed by an empirical study, the authors found that Dworkin's theory does not have good empirical support and the normative argument is undermined by its shaky implicit empirical presumption. This casts more doubt on the fairness of Category 4 affirmative action. Specifically, the sample used in *River Study* is unrepresentative, and the results are open to interpretation. If legitimacy and fairness of a policy is a matter of the fit between the theory and the practical consequence, would changing the racial composition within the country, including the increasing number of immigrants and changing a country's role in the international community such as globalization, affect the current meaning of diversity? Moreover, although diversity seems to be a reasonable goal, Dworkin's persistence in requiring blacks to be admitted to elite universities as essential for justice is probably outdated now in this more diversified US society, because it is no longer easy to identify which racial communities are seen by others as public insult. Perhaps there exist now different kinds of discrimination from one group to another. Finally, from a utilitarian point of view, the question of fairness remains unanswered because the lesson of Singapore and Malaysia shows that the general interest of society is not warranted by a policy of giving special treatments to certain groups at the expense of other groups.

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Elective Course for Medical Students: Topicality, Development, Implementation, Benefits

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Abstract

A growing trend in Latvia's healthcare is patients' choice to use phytotherapy alongside pharmaceutical drugs both as a preventive measure and means of therapy for various diseases. A number of medical students of the Faculty of Medicine at Rīga Stradiņš University (hereinafter – RSU) plan to become general practitioners in the future. These specialists should have an overall understanding of phytotherapy, skills to evaluate its effects on the body and possible side effects in order to professionally advise and give suggestions to their patients. Therefore an innovative elective course Medicinal Plants and Their Use was introduced in the curriculum of the Medicine programme in 2011. In order to be chosen by the students the course must correspond to the highest quality standards. Important aspects of quality are the evaluation of implementation and perfection. The university by involving students in the content creation of elective courses promotes the belonging of students, extends the range of courses, develops maximum practical benefit of students and is able to ensure high quality of education. The article summarizes the experience in developing the elective course, analyses its implementation, evaluation and perfection as well as benefits for medical students.

Keywords: Elective course; medical students' benefits; analysis of the experience; implementation; evaluation; perfection

Introduction

Rīga Stradiņš University (hereinafter – RSU) is a modern, prestigious university acknowledged in Europe and the world in the field of healthcare and social sciences, with the human being at its centre of attention. Our mission is to train highly qualified experts in the field of healthcare and social sciences, so that they can serve the society of Latvia, the European Union, as well as the world. So that the knowledge, skills and attitude they have acquired during their studies would comply with the EU standards and humane traditions, and it would form a firm basis for lifelong learning (RSU, 2016). RSU Academic Regulations stipulate that in addition to the compulsory study programme, a student shall choose different elective study courses during the six-year study programme. Thus each semester a list of courses is provided and students choose one elective course. To ensure that the study course complies with the highest quality standards and is interesting for the students, five consequent stages are taken into consideration, namely, appraisal of offers, development, implementation, evaluation and perfection. One such elective course Medicinal Plants and Their Use was developed in 2011 by the Department of Biology and Microbiology. Students take the course for one semester acquiring 3 credit points (Number of ECTS points 3), the study language of the course is Latvian or English. In the period of six years a total of 553 students have chosen this course as an elective course. Four lectures and eight practical classes are planned for the acquisition of the contents of the course. The main emphasis in the acquisition of the content is put on research skills. During the implementation of the course frequent evaluation and perfection have taken place. Evaluation and perfection are important aspects in ensuring quality as they entail the analysis of the foregoing stages of development and implementation.

The aim of the research: establishment of a long-term development model of elective study courses.

Context of the Study Course Development and Implementation

Students of the Faculty of Medicine at RSU planning to become general practitioners in the future will have to develop an understanding within their competence of the use of medicinal plants both as a means of therapy and preventive treatment. Upon review of RSU study programmes it was concluded that none of the existing study courses offer knowledge in this matter of subject and therefore difficulties in the practical work of aspiring medical specialists due to an inability to adequately assess the potential benefits and risks of phytotherapy could arise. Thus the development of the innovative elective study course Medicinal Plants and Their Use was begun. It posed a significant challenge for lecturers because the elective course must be relevant in the society, qualitative, interesting and necessary for the medical student in order to be chosen amongst others (Bower, 2006).

University's researchers on pedagogy stress that it is the task of lecturers to offer up-to-date study contents, interesting possibilities for studying and modern study environment, one in which anyone involved could be able to find important study contents and the most appropriate way of studying for oneself as well as a study environment susceptible to change where participants of the study process actively engage, analyse, research and improve their studying, thus perfecting their competence (Walvoord & Banta, 2010). Consequently the subsequent stages were taken into consideration when developing and implementing the elective course Medicinal Plants and Their Use:

Development of the offer;

Implementation;

Evaluation;

Perfection (Peterson, Wittstrom, & Smith, 2011).

Initially the aim and the results of the study course were defined when developing the study course. To formulate the results of studies the focus was set on specific knowledge and skills in phytotherapy that are necessary for young specialists such as abilities to analyse the patient's situation, to argue, logically express and justify one's opinion in regard to the therapeutic effects of medicinal plants and the choice of medicinal plants in accordance with the overall goal, to foresee the potential side effects, to recognize medicinal plants, to explain the requirements for collecting, drying and storing medicinal plants, to justify the use of medicinal plants in the treatment of particular diseases, to explain their effects on the body, to recommend calming and vitamin teas for daily use, to demonstrate biogenic substances in plants, to prepare tinctures, pastes, ointments, creams, decoctions, to use databases of Drug Register and Nutritional Supplements, to discuss the use of herbs in therapy, preventive treatment and others. Alongside knowledge about chemical therapy, students would acquire knowledge in phytotherapy that complies with the aims set out by the World Health Organisation (WHO, 2013).

The following step was to plan resources necessary for the implementation of the aims and results of studies. This entailed both the recruitment of skilful lecturers and provision of an appropriate study environment, for example, cooperation with lecturers of the Department of Pharmacology as well as collection of medicinal herbs and purchase of the necessary technical equipment for the implementation of lectures and practical classes. While developing the study course, several experienced phytotherapists were interviewed and their suggestions were taken into account (A. Teresko & V. Enina, personal communication, July 6, 2011.). When the study course was finalized both theoretically and practically, it was offered as an elective study course for students. In the second semester of the academic year 2011/2012 55 students chose the course and the number increased by each semester (2012/2013 N=97; 2013/2014 N=112; 2014/2015 N=138; 2015/2016 N=151). These data are consistent with trends in other medical institutions (Allen Greiner, Murray, & Kallail, 2007). In order to perfect the study course it was frequently evaluated which is one of the cornerstones of long-term development of a study course (Peterson, Wittstrom, & Smith, 2011). Lecturers, supporting staff and students participated in the evaluation. Evaluation and perfection are key aspects to ensure quality as they include the analysis of the preceding stages of development and implementation. The evaluation is based on the analysis of two basic components, namely, the evaluation of the process and the result, process being the way leading up to the result. The evaluation never serves only as a purpose of establishing facts. Its most important task is that of mobilization that propels perfection and innovation (Peterson, Wittstrom, & Smith, 2011).

Outcomes of Course Evaluation

The organization and course of the research. The pedagogic research conducted in the framework of the study course Medicinal Plants and Their Use was carried out by the Department of Biology and Microbiology from 2012 to 2016. Five lecturers of the study course, three supporting staff employees and 304 students were involved in this research. Qualitative and quantitative methods were used for acquiring data: focus group discussion of lecturers, as well as supporting staff and student surveys. Methods of data processing and analysis were transcript coding of focus group discussions (NVivo 11) and student surveys analysis (SPSS 22).

The aim of the discussions of the focus group was to determine whether the contents of the course conform to the interests and needs of the students and if the methods, resources and time planned for the acquisition of the content are appropriate. The obtained data were compared with the data of student surveys. There were a total of six focus group discussions organized once per semester for the lecturers and supporting staff after the conclusion of the study course. When the data were obtained discussions of the focus group were transcribed and four main evaluation categories of contents were obtained:

Volume of contents and their compliance with the aim;

Time of implementation of the study course in the course of a semester;

Sufficiency of resources;

Benefits for medical students.

Surveys were conducted to acquire students' opinions. During the period from 2012 to 2016 surveying was conducted at the end of each semester after the conclusion of the study course comprising a total of 10 surveys. 171 international students who acquired the course in English and 133 students who studied in Latvian were surveyed. The questions included in the survey corresponded to the categories obtained in the discussions of the focus group. Upon analysis and by comparing the results of student surveys and discussions of the focus group, categories of evaluation of contents of the elective study course were established.

Table 1. Categories of evaluation of contents of the elective study course

| Category | Evidence obtained in the student survey |
|------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Volume of contents and their compliance with the aim | Student satisfaction with content: 67% fully satisfied, 33% partially satisfied. Student comments: „theory could be learnt during practical classes and not lectures” „put more emphasis on the more important plants, there are so many it is difficult to remember all of them”. |
| Time of implementation of the study course in the course of a semester | 89% fully satisfied, 11% partially satisfied. Student comments: „there could be less practical classes or the classes could be longer because we had to stay longer after the class to finish our work”. |
| Sufficiency of resources | 100% fully satisfied. Student comments: “it was nice when we had the necessary appliances and substances in our work place”. |
| Benefits for medical students (detailed analysis see figure 5.) | Student comments: “I have learnt titration”. “I will be a better doctor if I know the basics of phytotherapy”. “It can be beneficial when travelling in nature/outdoors and there isn't pharmacy nearby”. |

According to the replies received from students and lecturers, it was concluded that the content covered by some classes was too extensive and students suggest putting an emphasis on acquiring practical skills. For example, the content of the lecture about types of medicines could be covered during the practical class by preparing them by themselves. After the first focus group discussion of the lecturers it was decided to create a new practical class in which the existence of vitamin C in medicinal plants and herbs could be proved. Students would use titration that they have learnt in Chemistry in high school and in Medical Chemistry. As a novelty in this study course a hypothesis and a problem statement mentioned in

the situation description would be put forward that certain plant leaves contain more vitamin C than berries, for example, black currants (European pharmacopeia, 2014). In order to manage this practical class, the lecturers attended a practical seminar with the lecturers of the Department of Human Physiology and Biochemistry. In the next semester this practical assignment was implemented and the high appraisal of this class confirms the conformity of the problem statement with students' interest to carry out practical work in order to prove or disprove the hypothesis.

When evaluating the quality of the study course content it was important for the lecturers to learn if students fulfilled their intentions by choosing this course. 67% of students wrote that their intentions were completely fulfilled with some commenting that 'even more than expected', 'I did not only gain knowledge but also an understanding of where to look for information'. 33% of students responded that their intentions were partially fulfilled because 'I didn't think that I will have to learn about plants' leaves and types', 'I wanted more case studies', 'I wanted to go into details about the effects of certain plants'.

Time. When analysing data in regards to the time for the implementation of this study course, students' suggestions were taken into consideration which were not to plan the study course after the conclusion of compulsory study courses but to have it alongside compulsory study courses once a week throughout the semester.

Resources. First of all, an assessment of resources at the Department and their compliance with each practical class was carried out. In the years 2012 and 2013 the lacking resources were borrowed for practical classes from other departments and only alongside with increasing number of students the necessary resources were gradually purchased. As a result each practical class has a list with the most appropriate resources. A timely plan of resources is an important part of successful work organization (see Fig.1.,2.,3.,4).



Figure 1. Students prove anthracene derivatives



Figure 2. Students prove alkaloids



Figure 3. Students prove C vitamin



Figure 4. Students look at medicinal plants in the Botanical Garden of Latvia

To obtain information about the benefits, students were asked to write two to five most important ones while studying this course. In total there were 548 benefits mentioned, on average two to four per survey (see Fig.5).

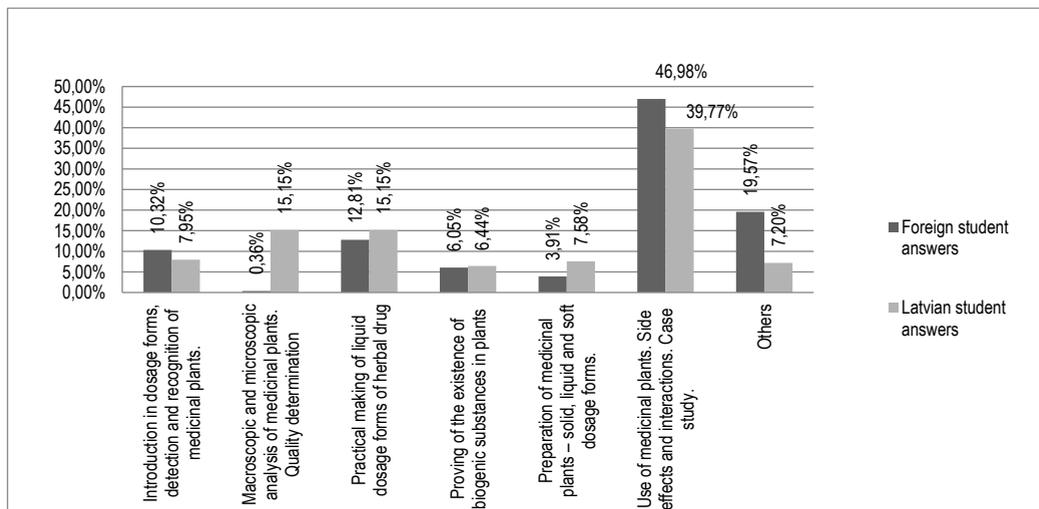


Figure 5. Students Benefits from elective course compare

The prevailing benefits were the practical use of acquired knowledge, work with pharmacological databases, case studies, predicting possible side effects and contraindications. When analysing case studies students looked for the therapeutic effects needed according to the complaints of the patient in order to relieve the patient's condition and to solve the problem. They analysed which medicinal plants, herbs and preparations could be used for phytotherapy and what the possible side effects and contraindications are upon use. Lecturers commented how students used the available information resources including databases. It is crucial for the students to check if the use of medicinal plants in combination with prescribed medications is safe and what the possible side effects and contraindications are. According to the lecturers and students these skills will be necessary in the practice of a doctor.

39.7% of local and 47% of international students wrote that 'I will know medicinal plants and will be able to advise on their use', 'I will know where to find information about plants', 'I found out which herbs can be used to prepare decoctions and tinctures', 'I will be a more confident gatherer of teas', 'I learnt how to work with databases and what interactions with medications are (what can and cannot be used together with medicinal plants)'. Both student groups equally appreciated the benefits of learning how to prepare decoctions (15.1% of local students and 12.8% of international students) and proving biogenic substances (6% in each of the groups). Differing results were obtained in regards to the collection, drying, storage and evaluation of quality of medicinal plants and herbs. Macroscopic and microscopic analysis of medicinal) with only 15.1% of local students seeing it as beneficial and 0.36% of the international students perceiving it as a benefit. 26.7% of students wrote that they have acquired other new practical skills, for example, of preparing decoctions and extracts, made solid, liquid and soft dosage forms of herbal drugs. In the focus group discussions lecturers commented upon their observations made during practical classes. For example, students had been surprised about the correct preparation techniques of specific herbs because usually hot water is poured over the herbs, however particular herbs have to be prepared by pouring water at room temperature and then it can be used after 30 minutes. Students were interested in finding out which herbs and why had to be prepared this way. In comparison students considered attaining the least in the practical class about the morphology of medicinal plants. Therefore it was decided to work on this class bearing in mind that this information is necessary for students especially the ones planning to collect herbs on their own. The skills of recognizing medicinal plants similar to poisonous plants were emphasized. The analysis of students' responses provides assurance to lecturers in regards to the relevance of the content of the course and ensures further improvement. The opinions of students is important, thus frequently renewing and perfecting study programmes and courses, lecturers improve the overall quality of education provided by RSU. By summarizing the experience, a long-term development model of elective study courses has been established (see Fig.6). Its key criteria are appraisal of topicality, development of an offer and implementation considering different types of resources, progress towards perfection and innovation by constantly evaluating the quality of a study course.

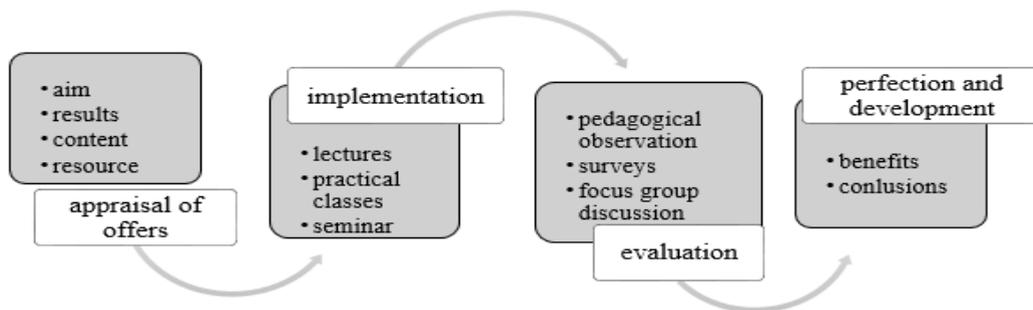


Figure 6. Long-term development model of elective study courses

Discussion and Conclusion

Provision of thorough theoretical and practical knowledge is crucial in the implementation of a study course. It is confirmed by data in which students stress that the acquired knowledge has practical application. Students consider the skills acquired during practical classes of utmost importance. The longevity of a study course can only be ensured by constant evaluation and perfection of its contents.

The research experience allows to define two essential criteria for the long-term development of a study course:

Continuous analysis of accomplished work, which takes a vital role in the survey of student opinions and their integration and implementation in the organization;

The popularization of gained experience among faculty and students ensures growing interest in a study course.

An elective study course can be implemented only if students choose to learn it, so it is important to ensure its high quality which would meet students' interests and needs.

An important prerequisite of an elective study course is its quality. It has to be understood as the topicality of the contents and their conformity with the interests and necessities of students. The accomplished work is considered a good example and can serve as a source of incentive for lecturers developing and implementing a new study course.

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Negotiation Processes as Success Factors in Supply Chain Transactions

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Abstract

The topics raw materials, waste and energy will be the top economic issues of the future, or influence and affect all other subjects (human resources, culture, society,...); all combined with technology, IT and Tech Communication. The shortage of raw materials is one of the central issues in the future perspective and this fact is already influencing the relationship between buyer, producer and supplier. and producers respect to the procurement of raw materials, goods and products are examined specifically in terms of their economic and psychological satisfaction.

Keywords: Negotiation Processes as Success Factors in Supply Chain Transactions

Introduction

In this title and thesis summary follows the point, that world population is steadily increasing, yet raw materials, especially consumer goods, are distributed unequally and raw material prices keep growing at a disproportionate rate.¹ A large share of the world population has no access to adequate consumer supplies or simply cannot afford basic goods since their prices keep rising beyond their reach. It simply cannot be that so many countries have no access to global commodities.² Humans cannot tolerate that an all-powerful minority controls the distribution of basic commodities and is profiteering at the expense of the less fortunate majority.³ Procurement markets needs more knowledge and tools for both the procurement and the allocation of goods, for a common and transparent review, as well as analysis tools with regard to the future procurement situation, because if people do not get enough consumer goods and commodities, they are technically deprived of one of their basic human rights.⁴ In consequence they will lack ambition for any meaningful development and they will further lose faith in ideals and standards.⁵ The UN Food and Agriculture Organization (FAO) in early June 2010, in their semi-annual "Food Outlook", recognize that the cost of consumer goods and commodities are rising, particularly in the world's poorest countries. Scarcities in the supply chain transactions and the daily procurement of supply chain transactions are certainly topics that should concern us all, since the consumption of all kinds of all articles of the human needs and therefore concerns us all.⁶ This sector has undergone drastic changes over the last couple of years, both locally as well as globally. Humans have to clearly distinguish, however, among end consumer purchases, the procurement of commodities by the wholesale trade, the distribution of goods through dealers and distributors, all of which can be operated in different ways and their negotiation process in the supply chain transactions. Likewise, the role of the producer and the role of the supplier respectively will be addressed in chapter two, since their current roles have also undergone dramatic changes, regionally, nationally and globally.⁷ The supply chain transactions of commodity resources, in particular consumer goods, is not the same for everyone worldwide. Trading companies have begun to notice the changes and have thus set out new intern

¹ "Warnung vor globaler Nahrungsmittelkrise [Warning against global food crisis] - news.ORF.at," <http://orf.at/stories/2008198/2008197/> (accessed May 8, 2011).

² Miles Kahler, "Rising Powers and Global Governance: Reforming a Resilient Status Quo," *Journal of International Affairs* 89, no. 3 (2013): 711–29.

³ Lorenzo Cotula et al., "Land Grab or Development Opportunity - International Land Deals in Africa Land Grab or Development Opportunity," *Journal for the Theory of Ordered Sets and Its Applications* 36, no. 8 (2009): 130.

⁴ United Nations, *World Hunger Series: Hunger and Markets, Analysis - World Food Programme*, 2009.

⁵ Parts of this chapter have been published in my Journal articles or have been presented during my conference participations

⁶ various, "OECD-FAO AGRICULTURAL OUTLOOK 2010-2019 HIGHLIGHTS," *OECD-FAO Agricultural Outlook*, 2010.

⁷ Trommsdorff Volker, "Handelsforschung 1988: Schwerpunktthema: Standortfragen [Trade Research 1988: Focus on the Topic of Location Surveys]," 2013, 276. pp.10

targets for the annual Negotiation and Partner Meetings between buyers and suppliers:¹ The demands with regard to the supply chain transactions are as follows: product prices must drop, quantities (or: output) must increase in the following year. The reality in trade shows that individual product quantities have remained stagnant and only grown as regards product range, while prices keep steadily rising due to increasing, direct and indirect stringency.

Decade-long and familiar patterns have become outmoded, so stress scenarios affecting all parties involved in negotiations and annual appraisal meetings have become a regular feature in natural consequence.

The familiar culture of conversation between the negotiation parties have changed or rather must change – a common set of goals must be the natural consequence, so as to ensure supplies to the utmost satisfaction of all parties concerned.

There are no instruments or tools for future-oriented negotiations, or that is to say they are still in a developing phase and the data generated therefrom is usually past-oriented or present-oriented.

The object of the research deals with the evaluation and analysis of direct and indirect factors influencing the negotiations between procurers and suppliers in the supply chain transactions.² On the basis of the "Efficiency Model of Negotiation", it will be reviewed how negotiations between purchasers and sellers should be conducted on an optimal level. For this, the Harvard Negotiation Project is applied in a query to analyse the derived ideal negotiating situation.

The subject of the research is to analyse the procurers and suppliers, who are evaluated specifically in terms of their economic and psychological efficiency and if it is possible to achieve equal economical and mental satisfaction for all parties involved in the negotiating process, all along, there has usually been a loser, sometimes a winner, at the end of negotiations.³

The Aim of the thesis is to look at the current situation and draw conclusions in order to improve relations and cooperation among all parties involved. If we could resolve the "fronts" between "the procurement side" and "the supply side" and convert these 'hostile stand-offs' into mutually beneficial cooperation through more trust and transparency, it would help the entire cycle.⁴ Evaluation of the procurement market and sources of supply in view of the new approach, direct and indirect influences on trust and transparency during negotiations and the effects of the current shortage rate.⁵ Procurement policies and practices of today will not work in the future, because already experiencing shortages and in consequence drastic cutbacks in purchasing volumes.⁶

Actuality of the research is that Trading Companies have begun to notice changes in the efficiency of negotiation process in supply chain transactions and have thus set out targets. The problemfield is that the usual negotiation processes are not longer working in a satisfactory way and the procurement markets and their negotiators are searching for new forms of negotiation processes in the questions of the supply chain transactions.⁷ Here comes the input of this study, which shows a new form of negotiation, empirically evaluated in a postfactum selfreported field study and documented in the "Efficiency Model of Negotiation". The main themes for the supply chain transactions in the future are, that the interplay in the questions

¹ Robert B. Handfield and Christian Bechtel, "The Role of Trust and Relationship Structure in Improving Supply Chain Responsiveness," *Industrial Marketing Management* 31, no. 4 (July 2002): 367–82.

² Stefan Seuring and Martin Müller, "From a Literature Review to a Conceptual Framework for Sustainable Supply Chain Management," *Journal of Cleaner Production* 16, no. 15 (October 2008): 1699–1710.

³ Steve New, "The Transparent Supply Chain," *Harvard Business Review* October, no. October 2010 (2010).

⁴ Frederik Zachariassen, "Negotiation Strategies in Supply Chain Management," ed. Gyongyi Kovacs, *International Journal of Physical Distribution & Logistics Management* 38, no. 10 (November 7, 2008): 764–81.

⁵ Kevin Burgess, Prakash J. Singh, and Rana Koroglu, "Supply Chain Management: A Structured Literature Review and Implications for Future Research," ed. Paul D. Cousins. Co-Editors: Benn Lawson, *International Journal of Operations & Production Management* 26, no. 7 (July 11, 2006): 703–29.

⁶ Henk Akkermans, Paul Bogerd, and Jan van Doremalen, "Travail, Transparency and Trust: A Case Study of Computer-Supported Collaborative Supply Chain Planning in High-Tech Electronics," *European Journal of Operational Research* 153, no. 2 (March 2004): 445–56.

⁷ Peter Schnedlitz et al., "European Retail Research," ed. Thomas.rudolph@unisg.ch Dirk Morschett, University of Fribourg, Switzerland, Dirk.morschett@unifr.ch Thomas Rudolph, University of St. Gallen, Switzerland et al., *Journal of Retail Research* 24, no. II (2010): 205.

of procurement is the completely changing and for that reasons there different and various reasons that this thesis will evaluate.¹

The research question of this thesis deals with the analysis of direct and indirect factors influencing the negotiations between procurers and suppliers in the in the world of trade and wholesale market.²

It is requested on the basis of a structural equation model "Efficiency Model of Negotiations", such as the negotiation processes between purchasers and sellers in the optimal case expire have and how to create an optimal situation and a common result in supply chain transactions.^{3 4}

These changes mean that the procurement market is emerging in accordance with new rules for supply chain transactions and that this places then volved negotiation parties in new negotiating situations and their processes.

The interaction between procurers and suppliers is analysed specifically in terms of their economic and social-psychological efficiency. Stress scenarios affecting all parties involved in negotiations and annual appraisal meetings have become a regular feature in natural consequence.⁵

There is no known study with future-oriented negotiation processes in supply chain transactions, or that is to say they are still in a developing phase and the data generated therefrom is usually past-oriented or present-oriented.⁶ The procurement market and the supply chain transactions needs more knowledge and tools for the procurement and allocation issues.

For a common and transparent review and also analysis tools in regard to the future procurement situation, a new tool for knowledge in supply chain transactions is the "Efficiency Model of Negotiation" pictured in this thesis.

Purpose of the research is for these reasons that the author of this thesis has been posing the question what the future of trade in general and procurement of food products in particular is going to be like, or rather how suppliers and sales staff are going to co-operate and which areas still leave room for improvement.⁷ Co-operation between trade and consumers manifests itself in the sales market which strongly revolves around marketing and strategic brand management. Co-operation between trade (wholesale and retail) and suppliers is strongly rooted in the negotiation processes.⁸ Which products are to be marketed and sold and are they worth ordering and if so, at what prices and quality and in what quantity. At this point we are addressing the doctrine of efficiency in negotiation theories, focal points this dissertation is centred on.⁹ What are the procurement procedures among the various structures and organisations like, and what can be done in an effort to improve and optimize these interactive processes between wholesalers and suppliers, producers, middlemen and other trade partners. And how can we secure efficient and sustainable long-term supplies in the future.¹⁰

¹ Peter Voithofer Kerstin Hölzl, Karin Bachinger, "Analyse Des Österreichischen Großhandels Bedeutung Und Entwicklung [Analysis of the Austrian Wholesale Importance and Development] - Austrian Institute for SME Research," *Publication of Austrian Chamber of Economic Study* (Vienna, 2011). pp.3

² OECD - Food and Agricultural Organization of the United Nations, "OECD-FAO Agricultural Outlook, 2014-2023," *OECD-FAO Agricultural Outlook*, 2014, 329.

³ Sarris, Conforti, and Prakash, "The Use of Organized Commodity Markets to Manage Food Import Price Instability and Risk."

⁴ Prof. Dr. Peter Schnedlitz, "Der Handel Im Umbruch [The Trade in Upheaval]," *Journal Für Markenartikel Und Den Modernen Einzelhandel* Jahrgang 4 (2015): 27–30.

⁵ Josef Zelger and Andreas Oberprantacher, "Processing of Verbal Data and Knowledge Representation by GABEK®-WinRelan®," *Qualitative Social Research Forum* 3, no. 2 (2002).

⁶ Mike Burnette John Bell PhD, Diane Mollenkopf PhD, J. Scott Meline, "Research Paper of Creating a Transparent Supply Chain" (Hallam University, Knoxville, US, 2016).

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⁹ Richard C. Lamming et al., "Transparency in Supply Relationships: Concept and Practice," *The Journal of Supply Chain Management* 37, no. 4 (September 1, 2001): 4–10.

¹⁰ Henry Mintzberg and Frances Westley, "Decision Making : It ' S Not What You Think," *MIT Sloan Management Review* 42, no. 3 (2001): 89–94.

The task of the research is in this study to examine and illustrate the processes among negotiation parties and negotiators and it also look into how and what common interests meet, if single individuals attempt to reach a compromise and further elaborate on the question as to when a compromise reached may actually be adopted as a commonly reached compromise that constitutes a fair compromise which can be positively received and accepted by all parties involved in supply chain transactions. Is there such a thing as a positive compromise and if so when can we talk about efficiency.¹ At this point we obviously have to ask all the same if there is such a thing as a negative compromise and if so, when or in what situation are we faced with a negative compromise. Also, how does a compromise affect the negotiation parties, and is everyone equally affected or is there such a thing perhaps as a single/individual compromise.² „There's renewed need for mutual trust and transparency. The major question that begs to be answered is: where should it come from. At this point in particular the importance of economic science truly becomes evident. It is the responsibility of economic science to develop credible explanatory models for existing problems, as well as a new overview, one that is capable of restoring trust and transparency in the economic mechanisms to ensure that people will, in their own best interest, feel remotivated to do business again which will in turn give fresh impetus to the micro- and macroeconomic dynamics. At present, no solutions have been found as yet, and it will probably require a fair amount of effort of being willing to ‚forgive and forget‘, before renewed confidence and trust can be built. Nonetheless, we should not allow ourselves to be discouraged. All it takes in the long run is trust and transparency in the sustainability of human creativity and the ability for continuous renewal. Already Alois Schumpeter realized that there are good reasons to believe that this is quite possible: “We are no closer to exhausting the endless possibilities today than we were during the Stone Age.”³ As can be seen from previous sentences, synergies among people in negotiations in supply chain transactions have been addressed.⁴ Various forms of negotiations have also been dealt with in detail, what is left to be addressed is the topic of „trust and transparency“, which basically covers and explains the ideal scenario of negotiations. That way the theoretical background has been created against which we can now focus on the approach, since all previously covered topics are reflected in this paper.

The main hypothesis of research is formulated as “The scrutiny and analysis of annual negotiations between procurers and suppliers for supply chain transactions. How will complete trust and transparency in negotiation processes and be perceived by all negotiating parties with regard to their economic and social-psychological efficiencies.”

MetaH. The more closely negotiations comply with the variables of the model of the “Harvard Negotiation Project” and the more “Degree of Trust and Transparency” are ensured, the higher the economic and social-psychological efficiencies will be.

H1. The more strictly the Harvard Concept is applied in conducting the negotiations, the higher the efficiency of the outcome of the negotiations.

H2. The more trust and transparently the negotiations are conducted, the higher the efficiency of the outcome of the negotiations.

¹ Rolf Weiber and Daniel Mühlhaus, *Strukturgleichungsmodellierung [Structuralequationmodeling]* (Springer Verlag Berlin Heidelberg, 2010), p. 7

² Jens Vollmar and Isabella Hoffend Roman Becker, *Macht Des Vertrauens [Power of Trust]*, ed. Schweiz Universität St.Gallen (Springer Fachmedien Wiesbaden, 2013). Vorwort: Prof. Dr. Peter Leibfried, KPMG- Professor an der Universität St. Gallen

³ Amelia S. Carr and Larry R. Smeltzer, “The Relationship of Strategic Purchasing to Supply Chain Management,” *European Journal of Purchasing & Supply Management* 5, no. 1 (March 1999): 43–51.

⁴ By the Author

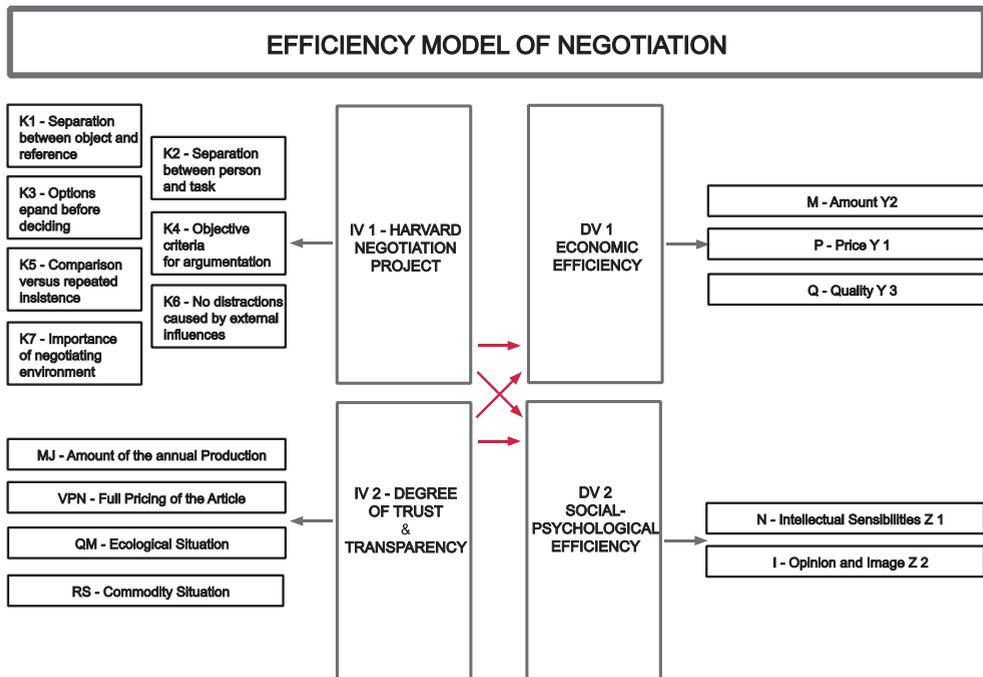


Figure 4 – Research Design - „Efficiency Model of Negotiation“

Source: ¹

Theses presented to defend with the creation of a model that investigates empirically, both the economic and the psychosocial factors of efficiency in negotiation processes between buyers (procurers) and suppliers (producers) in supply chain transactions. In particular, it examines the economic and mental satisfaction in the in the negotiation processes for efficient supply chain transactions. It examines how trust and transparency in negotiations and at annual meetings can achieve a satisfactory result for both negotiating parties.

The novelties of the research and the authors research question deals with the following topics:

This thesis deals with research question of analysis of direct and indirect factors influencing the interaction between procurers and suppliers in the trade and wholesale market. It is requested on the basis of a structural equation model, such as the negotiations between purchasers and sellers in the optimal case expire have and how to create an optimal situation and a common result. For this, the Harvard Negotiation Project is used to query the derived ideal negotiation situation. Respectively the focus of this study on the aspect: The interaction between procurers and suppliers is analyzed specifically in terms of their economic and social-psychological efficiencies.

On the basis of a structural equation model “Efficiency Model of Negotiation”, it will be reviewed how negotiations between purchasers and sellers should be conducted on an optimal level. How are optimal negotiation processes created and how can negotiations become conducive towards a common result in supply chain transactions.

The procurement market and so the supply chain transactions needs more knowledge and tools for the procurement and allocation issues, for a common and transparent review and also analysis tools in regard to the future procurement situation.

¹ Benita M. Beamon, “Measuring Supply Chain Performance,” *International Journal of Operations & Production Management* 19, no. 3 (March 11, 1999): 275–92.

A new Model for Negotiation processes in Supply Chain Transactions is as the "Efficiency Model of Negotiation" pictured in this thesis. The "Efficiency Model of Negotiations" developed by the author is the most comprehensive model in the area of negotiation processes, combining with "Degree of Trust and Transparency" in one model, to explain the impacts of economic and social-psychological efficiency as result of negotiations in supply chain transactions.

In this thesis it is identify that trust and transparency strongly impacts economic and mental outputs positively, if it is part of the negotiation processes in supply chain transactions and annual and all negotiations between the negotiation parties. Prior research was mainly focusing on negotiation processes combined with trust and transparency and their impact on performance in combination with the Harvard Negotiation Project. In this form and complexity this has not yet been considered - trust in the negotiation of the parties among themselves and transparency for the clear depiction of all supply chain transactions and all processes and thus also full transparency to the consumers. The intensive study was carried out by evaluating journals, research papers, scientific reports, important books and empirically in the form of a field study.

The key contribution of the author to science is that the form and the prescription of the negotiations have a great influence on how the parties behave in the negotiations of the supply chain transactions and whether prescriptions are implemented and lived. This model developed here, together with the observed data, is fundamentally different from the previous evaluations, as the author has identified in an in-depth analysis. Past negotiation practices with trust and transparency methods have a great impact on the various efficiencies of the negotiating parties. Most authors have focused on established practices and strategies, such as the in this thesis presented Harvard Negotiation Project, and analyzed the impact of negotiations primarily on their impact on economic efficiency, such as price, quantity and quality, or their monetary competitiveness. This study, on the other hand, analyzes the impact of negotiation processes in supply chain transactions, taking into account trust and transparency, their economic and social-psychological efficiencies of the parties after negotiations. Statistical analysis in the form of a field study supports the view that trust and transparency has a clear impact on the economic and mental efficiencies of negotiation results. But this form of negotiation through trust and transparency requires a clear support of all negotiating parties to be successful and efficient.

The author's work shows that a higher level of trust and transparency in negotiation processes in supply chain transactions maturity leads to higher efficiency in form of economic efficiency - price, quantity, quality and socio-psychological efficiency - intellectual sensibilities, opinion and image by both sides of negotiation parties the suppliers and buyers.

Research Methods used scientific databases, research reports and papers and an empirical research investigation by interviews in a postfactum field study per selfreporting - cause-effect relationship – negotiation processes with empirical relining, for a discussion about the efficiency degrees, depending on trust and transparency in the communication skills in discussions between two control groups buyers (procurers) and suppliers (producers). It also should be mentioned that the questionnaire has been carried out completely anonymous. Questionnaire to establish the level of efficiencies, depending on trust and transparency and the communication skills in discussions between buyer side and supplier side in supply chain transactions. Investigations through interviews carried out in a field study the negotiation processes with empirical relining with real negotiators from the buyer side and the supplier side in supply chain transactions and the situations of real annual meetings in the years 2015 and 2016 as a postfactum selfreporting study, so measurement of real and past events and facts is given. The feasibility of measurability was thus ensured, that usually to measure efficiency is not the want, but the negotiation success, but what is success in negotiations, because there is no objective unity for success. This study measures efficiency, because we measure the degree of own goal achievement questionnaire, which target the two parties of the negotiations had set themselves and which target was reached at the end. In this way, we define the goal and the result, which results in a value that identifies the path, and therefore we measure efficiency in relation to the fact that negotiation is not objectively measurable or objectivizable.¹

By sending invitations for interviews in the years 2015 and 2016 to 500 decision makers in the german-speaking area of wholesalers and tradinghouses with a return of real interviews of total 218, partial 61, fully 157 completed questionnaires remained at our disposal for assessment, which, in a possible number of 500 addresses, means a positive and usable

¹ *Great East (Büyük Doğu)* is a literary journal, published by Necip Fazıl Kısakurek, in different periods between 1943 and 1978. The journal with an Islamist point of view included those many of which were close friends of Necip Fazıl and housed the famous intellectuals of the period. The journal, led by Necip Fazıl, attracted the reaction of the ruling power both in the single party period and DP government, with the violent opposition it carried out.

response rate of 31.4 percent. In sum 50 questions, so the collection ran over real and virtual questionnaires, which were recorded on the system LimeSurvey.org and also been prepared for the calculation in IBM SPSS Statistics, Version 22.

Introduction and explanation of the issues - Respondents will be explained in a short text, which content and which target this survey has GQ – General questions, where in this part of demographic and personal data were queried with 13 questions and 3 open additional questions and here the distinction between buyers and sales has been made; here was also queried whether it is the buyer or supplier. DV – Dependent variables, where the dependent variables were queried with 10 questions and it was discussed whether the respondents perceived by negotiations in the economic and social-psychological efficiencies improve, or how they would evaluate the outcome of negotiations. IDV – Independent variables, where the dependent variables were monitored via 24 main questions and the dependent variables of the groups “Harvard Negotiation Project” and “Degree of Trust and Transparency” were discussed and monitored here and this part had the aim how Harvard Negotiation Project is previously installed in negotiations, or been practiced and applied and this part had the aim how Trust and Transparency concept is previously installed in negotiations, or been practiced and applied. Which negotiation technique with respect to mutual trust and transparency must be applied in future to optimize the negotiating process between the two control groups “givers and takers” – “buyers and suppliers” due to the increasingly difficult procurement scenario. What form of negotiation needs to be created, in order to improve the situation and to achieve the highest possible degree of satisfaction in both an economic and a mental sense. What changed the level of disclosure and transparency of all proceedings variables and an open discussion (full transparency) the design of negotiations in respect to economic satisfaction as price, quantity, quality or the social-psychological efficiency regarding fears, nervousness, satisfaction level, the impact and image of the acquirer regarding trade outwards.

Main results describe that the procurement market needs more knowledge and tools for both the procurement and the allocation of goods, for a common and transparent review, as well as analysis tools with regard to the future procurement situation. Total transparency of prices, amount and quality must be ensured in an approach to meet everyone’s interests and expectations and thus consequently raise the economic and social-psychological efficiencies of all parties. If we could resolve the “fronts” between purchasers, suppliers and producers and instead promote co-operation through improved trust and transparency during the negotiating process, this would help the entire cycle. This scientific study has resulted in an extension of the Harvard concept by adding trust and transparency as an additional key factor for economic and mental satisfaction for all negotiating parties. Full trust and transparency applied in an open and fair discussion unarguably has a positive impact on the conduct and outcome of negotiations in respect of the economic satisfaction through contentedness with price, quantity, quality, as well as the psychological satisfaction.

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Political Opposition in Turkey: An Analysis of the Oppositionist Styles of Necip Fazil Kisakurek and Nazim Hikmet Ran

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Abstract

Opposition culture in a society gives important clues about the socio-political structure of the country. The more a country welcomes differences in its social, political and cultural life; the more it comes close to a democratic regime. Opposition in Turkey, in its long history, has always been problematic because of the domination of statism not only in politics but also in other fields, such as social and cultural areas. In general perception of Turkey, separating from the central opinion has always been equal to chaos, which prevents the development of opposition cult in socio-political life. Supporting the refusal of opposition through some religious factors, Turkish political culture, starting with the Ottoman period, has settled such a limited understanding that it doesn't allow an ideal form of opposition to grow. However it is known that political opposition, if practiced well, can help a political structure to renew itself, to continue development, to have a dynamic management and to reflect the preferences of people as many as possible. All these important points bring the necessity to analyse the social and political opposition culture in Turkey deeply. Therefore this study first tries to take attention to the understanding of importance of opposition culture in the eyes of politics and society. By analysing striking actors in Turkish literature Necip Fazil Kisakurek and Nazim Hikmet, the study aims to underline how the perception of opposition gave harm to political and social development of the country. By the way, this analysis reveals the need for a better understanding and practice of opposition culture for further developments in Turkey. The study starts with a general theoretical framework of opposition; in which the definition and scope of political opposition, different types and importance of opposition culture are explained. In the second part, Turkish political culture and the way it perceives the idea of opposition is revealed from a historical perspective. At the last part Kisakurek and Hikmet, who were the men of letters touching Turkish politics by their poems and proses, are analysed. Seeing similar processes of the two, who had in real completely different ideological backgrounds, the holistic structure of state mechanism against all kinds of differences is to be illustrated.

Keywords: Turkish politics, Turkish literature, opposition culture.

Introduction

Opposition in general terms is a broad concept. It can easily be transferred to social and political fields. Opposition culture cannot be considered independent of social and political structure of a country. The meaning of opposition in Turkish social and political life has been complex. In its historical background, Turkish politics and society haven't been able to welcome differences. In order to analyse the perception of political opposition culture, this study touches two important literature figures that had been effective in Turkish politics for a long time.

The two men of letters, Necip Fazil Kisakurek and Nazim Hikmet Ran are chosen for the study, since both have been important examples of the opposition culture by social and political means. The problematic position of opposition culture in Turkey can be examined by various events or actors. The critical reason behind these actors is to show how Turkish settled perception has given harm to the notion of 'difference'; regardless of different ideologies of Kisakurek and Hikmet.

Starting with the conceptual framework on the concept of political opposition, the study will shortly look at Turkish political culture in the second part and lastly it will examine the poems and writings of Kisakurek and Hikmet. Through analysing their literature and showing their life experiences, it will be clear to see how a limited understanding of opposition has hindered Turkish political and social life. As the method of the study, literature review is targeted for the first two parts; and in the third part Kisakurek and Hikmet's literature works will be evaluated according to a content analysis procedure.

Opposition as a Political Concept

Social and political issues are not easy to define. This becomes more apparent in political theory; creates a relative nature in the determination of concepts. Political opposition is one of those concepts, complex in terms of the perception of different fields. Mostly, the term doesn't evoke a positive meaning; it is highly related with exclusion from the generally accepted perception. This may even indicate the difficulty of describing terms in a social and political environment.

As a part of political culture, political opposition is one of the most important topics in social and political sciences. Opposition, in the general framework, means opposing an opinion, attitude and behaviour, being different and disapprobation that view (Turgut, 1984: 3). The presence of two is enough for any opposition. The opposition can be seen at every level in social life. The opposition includes not only the level of conflict of ideas, but also the conflict movements that can occur at the level of action.

When the meaning of the general opposition is judged politically, it turns into a political opposition. In this case, the opposition takes on a political character that targets the existing social and economic construction, the political regime and its concrete objects. It is to counter or block the actions and policies of the government that represent different ideas and interests. To define political opposition in broad terms, it is a procedural act/phenomenon which can occur in a certain social form at any time, by opposing the current political regime and the socio-economic system, or opposing only one of them, or only those holding the political power and/or their activities; providing them with or without an alternative program or proposal, criticizing it by applying to various ways not within the legal limits or by legal means and struggling to create effects and consequences for the desired purpose (Turgut, 1984: 4-8).

In the identification of political opposition, government and government activity is considered as the main theme. Mostly, studies on political opposition include those movements within the parliament and related with power or actions of power in order to dismiss. A political opposition doesn't always mean an opposition among political parties in the parliament, but it can include non-parliamentary actions as well (Turgut, 1984: 135). Therefore, oppositionist can be described as any group of political individuals with the intention and desire to take the place of the executive group in any position. Therefore, political opposition can also be made either by organized or unorganized groups and individuals.

The reasons and the sources of political opposition, as mentioned above, can change. Among these various reasons are the following; to oppose the political regime and socio-economic order, to question all aspects of social construction, to resist only the socio-economic structure or existing regime, to object the pressure of the supporters if they appear to be oppressive, to reject the legitimacy of the person controlling the state or holding the political regime, trying to achieve the desired result by printing features that interest interests without targeting a structural change and rather than a clear and tangible target, just to make some positive returns (Turgut, 1984: 7).

The types of political opposition

The complex nature of political opposition makes it clear that; concepts as culture and opposition cannot be identified through a fixed framework. Therefore, it is easy to capture the unique formation that political opposition has. The context of opposition in every social and political structure includes a great variety of meaning. It is not possible to think of a single political opposition; rather there are different fractions or types of such opposition. The political opposition can be grouped by more than one categorization, which is; the constitutional/non-constitutional opposition, structural/non-structural opposition and parliamentary/non-parliamentary opposition (Turgut, 1984: 10-18).

For the first categorization (constitutional – non-constitutional opposition), the emergence and the organization of the opposition group may be contrary to the constitution. What determines the opposition is the way it is made; whether the opposition is carried out in accordance with the rules of the system or contrary to the rules. The constitutional opposition can also be defined as in-system, real and loyal opposition; on the other side the non-constitutional opposition can be called as off-system opposition. Because each state can have different practices in terms of constitutionality, the determinant in this categorization can change from one to another (Turgut, 1984: 10-11).

The determination of the structurality is the main motivation for the second categorization (structural – non-structural opposition). When the opposition aims to request for amendment of political structure/regime or request for change in socio-economic structure/scheme, there occurs a structural opposition, which is also called as the ideological or principal opposition. On the other hand, if the opposition aims to request only for amendment of original politics of the power or government, the opposition is a non-structural one, which is traditional and pragmatic (Turgut, 1984: 12-14).

For the last categorization (parliamentary – non-parliamentary opposition), the opposition is based on those people who make the opposition, rather than the place where the opposition is made. What determines the difference between the two is whether the opposers are in the parliament or not. Mostly this category shapes the general understanding on the political opposition. The political opposition is mainly perceived as to take place only in the parliament. As political opposition includes any action by restricting the power by observing its decisions, behaviours and policies or by offering an alternative programme; these can also be practised by actors outside of the parliament. The degree of opposition in which it causes a change in the power of the government is the significant point rather than the actors who make it (Turgut, 1984: 15-18).

Political opposition as the guarantee of democracy

The simplest definition of democracy by Lincoln's expressions; "government by people and for people" shows a critical relationship between democracy and the culture of political opposition (Lijphart, 2012: 1). In the modern understanding of democracy, since it is the rule of public generally by the majority of the public, the importance of considering the interests of almost all people becomes more apparent. Therefore, the existence and the right exercise of opposition are directly related with the level of development of democracy in a society.

The opposition is vital for the existence of democracy. The relation between the formation of political opposition and political culture in a country becomes relevant with the development of democracy (Turgut, 1984: 92-95). Therewithal, democracy is necessary for the existence of legal and open opposition. The principles of democracy are also the conditions of the existence of opposition. At this point, it is easy to mention that both the political opposition and democracy are the guarantors of each other.

The influence of the political opposition is very important in getting democracy out of its absolute and narrow conception as in the early ages and gaining a contemporary and modern character (Turgut, 1984: 41). The point is that, opposition is one of the main motives of today's modern democratic practices. The existence of a strict, legal and alternative government that keeps the government's work under control is an important determinant of today's modern democracy; and it is provided by the activities of opposition groups. Therefore, it is certain that if political freedoms and legitimate opposition get out of hand, democracy soon ceases.

For the existence of political opposition constitutionally, democracy as apparent from the explanations above is the main necessity. Moreover, political opposition may need some socio-political support to occur. Some of them are the equality in the use of mass media, free and fair elections. High belief and respect for democratic values in the society is another important factor, because what the power understands from the opposition is a critical determiner in the settlement of the opposition perception in a society. The opposition needs to be regarded as legitimate as power (Turgut, 1984: 37-40). So, the understanding of opposition by power also conducts the understanding of the public and affects their attitude. Vice versa the opposition is responsible for shaping the way power and public perceives itself. The opposition groups need to define themselves clearly and observe the power carefully in order to create an ideal form of opposition in the eyes of public. Moreover an opposition, which is out of system aiming to destruct it, cannot be welcomed by power. Therefore, in order to take part in the system, an opposition needs to be systematic, constitutional.

By presenting the perception of opposition as a part of democracy, political opposition undertakes some tasks and duties. Supervision, control and directing power are the duties of the opposition for the government. Moreover its responsibility to the public is to represent the opposition in the parliament and to introduce an alternative managerial staff (Turgut, 1984: 43-45). By the way, the opposition party gives the public the impression that it is ready to handle power; to direct the country at any time and/or in case of the ruling party loses elections or resigns for any reason.

The characteristics of the political opposition become clear so far, which means the opposition is an organized, continuous, alternative, representative, participatory, competitive action (Turgut, 1984: 58-66). The organization of the opposition determines its intensity; when the opposition is concentrated in one hand, the intensity of opposition is high comparing to the division of opposition. The continuity of opposition means a durable position pursued by opposition parties in parliament and non-parliamentary actors outside. The fact that it is an alternative to power substantially identifies the role of opposition against the ruling power. This feature directly causes the competitive nature of opposition in the system. Especially in times of elections, competition is very intensive. The opposition as a participatory and representative agent is valid for any group in the parliament. At this point, main areas in which the parliamentary opposition can intensify its activities are public opinion, elections, parliament, coalition processes, bureaucracy and interest groups.

Non-parliamentary political opposition

Studies on political opposition often deal with the nature of parliamentary opposition when analysing the types of political opposition and the procedures carried out. Non-parliamentary opposition as well as parliamentary political opposition has a wide range. Because it is not possible to limit the non-parliamentary opposition, its expansion is greater and its actors can vary. Youth and student groups, press, social media, intelligentsia, women, minorities, universities, workers, various occupational groups, unions and associations are some of these actors. Non-parliamentary opposition has many forms as; strikes (including not only worker strikes, but also actions referenced in other areas), disobedience with orders, decisions of managers and laws, invasion of institutions such as factories, universities, ministries, parliamentary (all of which include use of force) at various levels, non-participation in elections consciously; meetings, marches, organizing forums, seminars, open sessions, preparing papers and distributing brochures (examples of peaceful ways of political opposition) (Turgut, 1984: 138-139).

The cases in which social opposition is subjected to protest actions and some other peaceful means of seeking to achieve current and concrete objectives can be defined as non-parliamentary opposition. Non-parliamentary opposition has no goal and no institutional task as to seize power through electoral struggle. For this reason, the focus of the government is largely on system criticism rather than the ruling. Among the reasons of the emergence of non-parliamentary opposition include (Turgut, 1984: 140-145); inadequacy of traditional channels of participation in democracies and in particular of classical representation, the spread of politics into new and different areas outside parliament and the re-politicization, another way of questioning political power about what they did and what they did not, the incapability of existing political structures on responding to new demands in the social structure and revealing any kind of corruption at the management level and to put the public opinion.

It would be wrong to see parliamentary opposition as the sole representative and source of the political opposition. Non-parliamentary opposition can also be a major influence on power. Moreover, its task can be more difficult in the whole political culture. The main difference and the prominence of non-parliamentary opposition is that it emerges spontaneously, unlike parliamentary opposition (Turgut, 1984: 146-147). The non-parliamentary opposition also contributes to the functioning of pluralist democracy by enlightening the demands and problems that arise in social structures. In various ways of appearance, it is a critical source of the democracy culture. Necip Fazil and Nazim Hikmet can be given as the examples of this category with regard to the topic. Since these actors had never been the members of parliament and both of them were regarded as important representers of the right and left opposition in Turkish socio-political life; they are to be evaluated in the non-parliamentary political opposition through their writings and worlds of thought. Before analysing their oppositionist tones and impact to Turkish policy, it will be appropriate to give a brief overview of the opposition in Turkish political culture. The understanding of the process on how Turkish policy presents an approach towards opposition culture is believed to contribute to the understanding of the actors mentioned.

Opposition in Turkish Political Culture

As a matter of political culture, the political opposition is directly related with what a society perceives from this concept and how it applies opposition. In order to understand the meaning of political opposition in Turkey, it is necessary to take a look at the settled culture in Turkish political experience, which has roots from the Ottoman Empire. Political culture that is shaped by the meaning attributed by Turkish society for the politics cannot be distinguished from Turkish social and historical memory. Hereof the existence of opposition, the practice of it, and its comprehension by the public are also related to this cultural memory.

Political culture in Turkey is collectivist as a whole. In a general framework, it can be said to have a statist reflex. The name of this "whole" may be; the state, the *ummah*, the nation, the public, the national will (Ogun, 2004: 36). Instead of its name or label, the functioning of political culture and its reflection to other areas becomes determinant. The political culture, guided by the state myth and bureaucratic administration tradition, takes its source from essentialist philosophy. All state mechanism is based on the single factuality or reality monopolism principle (Caylak, 2007: 142). On the basis of such monopolism, there is a power issue dominating the politics and culture. Such a political culture is maintained not only by state but also by the public. Even at the community level, there is no libertarian understanding of political culture.

The roots of the holistic political culture in Turkey date back to Ottoman period. The concept of *ordo seculorum* (*nizam-ı alem*) shaped Ottoman political culture (Caylak, 2007: 143). The content of *ordo seculorum* in Ottoman period is that; great significance is attributed to the state as a means of congregation. The interests of state are above everything. The system in Ottoman Empire was based on every nation's establishment of its own order. As a great power, the sultan or khalifa was obliged to adapt the order in universe to the social and political life. The opposition was concentrated on an enemy

perception that declares any movement resisting the state as an enemy (Caylak, 2007: 143-144). Through such a practise, the Ottomans aimed to establish order among all nations of the empire; and this culture was brought to new secular Turkish state. As a guarantee of the general harmony of society, the state doesn't change its tendency towards a deviation from the whole, whether the rule is Islamic or secular. So did the new Turkish Republic. After the dissolution of Ottoman Empire, the new state mechanism continued the same holistic reflex with different actors under a different ideology, all of which deeply affected the opposition culture in Turkey.

Political opposition cult has a significant role as to provide a process of dynamic and vivid social production. An ideal political opposition can lead to dissemination of the opposition's understanding from a purely political assumption to a wider area as social life (Ogun, 2004: 301). However, the opposition in Turkey does not have a positive sense, not only politically but also socially. Opposition, associated with "fifth way" or a kind of heresy, has a widespread understanding that its existence will harm society and politics (Mardin, 2017: 180-183). The statist understanding in social and political life of Turkey has spread over many areas. Opposition culture is of the most critical ones with misleading sense that it has. Since the socio-political perception is limited by a holistic view in the country, even a slight difference is not tolerated; rather regarded as discriminator. This causes a distorted and sided power-opposition relationship. The opposition culture is guided by intolerance to the smallest departure that separates itself from the whole. Therefore, any opposing view is accused of as unrest, incitement, and disrupter (Mardin, 2017: 189).

The holistic view in Turkish social and political life is supported even by some religious motifs. Religion is used as an instrument in the formation of such attitude. The fact that Turkish political culture is knit with Islam affected the perception of opposition. The verses of the Koran, which describe the way of salvation in the Islamic community, are adapted to opposition in social and political means. By the way, any separation from the grand picture becomes a kind of sin. Moreover, as a consequence of the perfection of the state and the head of state, the opposition is almost united with the idea that they are against God (Caylak, 2007: 144-145). Such a relation between religion and opposition has made the opposition even more problematic.

The formation of a non-exclusive opposition cult is possible only if the opposition gains legitimacy in the cultural codes of the society. What the political culture in Turkey has made is to create a network of pressure and controlling over the opposition, therefore it didn't allow an inclusive understanding of opposition (Mardin, 2017: 175-176). The opposition could only be related with a kind of resistance to the rulers, to the limits of the power. It had no choice but to define itself through a resistance theology. Such a resistance has risks for the democracy in the country, because a healthy opposition is necessary for society and politics to evolve in the direction of democracy.

Supporting the central idea, which is the only truth for the state and society, have become the characteristics of the opposition in Turkey. Since the ruler-managed, centre-periphery or power-opposition relations are all shaped by the social and political stratification, the opposition cult has never developed (Mardin, 1992: 22). Even the political parties are established according to this stratification in Turkey. This was achieved neither in 1946, the date of the transition to democratic life in Turkey nor after 1980s, in which diversity and pluralism were provided by means of identity.

The power-opposition relationship was shaped in two directions in Turkish Republican period. The first one was based on opposition movements defending the market against government intervention and the other was opposition movements that defend traditions and religious beliefs against the state (Caylak, 2017: 148). With a brief look at the opposition experience in Turkish republican history, it is possible to capture the general perception of opposition culture. At the beginning of Republican period, Progressive Republican Party was the first opposition party against Mustafa Kemal Atatürk, the founder of the new state. The main argument of the party was based on the idea that gathering of all the forces in the parliament would lead to authoritarianism. Moreover, in 1930s Free Republican Party became the second opposition initiative, which could only exist as a guided party. When it started to leave from the desired guided party form, the party was forced to dissolve itself (Mardin, 2017: 178-179). All these were enough to see that opposition in Turkey couldn't be absorbed.

After transition to democratic life in 1946, all the oppositions against CHP (Republican People's Party) were united and represented in the DP. It means through DP, an opposition bloc was formed. Therefore, DP was a broad but non-homogenous opposition (Caylak, 2007: 152). In real, DP was not an opposition party. Defining DP as an opposing party is equal to accept its success as an opposition in Turkey's political culture. DP's case cannot be considered as a success of opposition because the opposition in Turkey has never had legitimacy in the eyes of the elite and masses. On the contrary, what brought the party its success was more than an oppositionist attitude. According to Mardin, "It would be wrong to

define the DP as an opposition in terms of large masses in Turkey.” (Mardin, 2017: 188). According to this view, DP and such parties have been the ideal examples of the dreams of rural areas against the representatives of the bureaucracy and the great tradition, for centuries.

The process that affects today’s opposition culture, as seen, has a long history. In this respect, it is apparent that the level of tolerance for differences in Turkey is very low, whatever the dominant ideology is. Such problematic air causes a two-sided understanding as power vs. opposition. Making both sides confronting against each other, it is clear that there is no constructive political opposition mechanism in Turkey, but rather a dividing cult, settled in the veins of community. For the placement of opposition culture at the socio-political level, the synchronicity of social variables with institutional change is a ‘must’ (Mardin, 2017: 190).

Having a brief idea on the political culture of Turkey can make it easier to understand the two actors of this study. Necip Fazil Kısakurek and Nazim Hikmet are two important figures of their period as to illustrate the opposition cult in Turkey. Political repression in the country during the Republican period pushed thinkers into the fields of literature and culture. From this point of view, Necip Fazil as the representative of conservative segments and Nazim Hikmet as representative of the communist groups in the society were critical examples of intellectual opposition. As mentioned above, for the traditional political culture of Turkey, the side of opposition was in no importance; rather it was essential to remove any difference. At this point, Kısakurek and Hikmet, despite their totally different ideologies, were regarded as opposite to the state mechanism and therefore exposed to pressures. Thanks to their efforts, the two constitute an important example of this cult. By choosing actors from different areas, this study tries to show the weakness of the opposition culture in Turkey. In the light of these, how these two names developed their oppositionist theories as representative of critical segments in the country; and how they contributed to the opposition culture through their language and unique styles is aimed to be the focus point of the following titles.

Necip Fazil Kısakurek and His Opponent Language

Necip Fazil Kısakurek is one of the most important thinkers of Turkish-Islamic civilization, besides being a poet, play writer and novelist. Born in 1904, Kısakurek had the opportunity to improve himself thanks to the education he received both in the country and abroad (Okay, 2005: 9). Creating many works in different literary genres, Kısakurek had later touched to social, religious and political issues of his society. His bringing Islamist thinking into the forefront and his criticising the regime because of the anti-Islamist acts caused Kısakurek to be regarded as a great threat for the newly established state. Kısakurek was accused of being a long-time opponent under the structured authoritarian state, so he had a difficult life (Karatekeli, 2014: 4-20).

Turkish Republic, with the aim of spreading a new, modern understanding of nation, state and government, made nearly everything to suppress differences that are against its holistic position. In this respect, cultural publishing became important as a means of political critical discourse. One of the most important representatives of this movement was Kısakurek with his numerous works, in which he blamed the regime for erasing the history of society and trying to fill their minds with full of modern concepts, unfamiliar to the society. In his period, Necip Fazil Kısakurek became an important actor of intellectual opposition, with a conservative perspective.

As a political activist, Necip Fazil’s real suffering began in 1943 when he started to publish *Great East (Büyük Doğu)*¹, in which Kısakurek gave his intellectual struggle against the political elites openly. He was accused of making opposition during the single-party period due to his writings in the journal. The journal was closed many times and Kısakurek was sentenced to prison several times; totally 3 years 8 months in jail. Moreover, his conflict didn’t come to an end with Democratic Party²’s power. Even though the party gained the support of those, opposing to CHP’s one-party government; DP couldn’t meet with Kısakurek at the same ground. He constantly criticized the DP government in order to lead it in a moral way. The whole intention in his criticism was to save the DP from those cadres who couldn’t get rid of the CHP

¹ DP is a political party established on 7 January 1946, which remained in the minority in the elections held in the year it was founded and ended the 27-year single-party government in the elections held four years later (14 May 1950). It was an important political movement that formed the opposition bloc against the single-party government of CHP. Its ideological background was based on the unity of all positions in the country.

² Kemalists are the ideological supporters of Mustafa Kemal Atatürk, the founder of Turkish state. Kemalist regime is the ruling of CHP, started with Atatürk and continued by İnönü after Atatürk’s death. The political framework of this ruling is based on Kemal Atatürk’s ideals and principles.

mentality and to prevent the DP from being similar to them, when the CHP hatred in the country gained victory. However the DP government caused most of his sufferings by sending him to jail (Duran, 2005: 75-78).

The intellectual opposition through journal publishing united in Büyük Doğu which was a new initiative for the conservative communities. Kisakurek's critical plays addressing the repressive ruling; his books and poems trying to depict Turkey's condition; all attracted the interest of pious, conservative segments of Turkish society. Conservatism, which is exposed to the label 'other' in the early periods of the Republic, created a basis for the questioning of prototype regime (Emre, 2005: 48-49). As the advocate of this idea Kisakurek was, in the eyes of government, an opponent who discriminated himself from the centre.

"In the case of freedom, all humans unite / And freedom is captured by the Sultan of truth" (*Öfke ve Hiciv*, 237). If his language is started to be evaluated through some of his verses, what actually Kisakurek conflicts against becomes apparent. Rather than the existence of a unity among the public, he tries to make us question the formation of unity. Rather than the existence of freedom, he takes the attention to freedom captured by so-called truth monopolism. Choosing Kisakurek, as a critical actor in the understanding of opposition culture in Turkey, is significant to reveal the main goal of the study within the quoted lines.

He calls the situation, into which the Turkish Islamic communities were forced to drag by Kemalist regime¹ during the republican period, a *felix culpa*, meaning a happy fault (Kisakurek, 1969: 7; Kisakurek, 2014: 377-378). What the new state worked for was to create a kind of society, filled with Western morals, values and attitudes, according to Kisakurek. However he believed that no element adopted from the West could reflect the spirit of Turkish society. Therefore, any kind of reform movement that is contrary to the political, cultural, social and even economic structure of the Turkish-Islamic civilization is a kind of *Felix Culpa*. He didn't hesitate to mention that "the notion of political and social engineering of the new state made it easier for the West to transform the Turkish nation into a colony without even necessity of any military power" (Kisakurek, 1990: 206).

The language, the dominant tone of Kisakurek could be very harsh when criticising the government, which is the main reason behind his attribution as an opponent. His opposition operates to worldliness by spiritual means. "After so much historical sufferings and adventures, aimlessness has completely flopped down on us in the last period; it has affected our failures that are political, administrative, economic, economic and moral; and gave birth to today's scene" (Kisakurek, 2013: 34). Constructing his oppositionist ideas on to moral base, Kisakurek made us evaluate the process from a different perspective. In another phrase from Kisakurek, it is possible to see his tone; "Political, administrative, intellectual, scientific, commercial and legal ethics, together with morality, are at the last stage of the collapse..." (Kisakurek, 2013: 12). He compared the moral status of Turkish community in the process following the establishment of the modern state, with Roman and Byzantium societies, all of and he found them even better than Turks.

As understood from Kisakurek's expressions, the modernization project that started with the Tanzimat period² turned into a colonization process with the Republic by spiritual means. Also in material terms (cultural imperialism), it was almost a semi-colonization process for Kisakurek (Kisakurek, 1952). In order to make a change possible in the government's practices which aimed to create a new Turkish nation from scratch, he formed an intellectual criticism. By harshly revealing what the ruling elites caused, he tried to develop a sense of opposition. "Knowledge, where can it stay when the cognition is broken? ... You cannot find any place of the country's knowledge of history, philosophy, politics, law, economics or anything else on account of country" (Kisakurek, 2013: 13). For Kisakurek, such values are the main components of a society; the deprivation of society from these major morals can easily turn it into a vain.

Most of Kisakurek's opposition stems from moral, cultural, intellectual and religious concerns. Since he believed that all these factors were the determinants of political practices, formation of culture was of great importance. For this reason, most of his criticisms in his works were built on this notion. Basically, how the state mechanism restricted his thoughts create the main argument of this study. Since he started to reveal his ideological identity, Kisakurek was considered as a "man to be threw of" by the regime elites. The bitter days in which Necip Fazıl was forced to live because of his thoughts

¹ The Tanzimat, literally meaning reorganization of the Ottoman Empire, was a period of reformation between 1839 and 1876 under the reigns of the sultans Abdülmecid I and Abdülaziz. The reforms, heavily influenced by European ideas, were intended to effectuate a fundamental change of the empire from the old system based on theocratic principles to that of a modern state.

² İsmet İnönü, who was elected as the second President of Turkey by Turkish assembly after the death of Atatürk in 1938 also became the Chairman of the CHP. He received the title of "National Chief" in the same year. It was a kind of declaration of CHP that İnönü became the sole determinant of the country's politics from then on.

can constitute the summary of the opposition culture in Turkey in the Republican period. Kisakurek, who did never hesitate to express his dissenting opinions against the government, was in the focus of Kemalist rule.

The process, in which Kisakurek struggled a lot, is an important sign of the holistic Turkish political system. Whatever its ideology is, the state structure has always been against different voices. Kisakurek's criticism of CHP and DP differs in theory but it can be perceived as the same in practice. His criticism of the CHP government was to oppose the change of society under the republican elites, who tried to create a new nation. Kisakurek aimed a structural basis. On the other side, his criticism of DP was based on the purpose of the restoration of lost values. His efforts were to have a better ruling system under DP, but he was misunderstood and this again caused a troubled life for Kisakurek. In this study, rather than blaming DP or CHP, it is aimed to understand the situation by looking at the settled perception of opposition in the codes of Turkish social and political life.

The Oppositionist Tone in Nazim Hikmet

Nazim Hikmet Ran born in 1902 is a Turkish poet, play writer, novelist and memoirist who is called a romantic communist or romantic revolutionist. He had made great contributions not only to Turkish literature but also to the social and political life in Turkey. Starting poetry at a very early age, Hikmet touched many subjects throughout his life with his poems; and formed a critical example of opposition against the statist political culture in Turkey. Hikmet's influence in various areas continues even today although it has been many years since his death.

Nazim Hikmet has been a significant actor in the analysis of Turkish social and political processes. His way of opposition was through his art like Kisakurek. He saw the art for society and even politics, but never for art's sake (Gok, 2009: 363-365). During his struggle, Hikmet never hesitated to express his oppositionist ideas through his poems. "I am a poet / I wrote poems for a year of rain / But / In order to start / My actual masterpiece / I am waiting to be the hafiz of Capital" (*Şair*, 1923). Quoted verses written at the very beginning of Hikmet's career reveal his initial oppositionist tone.

Nazim Hikmet, who wrote articles and poems in many subjects from everyday events to national problems, also started a war against the literary insights of the sovereign classes and the imperialists. Since he thought that real art should be for the people, through his works he pointed out the struggle in order to give a better world to the oppressed and the exploited; repeated many times that the guide of liberation was in Marxism. As a milestone in the shaping of his life, Hikmet went to Russia in order to see socialist regime with his own eyes. His interest on socialist ideas, the theme of rights of workers and so on appeared firstly when he was appointed in Anatolia as a teacher. After returning to the country, he became a member of TKP (Communist Party of Turkey). "I am a member of the Communist Party of Turkey since 1923; this is the only thing I glory. In the history of the world, it will be difficult to show a single author who is totally neutral and passive in the face of the problems of the age. It can be assumed that he/she is unrepentant and it can be said, but he/she can never be objectively unbiased." As seen in his words, Hikmet never chose to confront the central ideology and abstained from expressing his ideas clearly, even though he very well knew that they were all against the settled perception of the ruling elites (Rizayev, 2009).

When CHP's single-party government was under the influence of rising fascism in Europe, a repressive state policy was established. The state was promoted to a position "above the class" and a fascinating direction was introduced aiming at the unity of the party and the state under the leadership of the "national chief"¹. In a period in which the prohibitions and pressures increased greatly, since it was already forbidden to propagandize communist ideas through the media in the 1925s, Nazim Hikmet was interrogated, arrested and subjected to various pressures.

"Deceased / Killed by fighting / Buried in the sun / We have no time to keep their math! / There is a flock / Flock to the sun! / We will capture the sun / Close, the capture of sun" (*Güneşi İçenlerin Türküsü*, 1924). These verses are important as the sign of Hikmet's opposing views against Kemalist rule that he claimed to have killed his comrades. The Law on the maintenance of order (*Takrir-i Sükun*), issued in 1925, hindered the development of ideas in the country; and stopped the intellectuals who would guide those left in silence. However, with the abolition of this law in 1928, new ideas became available to be written and discussed; and the process was initiated by Hikmet's poetry (Candir, 2011: 167).

Starting to contradict with the party management, Hikmet and his oppositionist friends were dismissed from TKP, which caused Hikmet not to recognise the party and not to continue his communist struggle through it. The fact that he was thrown

¹ Barrasso (2013, September 11). Make the case for Europe. Daily News of 2013.09.11 European Commission- 11/09/2013. Retrieved from <http://europa.eu/rapid/midday-express-11-09-2013.htm>

out of his post didn't hinder Hikmet to express himself through politics-oriented poems and plays. "Living is no joking matter ... / You will take life seriously / Such an extent that / For example your arms tied from the back and your back at the wall ... / You'll die for people / For people whose face you did never see / Even when nobody forces you to do so / Knowing that the best and the most real thing / Is to live" (*Yaşamaya Dair*, 1947).

As an oppositionist against the regime of Turkey and its ruling elites, Nazim Hikmet had a life full of punishments. He continued his propaganda against the growing state mechanism in the country through making his art during the times he was in prison. "My darling, they are enemies of hope ... / The enemy of developing life / Because they take death mark ... / And of course my darling / Freedom in my beautiful country / Will walk freely / Will walk with the most glorious dress, the boiler suit" (*Düşman*, 1945). He took advantage of the amnesty law and found freedom after 13 years and 5 months.

The notion of opposition in Turkish political culture didn't make any discrimination among ideologies, as mentioned before. Thus, what Hikmet argued was that the same statist structure was continued even after Democratic Party government. When DP won the power on 14 May 1950, it was a kind of hope not only for Hikmet but for all kinds of differences, who tried to survive against the regime. The only thing that changed was the main ideology of the state mechanism, as happened in the transition from the Ottoman Empire to the republican Turkey. Nazim, who reacted to Turkey's becoming a partner in American imperialism, this time criticised DP government through his poems and writings. When Turkish government decided to send troops to the Korean War in order to be a part of NATO against the USSR, Hikmet wrote the following verses; "Life is a bit expensive in our country / For example, you can get two hundred and fifty grams of meat / Mutton / For 23 cents in Ankara / Or two kilos of dry onion / Or a little more than a lice of lentils / Or fifty centimetres shrouded cloth / Or a man / For a period of one month / Who is about his twenties" (*23 Sentlik Asker'e Dair*, 1953).

Despite being removed from citizenship, Nazim Hikmet continued revealing his ideas via his art. As an answer to a newspaper article, which called him a traitor, Hikmet wrote a poem, which was kind of a measuring patriotism; "Yes, I am a traitor, you are a patriot, you are a patriot / I am a traitor, I am treasonous, I am treasonous / If your homeland is your farms / If homeland is your cases, your cheque books ... / If it is not to escape from stinking darkness / Yes, I am a traitor / Write with bold font sizes that / Nazim Hikmet is still continuing his homeland treason" (*Vatan Haini*, 1962).

The quotations from Hikmet are just a few of the works that show his oppositionist attitude. In most of his works he uncovered critical points, most of which caused his troubled life. In fact, Nazim Hikmet's reaction neither targeted the Kemalist rule nor the DP power. His oppositionist attitude was against the process, which adopted a holistic reflex restricting freedoms, regardless of the ideological status of the state. Since he never settled with the state's central perception, he, as a representative of socialist and communist groups, was considered an opponent. Because of these reasons, he wasn't welcomed in Turkish social and political memory for a long time. Due to the placement of opposition culture as a dangerous act in the depths of socio-political codes of Turkey, Hikmet can be handled as a figure, whose value was only appreciated in the eyes of the public after a long time.

Conclusion

Turkish political culture, with a collectivist structure, has been determinative in the formation of opposition. Due to this holistic understanding, neither political nor the social organs can easily accept the opposition; and opposition culture in Turkey cannot develop. The process started with the Ottoman Empire and is continued with the new republic up to today. Both in politics and society, anything different is considered to be dangerous. The opposition culture is never evaluated as to contribute to pluralism, but rather it is otherized.

Within this context, it seems significant to analyse the concept of opposition in Turkey by depicting past grief experiences in order just to avoid similar situations in the following period. Therefore this study, after having an idea on how Turkish opposition culture has come to its position, examines the experiences of two thinkers, Kisakurek and Hikmet. The two names contributed a lot to the opposition outside the parliament and they were suppressed by the ruling elites for several times. What is interesting is that the schoolmates Kisakurek and Hikmet, even though had completely different political views, were exposed to the same oppressions. The processes they had were similar; life in jails, crime of thought and prohibition of publications. The examples of their hard times can be increased, but the point to focus is the attitude of state mechanism against any difference, regardless of its shape whether conservative or socialist. Because of the opposition culture, which cannot find itself a proper place in Turkish social and political memory, the values of the two great men of letters have been understood too late in this country. Thus the importance of opposition becomes clear; allowing all differences and variants to occur freely will only contribute to the development of this country socially, politically, culturally and even economically.

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Gender Justice Discourse in the Educational System of Afghanistan during the Democracy Period (2001 – 2015)

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Abstract

This study seeks to examine Afghan women's access to education (gender justice) in the wake of September 11 amid developments and efforts made to establish democracy in this country in the years between 2001 and 2014. Using discourse analysis, this research aims to extract one nodal point and several floating signifiers to explore a semantic system of gender justice, albeit by making use of examples taken from the educational system during the mentioned period. The data collected in this research are extracted from texts concerning the role of women in education in Afghanistan in the mentioned period. Its importance in terms understanding the intellectual and political atmosphere of the mentioned political system especially in respect of women's access to their educational rights is brought to light. This study concludes that the gender equality index is satisfactory to a great deal in the present government as compared to the period of Taliban in which the index was lowest in the world. However, the present government has not achieved success as much as it was expected because gender justice discourse has not become hegemonic in Afghanistan. The reason for the unsuccessfulness of the discourse lies in the elements that make the discourse hegemonic. Because elements could not play their effective role, this discourse did not become hegemonic.

Keywords: Gender, Discourse, Educational System, Afghanistan.

Introduction

Women's right to education (gender justice in education) has always been considered as one of the most challenging issues in the social and political history of Afghanistan. The issue has been more serious at particular points in the history of the country. The present article examines gender justice in Afghanistan after the fall of the misogynist Taliban regime (1996-2001) and following the formulation of the new Afghan government. This period has been described as the democracy period in the history of Afghanistan because a relatively open political space was created in the period and there were more opportunities for women to participate in various political and social arenas. Laws adopted to protect women's rights in the period, paved the way for changes in women's political and social lives. The author of the present paper seeks to answer the following questions: What constitutes the signifiers in the semantic system of Afghanistan's gender justice discourse from the perspective of discourse analysis? What nodal point does the mentioned discourse revolve around? What elements constitute its floating signifiers?

The method and the theoretical basis of the research is discourse analysis as employed by Chantal Mouffe and Ernesto Laclau. In 1985, they published *Hegemony and Socialist Strategy: Towards a Radical Democratic Politics*, in which they expanded Foucault's theory of discourse analysis and applied it to all political and social affairs. According to Laclau and Mouffe, discourse is the structured whole achieved through articulation. This method is significant when studying social issues because it identifies and analyzes various discourses, elements, signifiers, changes, developments, and growth, as well as their becoming hegemonic and declining in different periods. We have employed discourse analysis in order to analyze gender justice as a discourse in the mentioned period and formulate it as a structured whole. The formulation is reached by first checking the signs and signifiers that contribute to the formulation and to the creation of the semantic system. A nodal point is then derived from the floating signifiers, which can lead the reader to facts according to Laclau and Mouffe's discourse analysis. A nodal point is a sign around which other signs are ordered. Floating signifiers are signs to which competing discourses attempt to assign meaning (Laclau and Mouffe, 2001).

Discursive Formulation

Formulation is placing the elements and signifiers of a discourse together so that a new identity is created in the new set (Phillips and Jorgensen, 1389) and a new discourse is created that leads to new forms of social order (Norval and Stavarakakis, 2000). In this section, will be discussed the articulation of gender justice in the democratic period to uncover the formulation and creation of the new semantic system in the field of gender justice. First will be discussed the development of the nodal point and then address the arrangement of elements and floating signifiers that indirectly contribute to the discourse's becoming hegemonic.

The Nodal Point; Democracy-Centered Education

The centrality of the democracy signifier is evident in the text of the Bonn Agreement, the new constitution, the statements of politicians, the Loya Jirga talks on the constitution and parliamentary and presidential elections. According to Article VI of the constitution, the realization of democracy is one of the obligations of the government (Government Media & Information Center website). School textbooks praise a government based on democracy as the protector of the rights and freedom of human beings (Ministry of Education, 1390, 65). Textbooks also discuss gender inequality and criticize gender injustice, which is attributed to people's ignorance and lack of a healthy religious education (the Ministry of Education, 1390, 67). Women benefit from democracy-centered education because it treats all the members of society equally and does not favor any particular individual.

President Hamid Karzai's statements in the Loya Jirga talks on the constitution are considerable from the perspective of discourse analysis because the discourse dominating women's education can be inferred from them. In part of his speech, he describes the political and social situation in Afghanistan after the Taliban as follows:

"After the fall of the Taliban and the establishment of the Islamic State of Afghanistan, civil and political liberties and human rights of the Afghan people were established... An open political space emerged for assembly and expression of views. After several years of violations of women's rights, Afghan women reclaimed their status in various areas of national life. The rights of women and girls to work and education were guaranteed. Today, the Afghan woman enjoys all civil and human rights and necessary freedoms in the light of the teachings of Islam and the cultural values of our country" ("Anis Newspaper," 2003).

It is clear that, at the beginning of the text, the new government, which is contrasted with the former regime (the Taliban), has achievements such as civil and political liberties and human rights, all of which can be realized in a democratic atmosphere. The signifier of freedom of speech has been praised as an important symbol of democracy. When discussing women, women's freedom, the right to work and education and enjoyment of all civil rights have been emphasized. This emphasis is a criticism of the former dominant discourse, in which women enjoyed no rights, even the right to education. The mentioned text marginalized discourse of the earlier state as a "violation of women's rights" and as a deterrent to democracy, and attempts to represent it negatively. He praises the ratification of the constitution as a new era of equality, freedom, and equal rights and seeks to represent it positively. In addition, the emphasis on the violated rights of women represents the transition of the society from the old discourse to the new discourse in which women's activities, particularly their access to education, are based on democratic values in a way that equal access to education will become an axiom.

The Development signifier in educational structures

Basic Training

In this arena, the performance of the Ministry of Education concerning the education of girls has been regarded as satisfactory. From a quantitative perspective, the number of students has increased dramatically in recent decades. At the beginning, the government launched a campaign to encourage children to return to school and to support girls' education. Because of this program, girls were significantly more interested in attending school. While the number of female students in 2001 was only 5000, this figure rose to 2.7 million in 2010 ("Equal Rights, Unequal Opportunities," p. 23). According to UNESCO, the gender justice index in Afghanistan under the Taliban was the lowest among world nations, but in 2010, it rose to 79%. As a result, the country's GPI increased from 0.08 to 0.69 ("from access to equality," p. 108). In its National Strategic Plan (NSP) from 2010 to 2014, the country's Ministry of Education predicted the enrollment of ten million children in schools as well as a 72% to 90% increase in the enrollment rates of girls by the year 2014. Although the prediction did not come true as hoped for, the enrollment rate of students (both male and female) reached about 8.6 million in 2013 and

9.2 million 2015 ("Afghanistan Ministry of Education, National Educational Strategic Plan III," p. 19)(Ministry of Education, 2017, 19). This situation represents a relative progress.

Teacher Training

The number of registered male and female students has continually increased since 2001. Consequently, demand for new teachers increased to the extent that the number of teachers increased by about eight times from 2002 to 2008. While according to one statistic, approximately 20700 teachers worked in the public education system in 2002 in all schools (from 1st to 12th grade), almost all of whom were male. According to a report by the Ministry of Education, the results of an assessment show that the number of female teachers rose to 29.22% in 2008 (Ministry of Education, 2009 quoting Beiza 2013, 211) and to 33% in 2015.

In this area, the government lacked not only enough teachers but also enough teacher training centers. The Ministry of Education (2015) reported that most girls dropped out of school because of a lack of female teachers. Hence, the ministry employed the best "existing candidates" strategy, especially for the recruitment of female teachers in rural areas. According to this strategy, women interested in serving as teachers in local schools and deprived areas are identified and recruited even if they do not meet the basic criteria. In addition, if these women demonstrate a formal commitment to participation in job improvement and professional development programs as teachers or administrative officers, the Ministry of Education would be committed to paying them subsistence allowance for pursuing higher education and providing educational materials.

Vocational Training

Equal access by all social groups, especially the socio-economically disadvantaged, is part of the main objectives of the national strategy for vocational education and training. Although female students are much less interested in the field due to the low status of the discipline in the country as well as the low employment rates of graduates, according to the Ministry of Education, the enrollment of girls in the field has increased in recent years. In 2001, only about 1,500 male students entered 83 semi-professional schools, but according to the Ministry of Education, the enrollment of female students in 2015 reached 17%, which indicates a relatively small increase compared to equivalent disciplines.

However, there are problems and shortcomings in the discipline that should not be easily ignored. Lack of good teachers, lack of standard curriculum and quality educational materials, lack of equipment, lack of electricity and water have presented challenges for these schools and institutes. However, in 2013 UNESCO declared that efforts to update the curriculum of the discipline and remove the old curriculum continue (Ministry of Education, 2013, 15).

Floating Elements and Signifiers

Floating elements and signifiers are signifiers articulated around the nodal point in a chain of equivalence in the framework of a specific discourse. They modify and moderate the meanings of the nodal point (Laclau and Mouffe, 2001, 105). Although these elements do not directly assign meaning to the nodal point, they indirectly contribute meaning to the discursive system. In the discursive system of democracy in Afghanistan, elements such as women's rights, freedom, and human rights were floating signifiers that contributed to the realization of the discursive system of gender justice in the country during the mentioned period.

Women's Rights Signifier; Freedom; Human Rights as the Facilitator of Women's Education

It can be said that only the pro-democracy discourse and the new Afghan constitution allowed women to become presidents, ministers, lawmakers etc. This process may indirectly contribute to women's education. In addition, the government is committed to a large number of human rights treaties and conventions, including the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW), which could have a significant impact on access to education for girls. In the discursive system of this government, the element of the freedom of citizens was regarded as an axiom to which the government committed itself. Thus, the first article of the Education Act of Afghanistan discusses "providing equal rights to education for all the citizens of Afghanistan through the development of a fair and balanced universal knowledge system, and Article III discusses the equal right of Afghan citizens to education without any kind of discrimination. This is an emphasis on the right to free access to education, which is not limited by any constraints, especially gender.

These signifiers, which are regarded as axioms in this discursive system, seem to be opposed to the discourse of the previous Islamists, which was considered as a male discourse that required the head of the state to be male. The discourse

of the new government has paved the way for the equal representation of women and men in social arenas. During the Taliban period, elements such as human rights, freedom of women and women's rights were suppressed and the active participation of women in the political arena was systematically prohibited. Women were also denied the right to be part of the formal and informal structure of the government.

From what has been said we can conclude that although the progress made by the Ministry of Education in the area of gender justice has not continued as planned, it has been partly successful. This success should not be ignored given the obstacles faced by the government. If one intends to determine the quality and the number of existing efforts in the democracy period, reviewing the performance of the previous state concerning the education of girls can be a source of credible evidence. At that time, all social infrastructure and educational structures had been destroyed. According to the United Nations, in 2002, only 5% of Afghan women could read and write (United Nations, 2002). However, the government managed to stop this process gradually.

Therefore, although they might not have achieved the objectives set by the previous strategy, but given the obstacles, such an achievement would be satisfactory. However, a form of gender inequality persists even in the process of making progress. In this process, fewer girls have enrolled compared to boys, they have been less likely to continue and complete their school education, fewer girls have pursued higher education, and some of those who have enrolled have always been absent from classes. Poor school conditions, lack of separate schools for girls in some provinces and rural areas, early marriage, conservative and discriminatory views about education for girls, and insecurity are among the reasons for these problems.

Discussion and Conclusion

Education based on democratic values became the focal point of the gender justice discourse in the democracy period. The semantic system of this discourse was formulated according to this structure and all the floating elements and signifiers were arranged in this direction. Several important steps were taken in the area of education including membership in associations and international educational conferences such as "Education for All" and "Millennium Development Goals." The government launched a campaign to encourage children to return to school and support the education of girls, which led to positive results. The number of female students in the Taliban era was about 500,000 and the Gender Inequality Index was the lowest among world nations. However, the number of students in Afghanistan reached more than 9 million in 2015, 39% of which were female.

In this regard, some internal deficiencies hindering the gender justice process should not be ignored. Politicization of educational programs (Kissane, 2012, 16), corruption and inexperience in educational projects not only changed the view of foreign supporters towards a healthy and efficient management but also reduced people's support for the government and diminished their hopes for a serving government. A report by the Sigar Institute about millions of dollars of embezzlement and the government's presentation of fake data about schools that never existed indicates corruption in the Ministry of Education, which has affected women's education negatively (<https://www.sigar.mil/pdf/special%20projects/SIGAR-17-12-SP.pdf>). Hence, in terms of discourse analysis, Political operatives failed to perform their roles in the process properly.

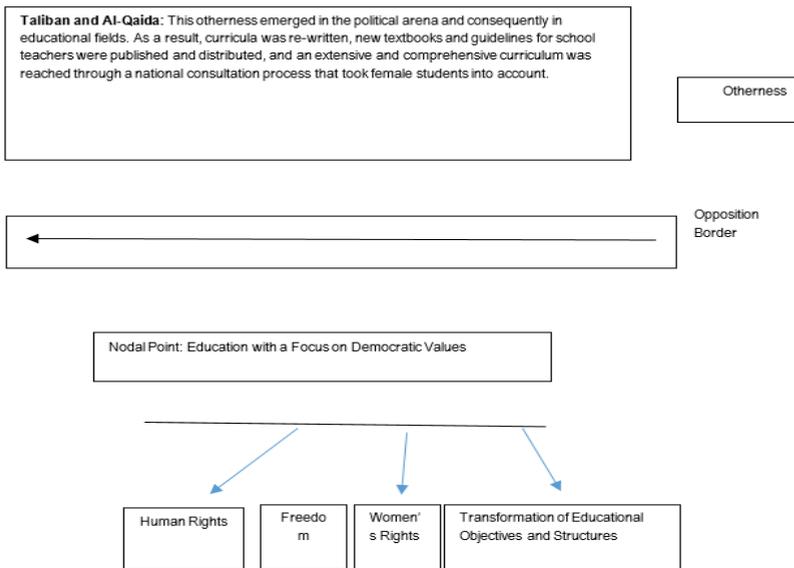
Unlike Political operatives, the availability and reliability of the existing discourse appeared to be impressive because the discourse emerged during a power vacuum in the Post-Taliban situation when there was no competition. Therefore, the discourse attempted to produce and reproduce new concepts, which quickly increased its availability. This discourse exploited gaps in the previous discourse concerning women and formulated its discursive signifiers so that they were acceptable for most individuals especially women. They formulated liberal democracy and human rights signifiers along with Islamic signifiers in such a way that the public, which had a traditional lifestyle, became attracted to them. The formulation also boosted the credibility of the democracy discourse in a traditional society. This action accelerated the movement of the discourse toward becoming hegemonic.

According to what was said, the discourse of gender justice in Afghanistan's democracy period can be called "the discourse of gender justice based on democracy in the post-war intellectual atmosphere." Based on Laclau and Mouffe's method, this discourse can be described as follows.

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Table



Country Branding: The Personality of Vietnam as a Brand

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Abstract

Country as a brand reflects the marketing orientation to manage a country image to achieve the desired country position. Country personality is an important marketing strategy for this purpose. The present study attempts to examine the country personality of Vietnam, a major emerging Asian country. This exploratory study adopts Aaker's (1997) brand personality framework to uncover the country personality of Vietnam. Data were collected with Thai undergraduate students. Results from a factor analysis reveal 9 dimensions of Vietnam's country personality including competence, excitement, ruggedness, sophistication, new generation, down-to-earth, elegance, originality, and spiritedness. A number of theoretical and practical implications regarding country branding and country personality can be drawn from the study results.

Keywords: brand, country branding, country personality, Vietnam

Introduction

From a marketing perspective, country branding reflects the idea that a country can be viewed as a brand. As a result, different countries may possess different qualities or characteristics as do different branded products (Anholt 2003). For instance, assertiveness and ruggedness may reflect the characteristics of the US, whereas the humble traits could be associated with Japan (Sirisoontorn & Polyorat 2013).

While country branding has attracted considerable attentions from both marketing managers and reserchers in Europe, North American and Australia (Pitt et al 2007), there has been relatively few studies conducted in the Asian context although this region plays an increasingly important role in the emerging economy. The current study thus aims to contribute to the knowledge in this topic by exmaming Vietnam, an important Southeast Asian country.

At present, Vietnam is one of the fascinating destinations, from not only tourists but also investors, probably for three crucial factors. First, the tourism industry in Vietnam has been rapidly growing. There are 972,800 international tourists in Vietnam in May 2017, representing a surge of 26.8 percent from the same month a year earlier (Trading Economics 2017). Second, Vietnam is an attractive country for foreign investors. Vietnam has attracted more foreign direct investments (FDI). In 2016, FDI inflows have steadily and significantly increased to 24.4 billion US dollars or 9 percent growth compared with that of 2015 (Dezan Shira & Associates 2017). Finally, there has also been a considerable growth in Vietnam's export. In 2016, Vietnam's export reached 176.6 billion US Dollars (talkvietnam 2017). Its main export products include telephone and spare parts, textile, and computers. Based on these several important reasons, Vietnam therefore warrants more studies regarding its country branding.

One important concept in brand building is brand personality. Human personality traits such as sincere, friendly, or charming can be used to describe a brand and are thus called brand personality. Brand personality may send a message that a given brand is special by communicating different personality traits to make customers perceive and interpret the special brand characteristics (Plummer, 2000). Brand personality that provides abstract meaning which corresponds with the identity of customers are likely to be viewed as more favorable (Kim et al., 2005). While there are several studies on brand personality for traditional branded products, relatively few studies have attempted to apply the brand personality concept to countries (Amatyakul and Polyorat 2016). This is surprising given that several countries have actively tried to promote their countries for tourism, export, investment, or other business purposes. Therefore, the present study attempts

to demonstrate that a country has personality as do traditional branded products. It is expected that the results from this study may provide insightful guidelines in the development of country marketing campaign and also suggest avenues for more systematic applications of the brand personality concept to non-traditional branded entities.

Theoretical Framework

Country Branding

A country may change or manage its image in order to systematically enhance, modify, or improve its reputation (Fan, 2009), resulting in a more favorable or better evaluation of that country. This practice of the so-called country branding is therefore a national strategy to survive or stand out in the present days where competitions among countries become more heightened (Kaneva, 2011).

Research in country branding may cover such different areas as public diplomacy, country-of-origin, destination or place branding, and identity of the nation (Fan, 2009). From the marketing viewpoint, whereas destination branding and country-of-origin concentrate on enhancing economic competitive advantages of a given country especially in terms of tourism and import-export, country branding focuses, however, on the country's overall image and positioning in the international eyes. Therefore, country branding also covers cultural, political, and technological dimensions of a country (Kaneva, 2011).

Country branding requires more complex marketing strategies than those of traditional branded products because a country may possess relatively more uncontrollable, interconnected, intangible, and emotional characteristics (Mugobo and Ukpere, 2011). Six primary elements including culture, people, tourism, exports, governance policy, investment, and recruitment (Anholt, 2003) may be pertinent and thus used by a country to communicate its country characters to the audience. In addition, consumer perceptions of a given country may also be based on such various factors as use of product originated from the country, personal familiarity with the country, understanding about the country, stereotypes of the country, and media coverage of the country. As a result, country branding must match the country's image with the reality of these relevant factors and communicate them to the audiences in order to gain more favorable reputation (Fan, 2009).

Brand Personality

Brand personality is defined as a set of human characteristics that relates to brands (Aaker 1997) and provides symbolic meaning of brands (Sung and Tinkham (2005). For example, Absolut Vodla is a 25-year old person with a cool and modern personality (Balakrishnan et al 2009). Because brand personality is relatively more difficult to imitate than tangible product attributes, brand personality can thus be used to achieve a more sustainable advantage (Ang and Lim 2006).

Past brand personality research has covered the relationships between brand personality and several other marketing variables including brand loyalty (Farhat and Khan, 2011, Lin, 2010), human and consumer personality (Lee, 2009, Balaji and Raghavan, 2011, Ekhlassi et al., 2012), consumer attachment to brand (Goldsmith and Goldsmith, 2012), image of product user (Parker, 2009), and acknowledgement of product quality (Ramaseshan and Tsao, 2007).

Based on a series of surveys, Aaker (1997) uncovers five dimensions of brand personality: sincerity (down-to-earth, honest, wholesome and cheerful), excitement (daring, spirited, imaginative and up-to-date), competence (reliable, intelligent and successful), sophistication (upper class and charming) and finally ruggedness (outdoorsy and tough). The robustness of these five dimensions are reported across different genders, age groups, brands, and product categories. Despite some criticisms, several of the brand personality studies conducted after 1997 are based, at least in part, on Aaker's (1997) framework (Azoulay and Kapferer 2003).

Method

Country personality of Vietnam was measured with Aaker's (1997) 42-item brand personality scale. The original scale in English was translated to Thai using a back-translation procedure (Brislin 1980). The research participants were instructed to think of Vietnam as if it were a person and to rate on a five-point (1 = not at all descriptive, 5 = extremely descriptive) the extent to which each of the 42 brand personality traits described the country.

Three hundred and sixty-eight students from a major northeastern Thai university participated in this study via judgmental sampling. They filled out the survey during regular class hours as part of the course requirement. The age of the participants varied from 18 to 37 years with the mean value of 20 years. Female participants accounted for 62.5% of the sample. Subjects were first informed of the study description, then asked to complete the Aaker's (1997) brand personality scale and provide demographic data including age and gender.

Results

The 42 items from Aaker's (1997) brand personality scale were submitted to principal component factor analysis with a varimax rotation. Items which had low factor loadings (<.50) were removed. As a result, 36 items remained for further analysis. The means, standard deviations, factor loadings, eigenvalues, and percentage of variance explained are displayed in Table 1.

Based on the meanings and the relationships among these personality traits as well as descriptions of personality dimensions identified in the literature, the analysis reveals 9 factors or dimensions of country personality of Vietnam. Dimension 1 represents the country personality of competence dimension (7 items: hard-working, secure, intelligent, technical, corporate, successful, and leader). Dimension 2 represents the excitement dimension (7 items: exciting, daring, sentimental, friendly, trendy, honest, and sincere). Dimension 3 reflects the ruggedness dimension (5 items: outdoorsy, masculine, western, tough, and rugged). Dimension 4 reveals the sophistication dimension (4 items: upper-class, glamorous, good-looking, and smooth). Dimension 5 represents the new generation dimension (3 items: young, imaginative, and up-to-date). Dimension 6 reflects the down-to-earth dimension (3 items: down-to-earth, family-oriented, and small-town). Dimension 7 indicates the elegance dimension (3 items: independent, charming, and feminine). Dimension 8 represents the originality dimension (2 items: real and original). Finally, dimension 9 exhibits the spiritedness dimension (2 items: spirited and cool).

Table 1: Factor analysis personality of country

| Dimensions | | | | | | | | | | | Means | SDs |
|------------|-------------|---------------|---------------|---------------|-------------------|-------------------|------------------|-------------|----------------|-----------------|-------|------|
| | | 1. competence | 2. excitement | 3. ruggedness | 4. sophistication | 5. new generation | 6. down-to-earth | 7. elegance | 8. originality | 9. Spiritedness | | |
| 1. | hardworking | .534 | | | | | | | | | 4.10 | .85 |
| 2. | secure | .679 | | | | | | | | | 3.52 | .80 |
| 3. | intelligent | .715 | | | | | | | | | 3.66 | .87 |
| 4. | technical | .697 | | | | | | | | | 3.47 | .91 |
| 5. | corporate | .678 | | | | | | | | | 3.30 | .80 |
| 6. | successful | .715 | | | | | | | | | 3.46 | .81 |
| 7. | leader | .654 | | | | | | | | | 3.26 | .82 |
| 8. | exciting | | .513 | | | | | | | | 3.43 | .99 |
| 9. | daring | | .709 | | | | | | | | 3.49 | .85 |
| 10. | sentimental | | .628 | | | | | | | | 3.44 | .87 |
| 11. | friendly | | .618 | | | | | | | | 3.60 | .91 |
| 12. | trendy | | .703 | | | | | | | | 3.45 | 1.07 |
| 13. | honest | | .634 | | | | | | | | 3.48 | .90 |
| 14. | sincere | | .671 | | | | | | | | 3.51 | .94 |
| 15. | outdoorsy | | | .592 | | | | | | | 3.00 | .88 |
| 16. | masculine | | | .701 | | | | | | | 3.40 | .93 |
| 17. | western | | | .817 | | | | | | | 3.33 | .95 |
| 18. | tough | | | .786 | | | | | | | 3.45 | .93 |
| 19. | rugged | | | .795 | | | | | | | 3.24 | .99 |

| | | | | | | | | | | | | |
|------------------------|-----------------|------|------|------|------|------|------|------|------|------|------|-----|
| 20. | upper class | | | | .699 | | | | | | 3.07 | .77 |
| 21. | glamorous | | | | .781 | | | | | | 2.82 | .82 |
| 22. | good looking | | | | .654 | | | | | | 3.13 | .85 |
| 23. | smooth | | | | .722 | | | | | | 3.13 | .88 |
| 24. | young | | | | | .740 | | | | | 3.22 | .91 |
| 25. | imaginative | | | | | .690 | | | | | 3.24 | .87 |
| 26. | up-to-date | | | | | .716 | | | | | 3.09 | .89 |
| 27. | down-to-earth | | | | | | .662 | | | | 3.45 | .86 |
| 28. | family-oriented | | | | | | .738 | | | | 3.47 | .86 |
| 29. | small-town | | | | | | .693 | | | | 3.35 | .84 |
| 30. | independent | | | | | | | .633 | | | 3.71 | .85 |
| 31. | charming | | | | | | | .581 | | | 3.53 | .94 |
| 32. | feminine | | | | | | | .566 | | | 3.64 | .94 |
| 33. | Real | | | | | | | | .598 | | 3.50 | .91 |
| 34. | original | | | | | | | | .657 | | 3.60 | .95 |
| 35. | Spirited | | | | | | | | | .782 | 3.63 | .91 |
| 36. | Cool | | | | | | | | | .570 | 3.39 | .94 |
| Eigenvalues | | 4.43 | 4.12 | 3.47 | 3.06 | 2.77 | 2.24 | 2.13 | 1.98 | 1.58 | | |
| Variance explained (%) | | 10.5 | 9.81 | 8.26 | 7.29 | 6.59 | 5.34 | 5.06 | 4.72 | 3.77 | | |

Discussions

Summary

Results from a factor analysis reveal 9 dimensions of Vietnam's country personality. These dimensions include competence, excitement, ruggedness, sophistication, new generation, down-to-earth, elegance, originality, and spiritedness.

Theoretical Implications

Based on the study results, the current research provides a number of contributions to the areas of country personality, country branding, and brand personality. From the theoretical perspective, as there have been relatively few studies specifically designed to investigate country personality, our research is therefore considered a step further to fill in this void. In addition, the results from our study reveal some dimensions similar to those identified in other research. For example, the competence, excitement, ruggedness, and sophistication dimensions uncovered in the present study are quite similar to those identified in research conducted with traditional branded products (e.g., Aaker 1997), therefore confirming the similarity between brand personality and country personality in this respect. However, there are also some new dimensions uncovered in the present study. These include new generation, down-to-earth, elegance, originality, and spiritedness. In this light, this discrepancy may highlight the unique aspect of country personality which is different from those of traditional branded personality while the similar dimensions reflect the universality or the commonness between product personality and country personality. Further research may consider examining this issue in greater depth.

Furthermore, from a methodological perspective, these new personality dimensions obtained from this survey are those which have not been previously identified in the literature. As a consequence, the implications in this regard are twofold. First, this may also reflect country personality dimensions unique to Vietnam. Next, this may suggest an opportunity for future research. That is, further investigation of these new country personality dimensions would provide an interesting avenue to better understand the country personality construct.

Managerial Implications

In addition to the academic contributions, the results from the present study also provide several practical guidelines in building Vietnam's country personality. First, the competence dimension may reflect that Vietnam is a country with highly competent or highly skilled people. Therefore, the Vietnamese government may use this dimension to attract foreign investment. Next, the excitement and ruggedness dimensions may be communicated through tourism attractions with such characteristics. These may include, for example, the sand dunes of Mui Ne, Cu Chi tunnels, Ha Long bay, and Phong Nha-Ke Bang national park as they could be particularly interesting for adventurous tourists. However, for those who love sophistication and elegance, Vietnam may focus on such tourism attractions as well-maintained and glamorous colonial-style building as well as Hue Citadel and Imperial Citadel of Thang Long. In addition, various forms of high culture and art can be used to convey this personality. In terms of the new generation dimension, Vietnam may possess this characteristic due to the fact that much of its population is still young, teenagers or in the working age group while many other countries are approaching toward the population aging. This group of people is therefore more likely to be up-to-date and imaginative. Vietnam thus may manage this personality by training these people to have marketable skill and abilities in order to attract more foreign investment. Next, the down-to-earth dimension may reflect the relatively low labor cost which could also be useful in attracting foreign investors. Furthermore, the originality dimension may reflect the traditional lifestyle of Vietnamese people where bicycles and traditional forms of architecture and costume may constitute some examples. Finally, based on the spirited dimension, Vietnam must work hard and have a strong determination concerning their long-term national agenda.

Study Limitations and Avenues for Future Research

Certain limitations in this study may suggest fruitful avenues for future research. First, future studies may examine the personality of other countries such as Cambodia, Laos, and Timor Leste as there are relatively little research concerning them. In this light, research with other underrepresented Asian countries will respond to the comparative shortage of research in this issue among this region. Furthermore, the results of the present study come from student sample. They may not therefore be a true representative of the whole population. As a consequence, future research may consider different groups of samples to provide the generalizability of the research results. Finally, in addition to a survey method as employed in this study, depth interview (cf., Blythe 2007), experiment (cf., Johar, Sengupta and Aaker 2005) and content analysis (cf., Opoku, Abratt and Pitt 2006) will also provide additional insights in country personality.

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Examining Levels of Job Burnout Among Teachers Working in Kosova in Terms of Different Variables

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Abstract

This study examines job burnout levels of teachers teaching in primary and lower secondary schools in Kosova and changes in levels of teacher burnout according to demographic variables. Research data was collected using the Oldenburg Burnout Inventory (OLBI) and analysed using SPSS. Findings show moderate levels of exhaustion and disengagement for teachers teaching in primary and lower secondary schools; while, variables of gender, age, years of service, type of service, perceived socio-economic level, and marital status do not significantly affect burnout levels of teachers teaching in the southern part of Kosova, respectively Prizren.

Keywords: job burnout, teacher education, teacher disengagement, teacher exhaustion, Oldenburg Burnout Inventory.

Introduction

Burnout is a syndrome which affects individuals in their work environment and within specific job conditions causing them to feel psychological exhaustion and develop feelings of apathy. First described as a syndrome of emotional exhaustion, depersonalization, and reduced personal accomplishment by Maslach and Jackson (1985), burnout is also referred to as "an affective reaction" (Fernet, Guay, Senécal, and Austin, 2012:514); as a psychosocial discomfort experienced in a working environment (Montero-Marin et al, 2009); as a personality crisis with a right combination of stress, exhaustion and anxiety, which deteriorates health into illness by going beyond job-related one (Rudow, 1999); and as an outcome of being exposed to stress for too long by Shirom and Melamed (2006). Burnout's common symptom of exhaustion aligns it next to depression, making correct diagnosing a real accomplishment (Doohan, 1982). Stress and fatigue are mentioned alongside burnout because of their overlapping symptoms, especially its positive correlation with emotional exhaustion (Eisenstat, & Felner, 1984). Further synthesis in burnout studies reveals that it can occur at any time in a life of a working individual and can develop unobtrusively until identified (Chen, Wu & Wei, 2012). Although it can affect a wide spectre of individuals, studies show that people at most risk from burnout are those who are engaged in social work, such as nurses, medical staff, psychologists, counsellors, teachers, attorneys, police and social workers (Freudenberger, 1975; Maslach, & Jackson, 1981; Schaufeli, & Enzmann, 1998). Amongst the most vulnerable profession to both stress and burnout is the teaching profession (Rudow, 1999; Williams, 2011). Teachers are classified as a group prone to burnout due to their close and continuous contact with people namely students, parents, and administration (Maslach, & Jackson, 1999; Fernet, Guay, Senécal, & Austin, 2012). Further, studies on the relevant topic reveal an array of burnout symptoms which are classified into three major groups: physical (Belcastro, 1982; Rudow, 1999), psychological manifestations including emotional exhaustion, dissatisfaction, disappointment, loneliness, low morale and guilt (Doohan, 1982; Maslach, & Jackson, 1985; Gil-Monte, 2012), and social symptoms with reduced work efficiency, sick leaves, absences from work, and early retirements (Maslach, & Jackson, 1985; Rudow, 1999; Korczak, Huber, & Kister, 2010; Korczak, Wastian, & Schneider, 2012).

Similar concerns are also found in teacher burnout. Bauer, Stamm, Virnich, Wissing, Müller, Wirsching and Schaarschmidt (2006) identified burnout as a primary reason for driving teachers to premature retirement due to stress, exhaustion and depression. This distressful state within educational institutions inevitable affects learning process where teachers' performance deteriorates and they feel they cannot extend themselves to students' needs anymore. Teachers become depressed, hopeless, disappointed, and utterly helpless (Chen, Wu, & Wei, 2012). Their relationship with students declines as teachers become uninterested in student learning (Rudow, 1999). Additionally, they withdraw from society or from socializing with peers developing cynicism towards colleagues, followed by de-motivation in developing professionally. Subsequently, this leads to deficit in teaching personnel, especially good teachers (Huston, 1989; Chang, 2013).

Speculation on causes thirty years ago changed very little up to day, showing hapless victims of burnout manifest an array of symptoms depending on their respective personalities, attitude of people they serve, and organization they work in. Due to its complex nature, identifying causes that trigger burnout is a demanding enterprise. Research on this subject navigated in several directions including demographics, personality traits and organizational variables as the most common causes of teacher burnout (Nagy, & Nagy, 1992). One of the most frequent routes of study is looking at demographic variables including gender, age, years of experience, education, and marital status. Teacher burnout has been reported to be dependent on certain demographic variables such as gender (Burke, & Greenglass, 1989c). Contrary to deeply-rooted opinions that females should be more prone to burnout than males because of their innate caring nature, the results of first empirical studies showed the opposite (Maslach, & Jackson, 1985). In the research carried out so far, gender variable made little difference when it came to levels of burnout, except that men scored higher on depersonalization level (Maslach, & Jackson, 1985; Huston, 1989; Byrne, 1991). Similar findings are reported across other cultures (Bauer, Stamm, Virnich, Wissing, Müller, Wirsching, & Schaarschmidt, 2006; Ozan, 2009; De Caroli, & Sagone, 2012). While gender issue fails to generate any significant difference in burnout level among women and men, age proves the opposite (Maslach, & Jackson, 1981; Byrne, 1991). The results on age and years of experience seem stable throughout nations with young teachers burning out more than older teachers, but some controversy is present here, too. For example, novice teachers in the States scored higher on emotional exhaustion and depersonalization than their older counterparts (Maslach, & Jackson, 1981), and so did beginner teachers in Sweden as opposed to older teachers (Hultell, Melin, & Gustavsson, 2013). The similar findings on emotional exhaustion were consistent only for university teachers in Canada while older teachers at primary levels, namely 40-50 of age difference had higher personal accomplishment than younger teachers (Byrne, 1991). In Italy, older Italian teachers expressed higher value for their students than they did for their freshmen colleagues (De Caroli, & Sagone, 2012). They also showed lower depersonalization than middle aged groups (Huston, 1989). Controversial findings, though, were published in research done by Huston (1989) which revealed a possible explanation for inconsistency of age and burnout correlations.

Education impacts burnout in a sense that more education expects more money and if this is not met than it develops into burnout. On a far end, people who expect less and find more like the ones with less education are more satisfied with their job and correspondingly show less burnout (Maslach, & Jackson, 1985). Teachers with college and postgraduate scored higher on emotional exhaustion than those without college, i.e. those in higher levels of administration reported less burnout indicating presence of specific burnout antecedents based on the academic status of teachers (Burke, & Greenglass, 1989b). Personal preferences in career choice play a role in burnout, as reported by teachers in Cyprus. Those who were free to choose a profession they love experienced less burnout as compared to those who had no other choice (Ozan, 2009). An interesting combination was found between education and health for instance teachers with good health and educational success had lower initial levels of burnout, whereas those who had poor health and experienced strain during their education had higher initial levels of burnout (Hultell et al, 2013). In fact both good mental and physical health are negatively correlated to burnout (Hultell et al, 2013).

The variable of marital status reveals relatively homologous data in relation to burnout. Single and divorced individuals are more emotionally exhausted than married ones, whereas, married couples that do not have children report higher levels of burnout than couples who have (Maslach, & Jackson, 1985). Family responsibilities show no significant difference on burnout levels as predetermined but quite surprisingly marriage and children alleviate levels of burnout, and one of explanations given is that when we get married we change our view on life and this is what diminishes feelings of burnout (Maslach, & Jackson, 1985). Following their empirical study on role of family in burnout, Maslach and Jackson (1985) gave several possible explanations. First, people without offspring are more concerned with personal fulfilment and satisfaction and thus are more prone to recurring disappointment. Second, family is seen as an emotional haven where depleted resources are recharged again and third, family life equips individuals in solving inter-social conflicts. The significance of family role in combating burnout is emphasized by other researchers alike (Bauer et al, 2006) on whose resource list family is one of the strongest tools in fighting off burnout (Braunstein-Bercovitz, 2013). The coping strategies that fight burnout have their share of debate, where certain dimensions of burnout are seen as efforts of coping rather than expressions of symptoms (Burke, & Greenglass, 1989c; Eisenstat, & Felner, 1984). So far, studies on burnout have identified a number of ways to combat this psychological state, proposing a combination of personal empowerment, social support, and reduced workload as preventions, although less workload failed to influence burnout levels (Braunstein-Bercovitz, 2013). Other scholars proposed a dual action of creating a stimulating environment while cutting down on stressors at work (Eisenstat, & Felner, 1984).

Methodology

The research on this paper has been carried out through a correlated survey method and it is based on descriptive method of research. Data are analysed using independent sample t-test (Köklü, Büyüköztürk, Bökeoğlu, 2007; Balcı, 2007; Büyüköztürk, 2010), frequency and percentage method, analysis of variance (ANOVA) and Scheffe Test. Disengagement and exhaustion levels are examined in relation to job burnout levels of teachers teaching in primary and lower secondary schools in Prizren. Second, demographic characteristics of teachers such as gender, age, years of service, type of service, perceived socio-economic level, and marital status are tested to find out if they present a factor for disengagement and exhaustion of job burnout.

Participants

In its initial stage, research was carried out on 531 teachers teaching in primary and lower secondary schools in Prizren during 2013/14 academic year through sampling method from the total of 17468 teachers in Kosova. According to general number designation in order to determine a sample population we took into consideration Gay's (1996) table developed to designate a sample group based on a general number of population.

A careful examination of findings related to a research sample population, shows that from the total of participants, 379 are female (%71,4), 152 are male (%28,6). Out of these 59 participants belong to 26-30 age group (%11,1), 52 participants to 31-35 age group (%9,8), 53 participants to 36-40 age group (%10), 63 participants to 41-45 age group (%11,9), 98 participants to 46-50 age group (%18,5), 72 participants to 51-55 age group (%13,6), 73 participants to 56-60 age group (%13,7) and 61 participants to 60 age group and above (%11,5). From these, 49 (9,2%) participants have 1-5 years of service in teaching, 72 (13,6%) participants have 6-10 years of service in teaching, 67 (12,6%) participants have 11-15 years of service in teaching, 59 (11,1%) participants have 16-20 years of service in teaching, and 284 (53,5%) participants have over 21+ years of service in teaching. According to type of service, 237 (44,6%) participants are primary education teachers, and 294 (55,4%) participants are subject-focused teachers. 54 (10,2%) participants have low socio-economic level, 397 (74,8%) participants have moderate socio-economic level, and 80 (15,1%) participants have high socio-economic level. Out of these 467 (87,9%) participants are married, and 64 (12,1%) participants are single.

Data Collection Instruments

During the research procedure, two types of instruments were used for collecting data. The first one is a personal information form developed by the author and the second one is the Oldenburg Burnout Inventory for measuring burnout. The personal information form has several questions about personal information of participants including gender, age, years of service, type of service, perceived socio-economic level, and marital status. The second data collection instrument is the Oldenburg Burnout Inventory (OLBI) developed in 1998 by Demerouti, Bakker, Nachreiner and Schaufeli as an alternative measurement (Demerouti, Bakker, Nachreiner, & Schaufeli, 2001) to Maslach's MBI. The joint undertaking of Dutch and German authors of OLBI tried to surmount drawbacks of previous instruments and opted for dualism in burnout. The grounds of their argument lie on a JD-R model, a Job Demands-Resources model which suggests that employees who face high demands in their jobs but have run out of available coping resources will develop burnout (Demerouti et al. 2001). After observing that the MBI instrument has a wording issue, namely grouping the same worded items in specific dimensions, this group of researchers in their two-factor model of exhaustion and disengagement used positive and negative worded items interchangeably (Demerouti et al, 2001). Two dimensions of OLBI exhaustion and disengagement encompass wider burnout symptoms, because the dimension of exhaustion is not limited only to emotional fatigue but covers also cognitive, physical, and mental weariness.

Oldenburg Burnout Inventory instrument comprises of sixteen statements which are divided into eight items in disengagement dimension and eight items in exhaustion. For both dimensions, four items are phrased negatively, and four items are phrased positively. This dual model of burnout with exhaustion and withdrawal is accredited as the reliable method for testing job burnout (Demerouti, Bakker, Nachreiner, & Schaufeli, 2001). The reliability coefficients for OLBI is .71 for exhaustion and .73 for disengagement. The OLBI instrument was translated from English into Albanian language by the author.

Findings

In terms of exhaustion and disengagement levels, findings show that 7 % of teachers have low levels of exhaustion, 84.9 % moderate and 8.1 % have high levels of exhaustion. While 10.5 % of teachers have low levels of disengagement, 83.2 % have moderate and 6.3 % have high levels of disengagement.

According to gender variable, disengagement level mean in females is (\bar{x} = 14,36) standard deviation (S = 4,02) and mean in males is (\bar{x} = 15,11) and standard deviation (S = 3,36). While exhaustion level mean in females is (\bar{x} = 16,39) standard deviation (S = 4,12) and mean level in males is (\bar{x} = 16,74) and standard deviation (S = 3,59). In order to determine if there is a significant difference between these scores a t-test was administered and findings for disengagement ($t_{(529)} = -2,02$, $P > 0,05$), and for exhaustion ($t_{(529)} = -0,901$, $P > 0,05$) in terms of gender variable show no significant difference in levels of burnout as shown in table 1.

| Scale | Dimensions | Gender | N | t-test for equality of means | | | | | Levene's Test for equality of variances | |
|-------------|---------------|--------|-----|------------------------------|----------------|-----|--------|-----|-----------------------------------------|-------|
| | | | | Mean | Std. Deviation | df | t | P | F | P |
| Job Burnout | Disengagement | Female | 379 | 14,36 | 4,02 | 529 | -2,02 | 0 | 0,001 | 0,988 |
| | | Male | 152 | 15,11 | 3,36 | | | | | |
| | Exhaustion | Female | 379 | 16,39 | 4,12 | 529 | -0,901 | 0,4 | 0,197 | 0,657 |
| | | Male | 152 | 16,74 | 3,59 | | | | | |

Table 1. Disengagement and exhaustion means according to gender variable

Disengagement and exhaustion levels of participants according to age variable show exhaustion level mean for 26-30 age group teachers (\bar{x} = 16,25) standard deviation (S = 3,01); 31-35 age group teachers (\bar{x} = 16,22) standard deviation (S = 3,22); 36-40 age group teachers (\bar{x} = 16,36) standard deviation (S = 2,48); 41-45 age group teachers (\bar{x} = 16,71) standard deviation (S = 3,23); 46-50 age group teachers (\bar{x} = 16,27) standard deviation (S = 3,68); 51-55 age group teachers (\bar{x} = 16,20) standard deviation (S = 3,23); 56-60 age group teachers (\bar{x} = 16,37) standard deviation (S = 3,07), and exhaustion level mean for 61+ age group teachers (\bar{x} = 17,73) and standard deviation (S = 7,65). While findings for disengagement level mean for 26-30 age group teachers (\bar{x} = 13,98) standard deviation (S = 3,05); 31-35 age group teachers (\bar{x} = 14,98) standard deviation (S = 3,51); 36-40 age group teachers (\bar{x} = 14,20) standard deviation (S = 2,92); 41-45 age group teachers (\bar{x} = 14,57) standard deviation (S = 3,19); 46-50 age group teachers (\bar{x} = 14,48) standard deviation (S = 3,29); 51-55 age group teachers (\bar{x} = 14,37) standard deviation (S = 2,77); 56-60 age group teachers (\bar{x} = 14,78) standard deviation (S = 3,78), and disengagement level mean for 61+ age group (\bar{x} = 15,35) and standard deviation (S = 7,00) as shown in table 2. In order to determine if there is a significant difference between these scores an F-test is administered and findings for disengagement ($F_{(7-523)} = ,776$, $P > 0,05$), and for exhaustion ($F_{(7-523)} = 1,057$, $P > 0,05$) in terms of age variable show no significant difference in levels of burnout as given below in table 3.

| | | N | Mean | Std. Deviation |
|---------------|-----------|-----|-------|----------------|
| Disengagement | 26-30 age | 59 | 13,98 | 3,05 |
| | 31-35 age | 52 | 14,98 | 3,51 |
| | 36-40 age | 53 | 14,20 | 2,92 |
| | 41-46 age | 63 | 14,57 | 3,19 |
| | 46-50 age | 98 | 14,48 | 3,29 |
| | 51-55 age | 72 | 14,37 | 2,77 |
| | 56-60 age | 73 | 14,78 | 3,78 |
| | 61+ | 61 | 15,35 | 7,00 |
| | Total | 531 | 14,58 | 3,86 |
| Exhaustion | 26-30 age | 59 | 16,25 | 3,01 |
| | 31-35 age | 52 | 16,22 | 3,22 |
| | 36-40 age | 53 | 16,36 | 2,48 |
| | 41-45 age | 63 | 16,71 | 3,23 |
| | 46-50 age | 98 | 16,27 | 3,68 |
| | 51-55 age | 72 | 16,20 | 3,23 |
| | 56-60 age | 73 | 16,37 | 3,07 |
| | 61+ | 61 | 17,73 | 7,65 |
| | Total | 531 | 16,50 | 3,98 |

Table 2. Disengagement and exhaustion means according to age variable

| | | Sum of Squares | df | Mean Square | F | Sig. |
|---------------|----------------|----------------|-----|-------------|-------|------|
| Disengagement | Between Groups | 81,03 | 7 | 11,575 | ,776 | ,608 |
| | Within Groups | 7804,88 | 523 | 14,923 | | |
| | Total | 7885,91 | 530 | | | |
| Exhaustion | Between Groups | 116,90 | 7 | 16,700 | 1,057 | ,391 |
| | Within Groups | 8266,32 | 523 | 15,806 | | |
| | Total | 8383,22 | 530 | | | |

Table 3. Disengagement and exhaustion F-test findings according to age variable

Years of service variable findings reveal disengagement level mean for teachers working 1-5 years ($\bar{x} = 14,81$) standard deviation ($S = 2,66$); for teachers working 6-10 years ($\bar{x} = 14,52$) standard deviation ($S = 3,39$); for teachers working 11-15 years ($\bar{x} = 14,02$) standard deviation ($S = 2,70$); for teachers working 16-20 years ($\bar{x} = 14,15$) standard deviation ($S = 3,45$); and teachers with more than 21 years of service ($\bar{x} = 14,77$) standard deviation ($S = 4,41$). While findings show exhaustion level mean for teachers working 1-5 years ($\bar{x} = 16,44$) standard deviation ($S = 2,80$); for teachers working 6-10 years ($\bar{x} = 16,30$) standard deviation ($S = 2,99$); for teachers working 11-15 years ($\bar{x} = 16,02$) standard deviation ($S = 3,02$); for teachers working 16-20 years ($\bar{x} = 16,25$) standard deviation ($S = 3,38$); and teachers with more than 21 years of service ($\bar{x} = 16,71$) standard deviation ($S = 4,62$) as shown in table 4. F-test findings for disengagement ($F_{(4-526)} = ,755, P>0,05$), and for exhaustion ($F_{(4-526)} = ,546, P>0,05$) in terms of years of service variable show no significant difference in levels of burnout as shown in table 5.

| | | N | Mean | Std. Deviation |
|---------------|------------|-----|---------|----------------|
| Disengagement | 1-5 year | 49 | 14,8190 | 2,66676 |
| | 6-10 year | 72 | 14,5245 | 3,39501 |
| | 11-15 year | 67 | 14,0271 | 2,70937 |
| | 16-20 year | 59 | 14,1564 | 3,45054 |
| | 21+ | 284 | 14,7763 | 4,41093 |
| | Total | 531 | 14,5827 | 3,85734 |
| Exhaustion | 1-5 year | 49 | 16,4428 | 2,80454 |
| | 6-10 year | 72 | 16,3032 | 2,99466 |
| | 11-15 year | 67 | 16,0283 | 3,02734 |
| | 16-20 year | 59 | 16,2534 | 3,38499 |
| | 21+ | 284 | 16,7157 | 4,62932 |
| | Total | 531 | 16,4965 | 3,97711 |

Table 4. Disengagement and exhaustion means according to years of service variable

| | | Sum of Squares | df | Mean Square | F | Sig. |
|---------------|----------------|----------------|-----|-------------|------|------|
| Disengagement | Between Groups | 45,028 | 4 | 11,257 | ,755 | ,555 |
| | Within Groups | 7840,884 | 526 | 14,907 | | |
| | Total | 7885,912 | 530 | | | |
| Exhaustion | Between Groups | 34,653 | 4 | 8,663 | ,546 | ,702 |
| | Within Groups | 8348,565 | 526 | 15,872 | | |
| | Total | 8383,218 | 530 | | | |

Table 5. Disengagement and exhaustion F-test findings according to years of service variable

Type of service variable findings show disengagement level mean for primary education teachers ($\bar{x} = 14,4$) standard deviation ($S = 4,51$) and for subject-focused teachers ($\bar{x} = 14,72$) and standard deviation ($S = 3,23$). While findings reveal exhaustion level mean for primary education teachers ($\bar{x} = 16,3$) standard deviation ($S = 4,78$) and for subject-focused teachers ($\bar{x} = 16,65$) and standard deviation ($S = 3,17$). T-test findings for disengagement ($t_{(529)} = -0,96$, $P > 0,05$), and for exhaustion ($t_{(529)} = 0,99$, $P > 0,05$) in terms of type of service variable show no significant difference in levels of burnout as given in table 6.

| Scale | Dimensions | Type of service | N | T-test for Equality of Means | | | | | Levene's Test for Equality of Variances | |
|-------------|---------------|-----------------|-----|------------------------------|----------------|-----|-------|-------|-----------------------------------------|-------|
| | | | | Mean | Std. Deviation | df | t | P | F | P |
| Job Burnout | Disengagement | Primary | 237 | 14,4 | 4,51 | 529 | -0,96 | 0,339 | 0,92 | 0,762 |
| | | Other | 294 | 14,72 | 3,23 | | | | | |

| | | | | | | | | | |
|------------|---------|-----|-------|------|-----|-------|-------|-------|------|
| Exhaustion | Primary | 237 | 16,3 | 4,78 | 529 | -0,99 | 0,321 | 0,596 | 0,44 |
| | Other | 294 | 16,65 | 3,17 | | | | | |

Table 6. Disengagement and exhaustion means according to type of service variable

The perceived socioeconomic level variable shows disengagement level mean for teachers with low socioeconomic level ($\bar{x} = 15,09$) standard deviation ($S = 3,06$), for teachers with moderate socioeconomic level ($\bar{x} = 14,51$) standard deviation ($S = 4,14$), and for teachers with high socioeconomic level ($\bar{x} = 14,61$) and standard deviation ($S = 2,75$). While findings reveal exhaustion level mean for teachers with low socioeconomic level ($\bar{x} = 16,97$) standard deviation ($S = 3,10$), for teachers with moderate socioeconomic level ($\bar{x} = 16,45$) standard deviation ($S = 4,22$), and for teachers with high socioeconomic level ($\bar{x} = 16,43$) and standard deviation ($S = 3,19$) given below in table 7. F-test findings for disengagement ($F_{(2-528)} = ,548, P>0,05$), and for exhaustion ($F_{(2-528)} = ,425, P>0,05$) in terms of socioeconomic level variable show no significant difference in levels of burnout as shown in table 8.

| | | N | Mean | Std. Deviation |
|---------------|----------|-----|-------|----------------|
| Disengagement | Low | 54 | 15,09 | 3,06 |
| | Moderate | 397 | 14,51 | 4,14 |
| | High | 80 | 14,61 | 2,75 |
| | Total | 531 | 14,58 | 3,86 |
| Exhaustion | Low | 54 | 16,97 | 3,10 |
| | Moderate | 397 | 16,45 | 4,22 |
| | High | 80 | 16,43 | 3,19 |
| | Total | 531 | 16,50 | 3,98 |

Table 7. Disengagement and exhaustion means according to perceived socio-economic level variable

| | | Sum of Squares | df | Mean Square | F | Sig. |
|---------------|----------------|----------------|-----|-------------|------|------|
| Disengagement | Between Groups | 16,335 | 2 | 8,168 | ,548 | ,578 |
| | Within Groups | 7869,577 | 528 | 14,905 | | |
| | Total | 7885,912 | 530 | | | |
| Exhaustion | Between Groups | 13,481 | 2 | 6,741 | ,425 | ,654 |
| | Within Groups | 8369,737 | 528 | 15,852 | | |
| | Total | 8383,218 | 530 | | | |

Table 8. Disengagement and exhaustion F-test findings according to perceived socio-economic variable

And the variable of marital status findings show disengagement level mean for married teachers ($\bar{x} = 14,64$) standard deviation ($S = 3,97$) and for single teachers ($\bar{x} = 14,09$) and standard deviation ($S = 2,79$). While findings reveal exhaustion level mean for married teachers ($\bar{x} = 16,54$) standard deviation ($S = 4,11$) and for single teachers ($\bar{x} = 16,12$) and standard deviation ($S = 2,79$). T-test is administered and findings for disengagement ($t_{(529)} = 1,07, P>0,05$), and for exhaustion ($t_{(529)} = 0,79, P>0,05$) in terms of marital status variable show no significant difference in levels of burnout as given in table 9.

| | | | | | |
|-------|------------|----------------|---|------------------------------|-----------------------------------------|
| Scale | Dimensions | Marital status | N | T-test for Equality of Means | Levene's Test for Equality of Variances |
|-------|------------|----------------|---|------------------------------|-----------------------------------------|

| | | | | Mean | Std. Deviation | df | t | P | F | P |
|-------------|---------------|---------|-----|--------|----------------|-----|------|-------|------|-------|
| Job Burnout | Disengagement | Married | 467 | 14,649 | 3,97 | 529 | 1,07 | 0,281 | 1,36 | 0,243 |
| | | Single | 64 | 14,09 | 2,79 | | | | | |
| | Exhaustion | Married | 467 | 16,54 | 4,11 | 529 | 0,79 | 0,431 | 1,44 | 0,23 |
| | | Single | 64 | 16,12 | 2,79 | | | | | |

Table 9. Disengagement and exhaustion means according to marital status variable

Results

Amidst scarce research conducted in Kosova, this is the first research of this kind to be undertaken in this country. Findings gave the following results: teachers teaching in Kosova, respectively in Prizren show moderate levels of disengagement and exhaustion; female teachers show higher levels of exhaustion, but male teachers show both higher levels of disengagement and exhaustion; disengagement and exhaustion levels of teachers increase with age; disengagement and exhaustion levels of teachers change according to their years of service, where especially exhaustion levels correlate to an increase in years of teaching; disengagement and exhaustion levels of subject-focused teachers are higher as compared to primary education teachers; teachers with perceived low socioeconomic level show higher levels of disengagement and exhaustion, and married teachers show higher levels of disengagement and exhaustion as compared to single ones.

Discussion

Presently, teaching system in Kosova is in the process of finding a new identity for itself, in one of the poorest countries in the South-eastern Europe, where 75 % of its labour force is younger than 35 years of age (Ministria e Arsimit, Shkencës dhe Teknologjisë [MASHT], 2011); however, 56.9 % are within an employment age and only 28.7 % of these are employed (MASHT, 2006). According to the government report of Ministry of Education, Science and Technology in Kosova, the country needs to accommodate 20.000 jobs for its nation, annually. This 24.66 % surge of school-age nation requires reforms and strategic planning in order to follow current and future market needs of the country. Consequently, a reliable education system and dependable teaching personnel have significant role in producing a qualified workforce. The understated objective of this research, then, addresses a national need in advancing the quality of teaching (MASHT, 2011) through improving cognitive and psychological abilities of teachers. Indirectly, the study responds to the international need of analysing burnout in cultural and national perspectives (Schaufeli, & Enzmann, 1998), with a heightened focus on conducting research in non-English speaking countries (Rudow, 1999). Therefore the present research on burnout levels of Kosovar teachers endorses the country's current education plan of advancing professional development of teachers. There is a considerable study done on market research but study is scarce in education research, and particularly in the aspect of teaching personnel in the country (author et al, 2012). Because teaching staff is a major contributor to efficient teaching and quality learning, we need to give to it a special care, ensuring both mental and psychological wellbeing of its members.

Teachers teaching in Kosova show moderate levels of disengagement and exhaustion. This finding is in line with other results from around the world. Although percentages change from country to country, burnout has plagued teachers in the States (Maslach, & Jackson, 1985; Huston, 1989), in Canada (Byrne, 1991), in China (Yu, 2005; Zhong, & Ling, 2014), Cyprus (Ozan, 2009), Spain (Cano-Garcia, Padilla-Munoz, & Carrasco-Ortiz, 2005), Germany (Bauer et al, 2006), Italy (De Caroli, & Sagone, 2012), Serbia (Nenadović, Janković, Katanić, Đokić-Pješčić, Malešević, Radulović, Nenadović, & Grbić, 2013), and Sweden (Hultell, Melin, & Gustavsson, 2013). The staggering 90 % of teachers report moderate to high levels of exhaustion and disengagement. The causes of teacher burnout in Kosova are to be found on both personal and social level. On personal level teachers have to balance their personal ideals with individual possibilities. Teachers in Kosova showed commitment to their nation and teaching, by attaining their professional identity during perilous pre-war years (Slinn, 2008). Yet after surviving war, exhaustion followed having to fight for daily living in post war Kosova. Although they loved their profession, this left them with little time for professional development and consequently drove them into challenging situations in classrooms. On social level, teachers personal drives are rarely harmonized with social strive. Social mismatch of these needs and requests are reflected from government officials to school principals, students and parents. Changes

in education have given rise to shifts in power relations between students and teachers. Now students' sayings are valued over teacher's one. Thus, teachers find themselves in an unfamiliar situation, unsure on how to proceed with teaching, because student's newly found boorish freedom is taking a toll on discipline issues, which is the most sensitive issue for teachers. On top of this, there is a high level of national corruption present in every aspect of society including education. The overall lingering expression that there is nothing that can be done to change this position has made teachers join in the general apathy of national dissatisfaction. This has hindered them from taking any sort of action in changing their present situation. Moderate levels of burnout identified in teachers in Kosova might have a direct correlation with poor quality of learning process presently highlighted in the country.

Female teachers show higher levels of exhaustion but male teachers show higher levels of both exhaustion and disengagement. Findings are along the lines with other studies as regards gender issue (Maslach, & Jackson, 1985; Huston, 1989; Byrne, 1991; Ozan, 2009). Although gender variable makes little difference to burnout levels still, women continue to be associated with dimension of exhaustion, and men with that of disengagement. The reasoning that Maslach and Jackson (1985) give regarding this is a socially-rooted belief that women get more emotionally involved with people as compared to men. The similar belief is held also for women in Kosova. In addition, there are additional stereotyping beliefs associated with Kosovar female believing that they are pillars of a family. They are caring mothers who silently endure life difficulties and try to give the best to their children. This female model is transferred to a female teacher, whom Kosovar society sees as second mother to her school children. Kosovar female teacher is expected to express the same caring attitude towards her students as she does towards her children. Naturally, she assumes her role wholeheartedly and tries to do her best. Reasonably, displaying more and more sympathetic attention towards dozens and dozens of students is energy consuming and this leaves female teachers more exhausted, but also more satisfied with their work because of the sisterhood environment they share at school (Burke, & Greenglass, 1989c). The present results are in line with findings where male teachers show higher disengagement and exhaustion levels (Burke, & Greenglass, 1989c; Van Horn, Schaufeli, Greenglass, & Burke, 1997; Zhong, & Ling, 2014). Some of possible explanations again might be found in social beliefs about gender affiliation towards certain jobs. Thus, teaching is primarily populated with females (Burke, & Greenglass, 1989c), as evident in our sample group statistics were 71,4 % of primary and lower secondary school teachers are females. However, the gender balance seems to shift towards males in accordance to level of education, i.e. 73,1 % of novice teachers that attend Faculty of Education are females; however, there are very few female university professors (MASHT, 2011). Consequently, male teachers in primary and lower secondary schools might encounter difficulties in adjusting to a job originally thought to be a female profession. As a result, male coping resources might come in action in form of dealing more with discipline issues (Burke, & Greenglass, 1989c; Van Horn et al, 1997) which corresponds to their gender status, triggering thus more student reaction and less learning effectiveness (Huston, 1989). Extra work in managing discipline in the class and low opinion about themselves might be a possible explanation for high levels of burnout in male teachers (De Caroli, & Sagone, 2012).

Additionally, older teachers show increase in levels of exhaustion and disengagement as compared to younger teachers, the age curve is not straightforward. Findings show an increase of exhaustion levels for teachers in their early 40's and after their 60's, while the disengagement curve fluctuates between early 30's, early 40's, and from late 50's above. Such fluctuation is best explained by Huston (1989), who observed that teachers are susceptible to burnout at any age, predetermined only by actual intensity and time of their disillusionment. Possible causes for such a disappointment of teachers in post-war Kosova should be searched in the country's social policy system concerned with job availability and retirement benefit. Most of graduates end up teaching because of a limited number of available jobs in the market. In fact, in a country where 39.7 % of its population is unemployed, teaching is seen as one of few professions that can secure a stable contract (MASHT, 2006). According to 2004 statistics, presented in the action plan for employment of youth in Kosova published by Ministry of Education, Science and Technology in 2006, out of 28.7 % of its employed nation more than 10 % work in education only. However due to lack of employment opportunities, a teaching job is more a forced-choice option rather than a free-will preference.

As with the age variable, years of service prove to predetermine teacher burnout. Our findings are contrary to findings from elsewhere for instance the States, Canada, Sweden and Italy (Maslach, & Jackson, 1981; Hultell, Melin, & Gustavsson, 2013; Byrne, 1991; De Caroli, & Sagone, 2012) where novice teachers are more burned out than senior teachers. However, our results are in line with Huston's (1989) research which revealed an explanation that burnout can begin at later stages of teaching also, correlating to their disillusionment. For Kosovar teachers possible reasons for their frustration are to be found in the education system of the country. In fact, an aspect that needs to be taken into consideration when analysing the variable of service years is that senior teachers with higher levels of exhaustion belong to a group who have taught in

parallel education system and have experienced war. They have maintained high spirit throughout two decades, seeing independence as a new beginning for the country and its nation. Freedom, however, failed to restore their professional respect, or sustain economic security. For years, these teachers had gone accustomed to teaching with old methodology and out-dated material. However, rapid changes after war in form of innovative teaching strategies, latest technologies, and new economic requirements found them poorly equipped for this market, with obsolete knowledge and abilities that needed to be refreshed and improved (MASHT, 2011). Developing professionally alongside managing teaching in after-war Kosova with large classes, poorly disciplined students, unsupportive administration, weakly equipped schools, disrespectful parents and especially, high levels of corruption prove to be a challenge. Teaching under these circumstances and not seeing any improvement or change for better might be a possible reason for senior teachers to get disillusioned at this stage of their career (Boles, Dean, Ricks, Short, & Wang, 2000). Subsequently, this diminishes teachers' incentive to take moral and ethical action towards professional improvements, which are not accredited by respective authorities, or financially stimulated. Gradually these signs have collected over time in senior teachers who teach more than twenty years, and developed into burnout (Byrne, 1999; Rudow, 1999).

Disengagement and exhaustion levels of subject-focused teachers are higher when compared to primary education teachers. These findings echo the significance of grades teachers teach (Burke, & Greenglass, 1989a; Van Horn et al, 1997; Byrne, 1999). A possible explanation for this is to be found in teacher satisfaction. Primary education teachers who teach young learners get more satisfaction from teaching because children at this age are better learners and more disciplined students than older learners, as observed by Burke and Greenglass (1989a) research which showed that primary school teachers are less burned out despite having more work, or being longer in the profession. Thus, teachers who see results in their teaching, and have higher self-appreciation are less likely to have burnout (De Caroli, & Sagone, 2012).

Teachers with perceived low socioeconomic level show higher levels of exhaustion and disengagement. This variable best reflects teachers' poor situation in Kosova, as relates to their both social and economic status (MASHT, 2006) giving a possible explanation for correlation of burnout with low socioeconomic status, which can be reflected in dual identity of Kosovar teachers. Positive correlation of exhaustion with low socioeconomic situation has its roots in pre-war Kosova, where teachers have long been overworked in trying to subsist by working in other jobs besides teaching. This situation began in 1991 when Serbian authorities who were governing the country then, banished Albanian teachers and closed down Albanian schools. Urged by their need to continue and educate children, Albanian teachers formed a parallel education system throughout Kosova and kept on teaching undercover until 1999 when the war began (Slinn, 2008). For over eight years teachers taught voluntarily, but had to look for an additional paid work in order to support themselves and their families. So, you could easily find physics teachers running computer shops, biology teachers working as taxi-drivers, primary teachers managing a kindergarten, or English teachers working as translators and office assistants. Putting up with a second job, considerably reduced their capacity to develop professionally due to exhaustion and time lost in other undertakings. More than two decades of academic seclusion left teachers professionally impaired. Later on more energy and more time was needed to replenish their resources and teaching skills and despite their earnest desire to improve teaching and offer better education to learners, teachers of post-war Kosova are still unable to keep pace with new trends in their subject-matter, follow constantly changing technology (MASHT, 2006; 2011), and digest the surge of diverse knowledge that students possess. Consequently, feelings of exhaustion, disappointment (Demerouti, Bakker, Nachreiner, & Ebbinghaus, 2002), and low self-efficacy follow amounting to teacher burnout (Fernet, Guay, Sénécal, & Austin, 2012; Hultell, Melin, & Gustavsson, 2013).

At last, married teachers show higher levels of disengagement and exhaustion as compared to single ones. The marriage variable results are contrary to outcomes from other countries, such as the States and Germany, (Maslach, & Jackson, 1985; Bauer et al, 2006; Braunstein-Bercovitz, 2013). Although reasons listed by these researchers such as support from partners and a more stable view that married couples have on life which runs contrary to a state of burnout are valid for Kosovar couples too, results obtained from this study show a slightly different story. One of the explanations might be because the socio-economic situation in the country affects married couples more than singles, where the former with their family and children have more people to feed and cater for. In addition, most of married couples live in a community with in-laws where traditional domestic customs of looking after the house and family have prevailed, leaving little space for couple privacy as a prerequisite for partner support. Although a number of couples that move out from their in-laws is in the increase, still they are outnumbered, and those who decide to move out usually go on rent, which is an additional financial burden on a couples' budget. This constant financial struggle is a temporal impediment to a prospect of teacher development, which leads to burnout (Yu, 2005). Consequently, inability to balance family and teaching demands with

personal coping resources leads to burnout of married teachers (Braunstein-Bercovitz, 2013). In comparison, single teachers seem to benefit from this position, enjoying more liberty in personal development.

The above findings demonstrate both prevalence and complexity of this syndrome throughout nations. Every aspect of burnout as a psychological phenomenon depicts inconsistency in describing, identifying, preventing or treating it. Therefore, its nature asks for similar multidimensional and holistic approach in treatment. Although collection of data through self-reported questionnaires calls for caution in coming forth with explanations, still their self-perceptive aspect renders the relevant data valid to an extent. Future studies should focus on tracking and registering additional information such as, personality factors leading to burnout. More research should follow the route of studying social support and coping strategies of individuals (Burke, & Greenglass, 1993). Longitudinal studies should also be used to track changes in the syndrome in relation to stressors at work, such as change in carrier, or additional job roles at workplace. However, future research should incorporate use of qualitative studies on burnout, which addresses the need for a personal approach to cases of burnout. Because of a limited research data available, the results presented here are of great significance to Kosovar teachers and society and create foundations on which future studies can build new strata of important information and new structures on Kosovar educational database. Identifying and analysing job burnout levels of teachers through this research, we hope to understand better how this syndrome affects teachers in Kosova, and find ways to alleviate it. Although our research addresses primarily a population of teachers, we hope that education stake holders, government officials, national teaching professionals and international educational and psychological experts can also benefit from findings of this study.

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Determinants of Tendency to Deviant Social Identity among Delinquent Youth

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Abstract

Deviant identity has been recognized as one of the main causes of the crime in a large number of the studies. Formation of criminal or deviant identity are affected by different social conditions this study was conducted in order to investigate the factors underlying the deviant identity among the delinquent youth. The research sample consisted of 15-25years old delinquent youth in Yazd city. A survey was used as research method and data were collected using the questionnaires. The results showed that destructive social capital, Anomie and deviance in the family, have a significant relationship with deviant identity.

Keywords: Deviant Identity, Social Capital, Anomie, Family, Crime.

Introduction

The concept of deviant identity has been defined by the researchers in different ways. Some defined it as exiting an ordinary life style (Irwin, 1977; Lofland, 1969; Meisenhelder, 1977; Shover, 1983). Others argued that the deviant people never abandon their former identity and select a new role (Ebaugh, 1988). Labeling perspective considers the deviant identity as a factor that prevents the labeled deviant people enter the society (Sampson & Laub, 1997; Link, 1982; Lemert, 1972; Becker, 1963).

The formation of criminal or deviant identity and having such a self-definition are affected by different social conditions. As Stryker emphasized in theory of identity salience, as much as a person has a salient identity, s/he plays those roles that are related to the functional expectations of their identity. In this way, s/he regards all situations as the opportunities for improvement and implementation of the identity and seek to find (or provide) those opportunities that are relevant for expression of identity (Turner, 2003).

Deviant identity has been addressed in many studies as one of the most important factors of the criminal actions. For example, Walters (2016) in his study concluded that the deviant identity predicts the deviant thinking and delinquency. Deviant identity has a major role in the growth of antisocial personality. This has been considered in other studies, too (Thompson, 2009; Watson, 2007; Matsueda, 1992). A variety of studies has been carried out on the factors related to deviant identity; Fergusson et al. (2007) concluded that relationship with deviant friends and destructive social capital leads to deviant behavior. Boduszek et al. (2012) showed that criminal relationships with close friends and inadequate supervision of parents have a direct effect on social or identity. Rocheleau and Chavez (2014) found that deviant peers strengthen labeling and deviant identity of the people.

One of the fundamental effects of the family can be observed on the identity formation of the children. A number of scholars believe that family factors and deviant family leads to the deviant identity of the children. Shaw et al. (1991) and Simons et al. (1991) regard the lack of affection and poor parenting practices as a factor in creating deviant identity. Vazsonyi and Belliston (2007) in their study showed that family processes have direct and indirect effect on the deviation of the people. The results of the study conducted by Abigatil et al. (2010) indicated that family factors lead to the tendency of children towards crime and deviance. Studies have also been conducted on the anomie and deviation; Zojonc (2013) showed that there is a significant relationship between anomie and deviance and crime. Carter and Carter (2014) concluded that anomie caused a further deviation. Noriega et, al (2014) showed that anomie increases the criminal behaviors.

There are a high number of people who have a criminal record with different repeated social deviations. On the other hand, living and interactions can shape and strengthen this deviant identity. This study followed the question that Which variables are related to the acceptance of deviant identity?

Theoretical Background

The theoretical framework draws from the theory of interaction, differential association and Merton's theory of anomie. Among the different theories that have been raised in explaining the social deviations, symbolic interaction approach mainly focuses on the self and identity and emphasizes that formation of deviant interaction has a bilateral relationship with self and identity; especially since the commission of deviancy and its social outcomes influence on the formation of deviant identity. Last but not least, identity, as a social concept, has been mainly developed in the framework of interaction. Concerning the crime, symbolic interaction theorists believe that individual self-concept as a deviant or law-abiding person is formed through the development of functionality processes and social interactions (Matsueda, 1992; Thornberry, 1987). Once this process is repeated over time, deviant identity and improving the functional commitment and social relations in the network increase (Stryker & Burk, 2000).

One of the views consistent with the views of social identity is the theory of differentiation proposed by Sutherland in relation to social deviations. He believes that deviant behavior, like other social behaviors are learned through companionship and association with others (Sutherland & Cressy, 1966: 170). According to this theory, the greater the individual's relationship with deviant individuals, it can be the basis for strengthening the deviant identity of the people. From this perspective, the formation of deviant identity above all is the result of social interactions with individuals, groups and environments that are involved in criminal behavior and deviation. In these situations, people learn that deviation is a natural and normal part of the individual life and therefore, they try to appeal it for solving their problems. Gradually as the interaction and contact with deviant people increases, individual deviant identity is strengthened, too. Of course, these interactions in contemporary sociology literature can be mainly raised in relation to the concept of "social capital". Hutter and Smith conducted a study on released prisoners and found that social capital is one of the most important factors for re-entering the prison. They stated that having high social capital facilitates accessing to important resources such as jobs and housing that are two important variables to connect the people and society (Hattery & Smith, 2010: 101).

Merton believes that anomie and some forms of abnormal behavior mainly result from separation of the cultural institutional goals of a society and social ways to achieve those objectives. In other words, the gap between goals and legitimate means to achieve them lead to failure in individual and social values (Garfield, 1987: 272). The main assumption of this theory is that market mechanisms and regulations cause anomic stresses. Market strengthens the materialistic views on social relations. When these trends will continue, probably anomie occurs. When the objectives are promoted by cultural support, while the controller normative tools lose continuous effect, conditions for the anomic activities are provided. In an anomic environment, activists are engaged with the results and efficiency of the action, not the legitimacy of tools that helps regulate behavior. Normative control failure likely increases the amount of improper behaviors such as crime and deviance (Messner, S., Rosenfeld, 1997: 936).

According to Sutherland, in fact, destructive social capital leads to a kind of deviant identity; because people try to mimic the deviant behaviors and as this relationship continues, this deviant identity is strengthened. On the other hand, according to the symbolic interaction, family is the most important place where individual functionality is shaped; therefore, any kind of the deviancy in family, lead to deviant behaviors and since these people tend to communicate with deviant groups, the network of their relationships create a destructive social capital.

Also according to Merton, anomic conditions and undermining the normative control, will lead to the deviant behaviors; so, anomic conditions may shape the destructive social capital; so, based on the theoretical framework, research model is outlined as follows:

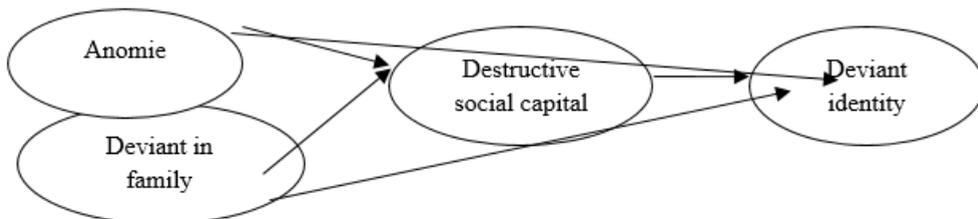


Figure 1: Theoretical model

Methods

Participants and Method

This is an applied research survey. The Statistical population consists of all youth delinquents in the rehabilitation of Yazd City-Iran, of whom 381 were selected using the Cochran formula; statistical samples were obtained using systematic random sampling; a list was prepared and respondents were selected using the sampling ratio.

Scales

Researcher-developed questionnaire was used for data collection. Answers were scored based on the Likert scale. The face validity and reliability of the questionnaire was measured using Cronbach's alpha. The questionnaire had two parts. The first part included demographic and descriptive variables such as gender, age, type of crime and recidivism rate and the second part included the dependent variable (identity deviation) and independent variables (anomie, destructive social capital and deviation in the family).

Table 1. Operational definition and reliability of research variables

| Variable | Items | Cronbach's alpha |
|----------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------|
| Deviant identity | 1. To what extent do you feel comfortable with positive and healthy people? 2. To what extent are you accustomed to the criminal life? 3. To what extent are you proud of being an offender? 4. To what extent do you enjoy relationship with offender friends? 5. To what extent do you know yourself as a professional criminal? 6. To what extent do you sympathize with the other prisoners? 7. To what extent do you help a criminal, if he wants to? 8. To what extent do you get upset, if others recognize you as a criminal? 9. To what extent do you get relaxed by offending? 10. To what extent do you feel you were born an offender? 11. To what extent do you think you are a successful person in wrongdoing? 12. To what extent do you feel intimate with offenders? 13. To what extent do you regret after wrongdoing? 14. To what extent do you think criminals are better people? | 0.82 |
| Deviance in the family | To what extent do these behaviors exist among your family members? : 1. Drug abuse. 2. Alcohol consumption. 3. Fights and clashes at home. 3. Fights and clashes outside the family. 4. Judicial sentence. | 0.80 |
| Destructive social capital | How much do you spend your leisure time with your deviant friends? To what extent do you consult with your deviant friends? To what extent do you have intimate relationships with your deviant friends? To what extent do you talk about your problems with your deviant friends? To what extent do you trust these people? deviant friends prison mates deviant people in your locale | 0.80 |

Results

Out operating time 381 respondents, 84% were men and 16% were women. 62.7% were prisoned once, 17.1 twice, 8.9% three times, 5.2% four times, 2.9% five times and 2.1% were prisoned more than five times. In terms of crime, 67.6% were prisoned for drug, 8.4% for theft, 2.4% for murdering, 3.2% for beatings, 4.9% for financial crimes and 13.5% were prisoned for other crimes.

Table 2. Profiles of respondents

| Variable | Items | Percentage |
|-----------------------|-----------------|------------|
| Gender | Male | 84 |
| | Female | 16 |
| Times of imprisonment | 1 Time | 62.7 |
| | 2 Time | 17.1 |
| | 3 Time | 8.9 |
| | 4 Time | 5.2 |
| | 5 Time | 2.9 |
| | Above of 5 Time | 2.1 |

The results in Table 2 show that the deviant identity has a positive and significant relationship with destructive social capital ($r = .295$; $P < 0.01$). Moreover, there is a significant relationship between anomie and deviant identity ($r = .237$; $P < 0.01$). There is a positive and significant relationship between deviant identity and deviations in the family ($r = .231$; $P < 0.01$).

Table 3. Correlations Matrix

| | 1 | 2 | 3 | 4 |
|-------------------------------|--------|--------|------|---|
| 1. Deviant identity | 1 | | | |
| 2. Destructive social capital | .295** | 1 | | |
| 3. Anomie | .237** | .150** | 1 | |
| 4. Deviant in family | .231** | .157** | .058 | 1 |

Note: **Correlation is significant at the 0.01 level (2-tailed)

Path analysis

Path model was obtained using Amos Software version 22. Fitting indices show that the model has a relative good fitting; Chi Square was 1.28 that is desirable. RMSEA value should backup less than 0.05 that is 0.027 in the proposed model. The values of the components of CFI, NFI, NNFI, IFI, and GFI were 0.99, 0.98, 0.97, 0.99 and 0.99, respectively that shows the good fitting of this model according to the indicators and outputs of the Amos software.

Table 4. Results of Testing the Model by Path Analysis

| Model | χ^2 | p | df | RMSEA | p | GFI | IFI | NNFI | NFI | CFI |
|-------|----------|------|----|-------|------|-----|-----|------|-----|-----|
| 1 | 1.28 | <.01 | 1 | .027 | <.05 | .99 | .99 | .97 | .99 | .99 |

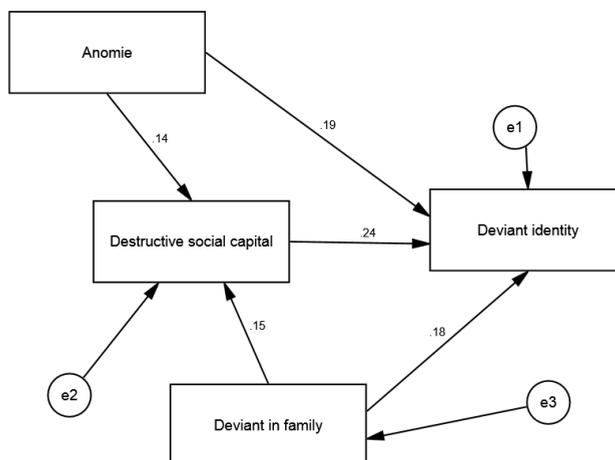


Figure 2: Path Analysis

Figure 1 and Table 2 show the total, direct and indirect effects of the independent variables on deviant identity using regression weights. Results indicate that most general effects are related to destructive social capital (0.239), anomie (0.225) and deviations in the family (0.218). The deviation in family due to the destructive social capital, in addition to direct effects, has an indirect effect on the deviant identity; moreover, the anomie directly affects the destructive social capital and directly and indirectly affects the deviant identity.

Table 5. Direct and Indirect Coefficients

| Variable | Direct Effect | Indirect Effect | Total Effect |
|----------------------------|---------------|-----------------|--------------|
| Destructive social capital | .239** | .000 | .239** |
| Anomie | .191** | .034* | .225** |
| Deviant in family | .183** | .035* | .218** |

Note: **Correlation is significant at the 0.01 level (2-tailed)

*Correlation is significant at the 0.05 level (2-tailed).

Discussion

Deviant identity is one of the basic requisites for entering and repeating social deviances; so, this study was conducted to investigate the factors associated with the deviant identity among the prisoners. The results showed that there is a positive and significant relationship between destructive social capital and deviant identity. This result is consistent with those obtained by Fergusson et al. (2007), Boduszek et al. (2007) and Rocheleau and Chavez (2014). According to Sutherland, differential association with deviant people leads to formation of deviant identity and tendency for committing the crimes. If the individual social capital is affected by deviant people and groups it may lead to deviation and deviant identity. This variable can result in stretching the identity and deviant actions: destructive social capital among the criminals provide a secure network for continuing and repeating the crimes. In fact, having a network of relationships and mutual trust between criminals provides the ground for the reproduction and continuity of the criminal activities. In such a network, people support each other and for deviations, provide the mutual security.

Other results showed that anomie has a positive and significant relationship with deviant identity; this result is consistent with those results obtained by Zojonc (2013), Carter and Carter (2014) and Noriega (2014); all of these studies acknowledged the relationship between anomie and crime and deviations. According to Merton, in an anomic society, people cannot use legitimate means to reach their target; therefore, they tend towards deviancy.

Results also showed that there is a positive and significant relationship between the deviation of family and deviant identity; the results of the studies conducted by Shaw et al. (1991), Simons et al. (1991), Vazsonyi et al. (2007) and Abigail et al. (2010), indicated that family processes and parenting practices have direct and indirect effects on a person's crime. According to the theory of identity in symbolic interaction theory, a person in the family learn one of the core networks of socialization, values and norms, so, if these values and norms are deviant, the it may lead to the deviant identity.

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Memory, Marketing and Economic Performances in Usa Symphony Orchestras and Opera Houses

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Abstract

When resources are scarce at crisis times and when competition is intense with other creative supplies, USA symphony orchestras and opera houses memorize and perform their repertoires (or repertories), so that seasons are crucially bundled between tradition and innovation. Since the beginning of the latest financial and real crisis (2007), USA classical music has seen different levels of funding from the federal government and businesses have encouraged more nonconventional programming (Pompe, Tamburri, 2016; Turbide, Laurin, 2009; Ravanas, 2008; Rushton, 2008; Turrini, 2006; Smith, 2007). On one side, fundraisers have stressed bundles (contemporary music with tradition) to sponsors; on the other side, marketing officers have emphasized the repertoire memory to audiences who constantly love Traviata, Boheme and Don Giovanni with echo of famous regisseurs, scenographers, etc. This is quite the same worldwide (Cancellieri, Turini, 2016). Fundraising and marketing affect economic performances of classical music, also thanks to social media and networks. Consumers have access to information about ticketing, rehearsals, present and past performances, etc. Art organizations strive to manage communication via social media to create brand values. Social media support both fundraising and marketing, as they mediate to sponsors and audiences: values, advocacy, videos and photos of the repertoire and nonconventional programming, which continually increase trustworthy relationships and nurture memories. This paper investigates 200 USA symphony orchestras and opera houses according to repertoires, revenues, expenses and gains in 2008 and 2015. With cluster analysis, three profiles emerge with different strategies, performances and emphasis on memory or innovation.

Keywords: Memory, Marketing and Economic Performances in Usa Symphony Orchestras and Opera Houses

Introduction

When resources are scarce at crisis times and when competition is intense with other creative supplies, repertoire is a very important asset for USA symphony orchestras and opera houses. Since the beginning of the latest financial and real crisis (2007), USA classical music has different levels of funding from the federal government and businesses have encouraged more nonconventional programming (Pompe, Tamburri, 2016; Turbide, Laurin, 2009; Ravanas, 2008; Rushton, 2008; Turrini, 2006; Smith, 2007). While public supports for contemporary performances are substantially weakening, fundraisers of symphony orchestras and opera houses have, as a matter of fact, stressed bundles (contemporary music with tradition) to sponsors, while marketing officers of the same classical music have stressed the repertoire memory to audiences who constantly love Traviata, Boheme and Don Giovanni, Mozart's, Beethoven's and Tchaikovsky's concerts together with the echo of famous interpreters, musicians, singers, directors, set designers, scenographers and other creative 'voices and hands'.

Repertoire is here meant as well-known and constantly-seasoned performances, also remembering famous bundles of star-interpreters, conductors, directors and other creative roles in opera and symphony. Theaters are supposed to balance past and present (Ross, 2017), though experimentation can be difficult to audiences as they have to be educated about it. Above all, today's audiences rarely subscribe. They prefer spot experiences and novelty may be excluded from the spot experience. Their risk aversion for surprise and 'revolution' does result in their looking for repertoire and their being disinclined for subscriptions, which include the past and the present they do not know about.

Audiences prefer standard repertoire (Tamburri, Munn, Pompe, 2015; Pompe, Tamburri, Munn, 2011). Repertoire consists of Beethoven, Mozart, Verdi, Puccini and other few composers, whose music is regularly performed. Repertoire memory also refers to recalling (revivals) of famous and in-house productions, with stars. A fixed assortment of works for the age of compositions and versioning with top musicians and the other creative roles.

The League of American Orchestras and operabase.com collect data on audiences' preferences, engagement (from communities to visitors) and composers, who are constantly present in season. If the League of American orchestras count an audience of more than 20 million in 2015, statista accounts on the number of people who visited symphony concerts and operas within the last 12 months in the United States recorded 14.49 million in spring 2008 and 17.58 million in spring 2015 (<https://www.statista.com/statistics/227502/symphony-concert-opera-etc-visitors-usa> last accessed on the 24th of July 2017). This is an evidence of a growing audience, which can include communities, subscribers (though drastically fallen during the latest financial and real crisis), single donors (increasing during the latest financial and real crisis), who profit by the fringe benefit of a free performance and tourists, who are today paid attention, if it is considered that 25 percent of income derives from services like parking, rentals, presentation activities and other contents of the latest bundle 'plan your own experience' (Guachalla, 2012; Boerner, Moser, Jobst, 2011; Woosnam, McElroy, Van Winkle, 2009). This audience can be well-educated. Nevertheless, this audience's memory relies on some famous composers before or just at the beginning of the twentieth century.

If program decisions are influenced by various factors, repertoire memory has been leading the planning of USA symphony orchestras and opera houses for decades. According to the latest repertoire report of the League in 2013, only 4.1 percent of seasons were contemporary (Ross, 2017). The propensity for standard repertoire has been confirmed since 2008, when the real and financial crisis hit availability of resources, from money to in-kind, together with keen competition with other entertainment, falling donations, subscriptions and international tours. Since 2008 seasons have been, as a matter of fact, enriched thanks to well-managed approaches to edutainment, community engagement, technological innovation like appealing social media, for the attraction of communities and non-communities (tourists). Repertoire has remained a gainful factor, while experimentation and contemporary music are still encouraging new directions in the art and appreciation by sponsors and public administrations (from government to local authorities, looking for native and contemporary music). Repertoire memory does not exclude innovation, if increasing subsidies, government support, competition and education increase experimentation (Cameron, 2016; Ravanas, 2007 and 2008; Borgonovi, 2006; Bennett, 2005).

Audiences do not resist temptation of contemporary music, when they are well-educated. At the same time, they do not resist revival of operas and concerts, which have been absent in seasons for decades. They need education in all hypothesis of repertoire, 'recovered' repertoire (revivals) and innovation. The USA classical music is therefore committed to Education and Community Engagement Programs, they are fully dedicating resources with detailed reports and analysis to. They work with schools and non-schools (health and wellness organizations, senior service providers, organizations focused on racial diversity and inclusion, organizations working to address poverty, homelessness, domestic violence and abuse in their communities, etc.). This trend confirms attention for different audiences, their empowerment and engagement, their being ready for repertoire or native music (for senior audiences) and contemporary or non-classical series (millennials).

As a matter of fact, this duality repertoire/experimentation is strategically nurtured by the duality marketing/fundraising. Marketing is supporting the promotion of standard and non-standard repertoires. Who is gaining the highest earned income, this opera house or symphony orchestra is profiting by a gain in 2015. Repertoire memory is leading revenues at the box office, though fundraising is pivotal for the most gainful organizations.

Marketing and fundraising do not necessarily generate a trade-off or separation of resources and goals (Besana, 2012; Song, Yi, 2011; Borner, Moser, Obst, 2011; Turbide, Laurin, 2009; Borgonovi, 2006; Bussell, Forbes, 2006). For Education and Community Engagement Programs, Marketing Experts are segmenting audiences (Kemp, Poole, 2016; Radbourne, Johanson, Glow, White, 2009; Turbide, Laurin, Lapierre, Morrisette, 2008; Johnson, Garbarino, 2001), while Fundraisers (of the same classical music) are targeting grant-makers like community and family foundations for their advocacy to local communities empowerment and sensibility for these programs, to be funded.

Marketing and fundraising can differently affect economic performances of the USA classical music (Voss, Voss, Yair, Lega, 2016; Bussell, Forbes, 2006; Bennett, 2005). On the one hand, these strategies can have different objectives but complimentary financial results, on the other hand, thanks to social media and networks, consumers have access to information about ticketing, giving options and their benefits, rehearsals, live and past performances, downloads, etc. Social

media support both fundraising and marketing, as they mediate to sponsors and audiences: values, advocacy, videos and photos of the repertoires and nonconventional programming, which continually increase trustworthy relationships and nurture memories. Strategies can be offline and online developed with common goals, with different impacts on revenue diversification and gains of the USA classical music (Kemp, Poole, 2016; Jeannotte, Duxbury, 2015; Pierotti, Risaliti, Cestari, 2014; Hong, 2014). The ultimate goal, marketing officers and fundraisers join their efforts for, refers to an entertaining and educating creative supply of repertoire and non-repertoire, increase and diversification of audiences and stakeholders, financial soundness.

This paper investigates 200 symphony orchestras and opera houses according to their repertoires, revenues, expenses and gains (or losses) in 2008 and 2015. Thanks to cluster analysis, three profiles will emerge with different strategies, performances, emphasis on memory or innovation and social media. Contributions are the prevailing revenue source and the Fundraiser profile shows the highest gain both in 2008 and 2015. Marketing affects program service revenues, 43 percent for the most crowded cluster in 2008 and 39 percent for 31 organizations with a gain of 1.33 percent in 2015. In these clusters with the highest percentage of program service revenue, repertoire is a leading asset, both for community engagement and any other visitors.

Fundraising and marketing of the USA classical music: social media *si può?* More than a prologo!

As above-mentioned, fundraising and marketing are essential in the USA classical music. Strategic scenario has changed considerably over the last decade. After draft and encouraging experimentation, technology, the Internet and the WEB 2.0 have really reshaped the way audiences and organizations interact, communicate and join for the common goal of the survival of music. The USA classical music is more than in a *prologo*-phase. Digital communication has granted new opportunities and challenges both for organizations and their stakeholders for more than a decade (Lewicki, 2016; Kornum, Mülbacher, 2013; Liang, Turban, 2011; Neslin, Shakar, 2009). For-profit and not-for-profit organizations, cultural and creative organizations, they are all profiting by the digital society and the classical music 'hits high notes' with targets as regards both marketing and fundraising.

On the one hand, thanks to social media and social networks, stakeholders have access to large amount of information about organizations and the creative supply, they can be educated about. On the other hand, symphony orchestras and opera houses strive to manage marketing and fundraising via social media to create customer and brand value. Social media, as internet-based application Web 2.0, allows the creation and exchange of User Generated Content (Kaplan, Haenlein, 2010) that are leading a transformation in the management of relationships with customers (Moretti, Tuan, 2014; Kietzmann et al., 2011): contents are not simply delivered to audiences and friends, but they are also discussed, further promoted to new audiences, ranked in comparison with benchmark initiatives (education and community programs), so that they gain new willingness-to-pay and new willingness-to-donate.

Orchestras and opera houses, in order to grasp the attention of customers, friends and boost online B2C sales/donations, they are investing in social media marketing. Social media marketing strategies are designed to offer customer new experiences, and to enhance customer participation and engagement (Corbitt, Thanasankit, Yi, 2003; Brodie et al., 2011; Huang, Benyoucef, 2013; Ceruti, Mazzucchelli, Di Gregorio, 2015). Especially, when experiences can be enhanced with music, videos, downloads, recordings, virtual participation to rehearsals and primas, very next to the stage, offline and online: memory of sounds, voices, music is here playing a key-role and 'repertoire memorabilia' are leading contents in social networks.

Social media marketing strategies allows organizations to *hear and talk with* prospects and customers, to develop and deepen the relationship with all stakeholders. Marketers are aware that social media marketing can bring organizations near customers, and doing so, generate knowledge and brand values that help to increase revenues, decrease costs and improve efficiency: a content, when it is engraved and recalled on memories (repertoire, above all), it is granting advocacy, willingness and trustworthiness. Consequently, organizations can achieve a greater economic value (Michaelidou et al., 2011; Huang & Benyoucef, 2013).

As can be understood, social media marketing implies a new way to manage relationships with stakeholders, from audiences to donors, sponsors and grant-makers, and, according to Moretti and Tuan (2014), it can be considered as an evolution of Relationship Marketing concept and practice (Vivek et al., 2012). In s-commerce, customers, audiences and philanthropists have to be engaged more and more via appealing, social, and interactive ways in order to build trust, that is a crucial factor in the success of a life-long relation. Trust leads to relationship commitment that is really important in the social media environment, where normally online communities generate conversations and relationships, which are no

longer monitored by companies (Mangold, Faulds, 2009; Kim, Park, 2013). For art organizations, online communities are an opportunity to find volunteers, too. In addition, these interactions can affect the very next marketing (Pastore, 2009; Sashi, 2012), making customers to become co-producers and co-creators of the value of the organizations, and finally promoters. Trustworthy and co-creative relations can evolve in friendships and marketing can be complimentary with fundraising, in order to exploit both willingness-to-pay and the willingness-to-donate

To successfully exploit the potential of social media, organizations need to facilitate collaborative experiences and dialogue, to become part of the conversation and design experiences that deliver tangible value in return for customers' time, attention, endorsement and data (Baird, Parasnis, 2011). Revival of past performances and repertoire can enhance relations. Furthermore, they can integrate the experience with other customer-facing initiatives. Maestros, orchestras and singers' engagement become essential to personalize relationships and cultivate customers' tastes, emotions and advocacy.

Social media marketing managers must strengthen social experiences with time-sensitive offers or discounts that motivate customers to act (Naadem, 2012), and incentives for people to share content with friends to capitalize on the viral benefits a network offers. Regarding social media platforms, Facebook and Twitter are the top choices. But as marketers gain experience with all senses, feelings and skills their arts can affect, their marketing efforts seem to expand across all major social platforms such as Google+, YouTube, linkedin, Pinterest and Instagram. Social media are useful to facilitate prospect and customer transition from the social platform to the organization website and viceversa, and they participate in all stages before and after product or service purchase, before and after donation, before and after experience as a musical tourist, too.

Concluding, in the above depicted scenario, marketers and fundraisers have great opportunities to boost online business, advocacy and willingness-to-pay and to-donate integrating social networks and e-commerce platforms. On the one hand, social media marketing conveys also promotional messages, transforming social media in effective and powerful advertising channels, able to engage, motivate and convince users to seek and share information about products or services, including those relating to their online purchases. Merchandising can be shopped on the main website, after advertising in social networks: this merchandising can concern specific performances. Nevertheless, repertoire and revivals of famous and past performances, they are successfully printed on several gadgets and they are regularly downloaded as trailers, memorabilia and edutainment.

On the other hand, social media marketing is able to solve one of the most important problems which are connected to e-commerce research phase, when user tends to get lost, bored, and often does not finalize the purchase. E-commerce must be an environment, where everything user needs can be found easily. Social media could be the solution transforming e-commerce in *social commerce* (Stelzner, 2015; Xu, Forman, Kim, Van Ittersum, 2014; Zhou, Zhang, Zimmermann, 2013; Rigby, 2011). Prospect and customers can use the social media platforms on which they spend most of the time to go through all the steps before and after the purchase without never get out of there.

As above depicted, the relationship between social media and classical music is close and full of interesting and engaging ideas, opportunities and promising scenarios. E-commerce, s-commerce and above all, relations can grow with positive impacts on economic performances.

Research Method

Methodology

In order to investigate economic performances, 990 forms from the fiscal years 2008 and 2015 are here analyzed with the Internal Revenue Service (IRS), categories 'A69-Symphony Orchestra' and 'A6A-Opera': 100 organizations for each category, from the highest to the lowest total income. These reports can be downloaded from the Guidestar website www.guidestar.org and the main websites of the organizations themselves. The Guidestar website contains 990 forms from nonprofits, such as detailed statements of revenues and expenses and financial statements. The sample adds up to 200 organizations, whose 990 forms were downloadable at www.guidestar.org or at their own websites at the end of 2016.

As reported in the 990 form glossary revenues of a nonprofit organization in the USA may include: Direct public support: contributions, gifts, grants and bequests received directly from the public. It refers to amounts received from individuals, trusts, corporations, estates, foundations, public charities or raised by an outside professional fundraiser; Government contributions or grants: payments from the Government to a nonprofit organization to further the organization's public

programs. Direct public support, Government contributions and grants are summed so that the whole extent of Contributions can be estimated. The other revenue categories are Program service revenues: fees and other monies received by an organization for services rendered.

If contributions and program service revenues constitute more than 90% of the sample, ancillary revenues derive from Investment income and other revenues. Revenue diversification will be here analyzed as concerns main categories: Contributions with the target of willingness-to-donate and Program Service Revenue with the target of willingness-to-pay. The weight of investment gain and other revenue will also be counted, as it was previously considered that 25 percent of earned income can derive from services like parking, special events (with orchestras, the conductor or/and singers), tours (though diminishing internationally) ... so that the USA classical music target different segments, tourists included.

Expense categories include: Program Service Expense related to marketing and production of the core business; Fundraising expense and Management and general expense, a miscellaneous cost that is not related to the previous accounting lines. According to IRS standards, if the fundraising expense must be separately reported, the marketing or advertising expense can be included in the other expenses. The personnel expense will also be calculated here, in order to appreciate the magnitude of the internal labour intensity of employees (administrative and creative) and their engagement in repertoire and non-repertoire.

Next to the analysis of revenue and expense categories, the (Net) Gain or Loss of the year as the difference – positive or negative – between revenues and costs, it is also here analyzed.

Economic analysis is here connected with the season details for repertoire and non-repertoire. These contents and data can be found in mission statements, annexes of 990Forms, websites, conferences highlights and reports of networks of the USA classical music (orchestra 'facts' of the League of American Orchestras and statistics of www.operabase.com).

First of all, accounting data are entered into Excel and indexed to total revenues – for revenue categories – and total expenses – for expense categories -. Gain or loss is also included in the analysis, indexed to total revenues.

Secondly, these ratios are clustered, in order to obtain meaningful groups with relevant and separating features in 2008 and 2015.

Cluster analysis is the process of dividing a set of observations into a number of groups. In particular, K-means clustering is an iterative follow-the-leader strategy. First, the number of clusters, k, must be specified. Then a search algorithm finds k points in the data, called seeds, that are not close to each other. Each seed is then treated as a cluster center. The routine goes through the points (rows) and assigns each point to the cluster it is closest to. For each cluster, a new cluster center is formed as the means (centroid) of the points currently in the cluster. This process continues with an alternation between assigning points to clusters and recalculating cluster centers until the clusters become stable. Cluster means show the average performances of significant groups.

After having detected significant and the most crowded clusters as concerns economic performances, the content check of repertoire, the most supplied composers and operatic towns in USA, they are all considered in order to connect financial viability with repertoire and non-repertoire. The link is the profiling for prevailing strategies and revenues: if marketing is positively affecting program service revenue, repertoire is supposed to be one main goal of marketing with maximization of the program service revenue; if fundraising is positively affecting revenues, repertoire can be next to experimentation which is supported by courageous and non-cyclic public and private supports and contributions, as a consequence, prevail.

Findings. *Ed al vero ispiravasi...*

Apart of outliers and small clusters, the k-means analysis of 2008's data gives evidence of three clusters. The most crowded one shows the highest percentage of program service revenue, 43.26 percent. Table 1 shows percentages of revenue diversification, costs and gains for three most crowded clusters.

Table 1. 2008's average performances of the USA classical music between repertoire and nonrepertoire (percentages)

| | | |
|------------------------------------------------------------|-------------------------------------------------------------------------------------|--------------------------------|
| Number of organizations in clusters | | |
| Labels | | |
| 60 organizations The Marketing Expert for Repertoire | 51 organizations The Fundraiser with the highest gain for Repertoire and Non- | 44 organizations Fundraiser |

| | | Repertoire | |
|-----------------------------------------------|-------|------------|-------|
| Contributions/Total Revenues | 47.01 | 69.43 | 55.68 |
| Program Service Revenue/Total Revenues | 43.26 | 25.19 | 35.80 |
| Investment Gain or Loss/Total Revenues | 4.24 | 3.97 | 2.01 |
| Other Revenue/Total Revenues | 5.48 | 1.39 | 5.49 |
| Program Service Expense/Total Expenses | 82.95 | 74.75 | 64.70 |
| Management and general Expense/Total Expenses | 11.85 | 17.21 | 28.97 |
| Fundraising Expense/Total Expenses | 5.19 | 8.02 | 6.31 |
| Gain or Loss/Total Revenues | -1.04 | 12.07 | 1.06 |
| Personnel Expense/Total Expenses | 45.81 | 48.55 | 42.69 |

Source: elaboration with JUMP Software

Contributions are the prevailing revenue for all clusters. The program service revenue is high when repertoire is emphasized by marketing, with the highest sum of program service and management (and general) expenses. The strategy mix does not exclude common goals. For the most crowded cluster with 60 organizations, 10 percent of revenues are investment income and other earnings, too. For all clusters, for more than 40 percent of costs, the personnel expense gives evidence of the effort, in order to provide excellence in production (repertoire, revival of past repertoires, contemporary productions, etc.) and proficiency in marketing and fundraising.

With Metropolitan Opera, the Carnegie Hall, Chicago organizations like Symphony Orchestra, Sinfonietta, Opera Theatre, Lyric Opera, Houston Symphony Society, Pocket Opera in San Francisco, Lyric Opera San Diego, New Mexico Symphony Orchestra, Opera Company of Philadelphia, Saint Louis Symphony Orchestra, San Diego Symphony Orchestra, Boston Youth Symphony Orchestra, etc., the Marketing Expert for Repertoire, shows the highest Program service revenue, other revenue, program service expense, the second highest personnel expense, the lowest fundraising expense and a very modest loss of 1.04 percent, on average. Repertoire is here constantly present for the appreciation of national and international audiences in tourist attractions like New York, Philadelphia, Boston, Saint Louis, etc. Verdi, Mozart and Puccini dominate listings of operabase.com for above-mentioned cities, which are the most operatic ones in the USA: New York in the first place, followed by San Francisco, Chicago, Houston, etc. At a very early beginning, social media and networks supply music and theatrical contents, promotion details for communities and tourists, so that they inspire advocacy and they support marketing of the USA classical music. This confirms results of the audience demographic review of the League of American Orchestras of December 2009 (LAO, Audience Demographic Research Review, December 10th): classical music audiences are adopting digital more rapidly than the overall USA population and marketing directors are suggested to consider how much internet, blogs, downloads and chats are becoming where, how and what of music consumption. Marketing officers seek to better understand digital communities, as they are relatively new in 2008. As a consequence, they enter these communities and monitor comments and feedback.

With 51 organizations, the Fundraiser with the highest gain for repertoire and non-repertoire is affected by the highest contributions, the highest fundraising expense, the highest gain and the lowest program service revenue. Fundraising is connecting this classical music to grant-making foundations, sponsors, donors, local government and other stakeholders, who can deliver grants for community programs. Marketing goals are never separated from fundraising ones. Grants support marketing goals, too. Cincinnati Opera, Dallas (the 16th operatic city) Opera, Delaware Symphony, Kansas City Symphony and Lyric Opera, Los Angeles (the 7th operatic city) Opera, Nashville Symphony and Opera, San Francisco (the second operatic city) Opera, Santa Barbara Symphony, Seattle Opera (the 11th operatic city) are in this cluster included. Social media are here engaging multiple audiences. In 2008, social media and networks represent an opportunity for storytelling of local projects with foundations, local governments and other stakeholders, too.

With 44 organizations, the Fundraiser is an intermediate profile between the previous clusters. This cluster includes Atlanta Opera, Baltimore Opera Company, Boston Lyric Opera, California Symphony, El Paso Symphony, Jacksonville Symphony, New Orleans Opera, Portland Maine Symphony, Portland Opera and other organizations whose connections with local communities, governments, sponsors are well-nurtured thanks to social media, where intermediate and final results of projects are meant for emphasis and benchmarking.

In 2015, after the crisis, fundraising is the leading strategy. Program service revenue are not more than 40 percent of revenues. Contributions are more than 50 percent for three significant and most crowded clusters in Table 2.

Table 2. 2015's average performances of the USA classical music between repertoire and nonrepertoire (percentages)

| | Number of organizations in clusters | | |
|-----------------------------------------------|-------------------------------------------|---------------------------------------------------------------------------------------------------|----------------------------------------------------------------|
| | <i>Labels</i> | | |
| | 68 organizations <i>The Fundraiser</i> | 52 organizations <i>The Fundraiser with the highest gain for Repertoire and Non-Repertoire</i> | 31 organizations <i>The Marketing Expert for Repertoire</i> |
| Contributions/Total Revenues | 56.34 | 64.56 | 54.95 |
| Program Service Revenue/Total Revenues | 36.43 | 23.82 | 39.86 |
| Investment Gain or Loss/Total Revenues | 2.08 | 10.38 | 0.78 |
| Other Revenue/Total Revenues | 5.13 | 1.22 | 4.39 |
| Program Service Expense/Total Expenses | 74.78 | 80.03 | 74.83 |
| Management and general Expense/Total Expenses | 17.45 | 12.74 | 23.95 |
| Fundraising Expense/Total Expenses | 7.75 | 7.22 | 1.20 |
| Gain or Loss/Total Revenues | 0.16 | 14.43 | 1.33 |
| Personnel Expense/Total Expenses | 49.38 | 45.52 | 44.88 |

Source: elaboration with JUMP Software

The fundraiser profile is prevailing with a fundraising expense for more than 7 percent for two clusters. The Marketing Expert, with the highest program service revenue of (only) 39.86 percent, the highest sum of program service and management (and general) expenses, the lowest fundraising expense and the second highest gain of the compared clusters, includes 31 organizations. This cluster is not more the most crowded one as it was for 2008's data. The personnel expense still shows the in-supplied creativity for the whole sample. If social media were in start-up in 2008, their use evolved and mature in 2015.

In the Marketing Expert cluster (31 organizations), the Carnegie Hall can still be found. Apart of this organization, no other opera house and symphony orchestra of this cluster is in the most operatic cities in the USA. Repertoire is here meant to support communities around the classics, the native music and the tradition, they have grown up for the cultural dialogue with (African American, Hispanic Latino, Asian American, American Indian, ...). At the same time, some mid- and small-sized organizations of this cluster may show 'more freedom to experiment, since audiences are less likely to associate them with tradition and propensity for classics' (Ross, 2017; Yi, 2010; Poon, Lai, 2008). Fundraising is indispensable for more than 50 percent of revenues.

In the Fundraiser with the highest gain (52 organizations), we can find New York, Chicago, San Francisco, Houston and Los Angeles (the most operatic cities in 2015) symphony orchestras and opera houses, whose fundraising is supported not only by the story-telling of social media but also the discussion thanks to social networks of reports, redemption of economic and social performances in local communities, partnerships with foundations and sponsors, special fundraising events. The highest gain of the sample can nurture seasons with repertoire and non-repertoire.

In the most crowded cluster (68 organizations), the Metropolitan Opera is included. Organizations are in big and operatic cities like Boston, San Francisco, Houston, Saint Louis, Milwaukee, Seattle and Boston according to operabase.com. Fundraising is here meant as key-strategy. Program service revenue is still more than 36 percent of all revenues. Social media both support discussions, suggestions, dialogues with musicians, singers, conductors, regisseurs, etc. and tell about partnerships, special programs for communities, quarters, citizens and not-citizens.

In comparison with 2008, fundraising became a must in 2015. Marketing can generate revenues, repertoire can be an asset. Nevertheless, ticketing is not solving for the financial soundness of these organizations.

Results and Discussion

Audiences love repertoire. Nevertheless, paying audiences are not more sufficient for financial soundness of USA symphony orchestras and opera houses (2015). Fundraising has helped the USA classical music out of the crisis and it is today generating revenues more than marketing. Both for the cluster analysis in 2008 and in 2015 (for *Fundraisers with the highest gain*), when program service revenues are the fewest ones and contributions are the highest ones of the sample, profits are the highest ones, too. The highest program service revenue is combined with the second highest gain in 2015.

Repertoire plays a key-role for recalling of masterpieces, well-known compositions and revivals, which are appreciated by audiences. Marketing officers are fully aware that repertoire memory must be constantly paid attention. At the same time, grant-makers and sponsors are fully aware that they are vital for the survival of tradition and experimentation. Balance between the past and the present would not be possible, if contributions were not available. Marketing officers play in teams with fundraisers, in order to maximize program service revenues and contributions of the USA classical music. The duality marketing/fundraising can be given evidence with separate profiles according to economic performances both in 2008 and 2015, but this duality must not be magnified.

Social media can support these organizations both for fundraising and marketing goals, though experimentation might be more communicated than in the past. This might be, in order to educate audiences, visitors and any other stakeholders to new tastes. Past and new tastes can generate increasing program service revenues, which could return to 2008's percentages, for more than 40 percent.

Some mission statements (in summary on the first page of 990 forms) of the organizations in the most crowded 2015's cluster can give evidence to this multiple attention and commitment for different audiences and contents, the community issue, the classical series and experimentation: ... *to encourage musical excellence in a professional and supportive environment by providing the highest quality orchestra training and performance opportunities... and making its programs accessible to undeserved communities through financial assistance* (Boston Youth Symphony); ... *the Buffalo Philharmonic Orchestra Society produce symphonic music fro the cultural benefit of the Buffalo, New York area, including artistic education programs for area youth; ... production of symphony performances for the benefit of the local community* (Cheyenne Symphony); ... *the New Mexico Philharmonic is committed to inspiring audiences of all ages and backgrounds through its artistic excellence, innovative programming and education and community engagement; the mission of Pensacola Opera is to enrich the culture of northwest Florida by producing professional opera performances, educational programs and other opera-related community events for people of all ages, interest and backgrounds; the mission of San Diego Opera is to deliver exceptional vocal performances and exciting, accessible programs to diverse audiences, focusing on community engagement and the transformative power of live performances; the mission of the St Louis Symphony is to enrich people' lives through the power of music; the Seattle Youth Symphony Orchestra provides life changing musical experiences for talented students in the Pacific Northwest, regardless of their financial resources. SYSO students develop their relationship to great music, expand their capacity to self-discipline and focus, learn the value of community and teamwork, and continuously acquire new musical skills with professional artist teachers. SYSO's goal is to transform students' lives by positively shaping the artistic, social, emotional and intellectual development of young people. We will be recognized as a leader in classical music education locally and nationally. Our programs and performance will be celebrated for their innovation and excellence. We will be a model of financial sustainability and we will enjoy generous, committed and broad-based community support. ...*

Conclusion

For more than two decades, community engagement with multiculturalism, digital revolution with information overload, audiences' preferences and segmentation, public and private philanthropy have been evolving in the strategic scenario of the USA classical music. Today marketing and fundraising of USA symphony orchestras and opera houses, they both include diversified tactics and strategies: audiences and philanthropists are investigated as for their willingness-to-pay and willingness-to-donate and they are paid attention for their tastes, feelings, visions and engagement. While tourists can represent the frontier of their flexible pricing, social media are levers of all their audiences and stakeholders and they can invite and 'consolidate' younger audiences with flexible subscriptions in comparison with 2008, when the median age of a classical music concertgoer was 49. Economic performances, financial viability and robustness follow, as a consequence and the here investigated sample shows that fundraising is the leading strategy.

As a matter of fact, apart of a price strategy that implies discrimination for segmented audiences and a prevailing taste for repertoire, symphony orchestras and opera houses innovate their communication thanks to social media and these

networks may be the very next frontier to educate for nonrepertoire and experimentation, in order to increase the creative bundle and packaging, they regularly supply and they innovate.

The duality marketing/fundraising cannot be thought as a trade-off. Fundraising is supplying resources for both repertoire and nonrepertoire. For spot visitors and for communities, fundraising and marketing are separate in literature and they can give evidence of separate performances as it is in this investigation. Both of them, they work for the same goal.

Considering the period 2008-2015, it can be confirmed that fundraising is evolving with a much more impressive and economic weight than in the past. Nevertheless, as revenue diversification can be more successful than focus on one type of revenue and it is complementary with business diversification, repertoire and nonrepertoire can balance with balancing different marketing and fundraising efforts. Marketing and fundraising do not have, otherwise, to assault newcomers, who often suffer for poor parking and difficulties for tickets change (Rosen 2017). Marketing and fundraising should inspire a gentle mixing with sense and sensibility towards audiences and stakeholders who are targeted with multiple and creative contents.

Revenue management implies the key-consideration fundraising performances can support or compensate marketing ones, especially when marketing suffers of losing subscriptions and increase of spot-sales. Focus on several and multiple stakeholders is the next frontier, where social media can lead the USA classical music.

Research limitations refer to boundaries and small dimension of the sample, which concerns orchestras and opera houses in very different cities in North America: some of them are very big, operatic and tourism destinations, some of them may not be considered as main attractions for leisure tourists. The duality marketing/fundraising can stress economic performances and profile poles. Nevertheless it is the mixing, which must be paid focus on in order to investigate both economic and social impacts. At the same time, the international financial and real crisis was dramatic for USA performing arts both on the demand and the supply side, so that average performances of clusters could be partially compromised by the bias of the general lack of resources for the investigated period (2008-2015).

Managerial implications include that orchestra and opera managers should intensify their focus, much more today than in the past, on new audiences like millennials, tourists, natives and 'social groupings' according to the evidence of social media on the marketing side and international friends, foundations and sponsors with different propensities for supporting repertoire and nonrepertoire on the fundraising side. Today, much more than in the past, the USA classical music should be committed to Education and Community Engagement Programs with dedication of resources, monitoring, analysis and redemption with detailed reports and focus on benchmarks. Above all, managers should continually balance propensities for both past and present music, offline and online marketing and fundraising with a high-lighted focus on the added value of dialogue and participation to creativity.

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The EU: Big on Big Things and Smaller on Smaller Things¹

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Abstract

Welfare regime is composed of the social and economic policies that are adopted to protect and promote the economic and social well-being of its citizens. While neoliberal principles extend through globalization, welfare regimes have been suffering from this process since policies are developed with the emphasis on individual empowerment rather than collectively shared welfare. While spending a great deal of efforts not to lose its competitiveness, the European Union tries to create an alternative for the structure of its social policies. However, this attempt remains highly vulnerable due to the impact of capitalist economic system on development of EU social policy/model since the beginning of the EU integration process. This article analyzes the roots of underdeveloped social policy in EU history at three stages: explanation of underdevelopment of social Europe from several theoretical paradigms; examination of deep-rooted problems of European social policy within the dynamics of European integration; elaboration of EU modernization process; and clarification of this deficiency with the example of European Social Model deemed as a politically constructed project.

Keywords: Social policy, Welfare regime, European integration, Modernization, Empowerment of Individuals, Activation.

Introduction

Within the severe capitalism, welfare state has evolved into a mix of social and economic policies in order to tame pure market capitalism and to decrease or lighten its possible inhuman effects on the 'social citizens' - if still exist any in today's capitalist world. In the same direction, Jacques Delors introduced for EU member states the 'European Social Model' in the mid-1980s as an alternative to the American form of the severe capitalism (Jepsen, Pascual, 2005). The EU has been comparatively seen as a unique example of political and economic body that manages its economic growth by increasing social justice and equity in today's competitive world. However, even if EU, as a union, struggles for creating an alternative and for maintaining social justice in its societies, the ideology behind capitalist economic system has a great impact on development of EU social policy/model. This article tries to respond the question of '*How the roots of underdeveloped social policy at EU level can be explained?*' The analysis goes through three stages. First of all, how different scholars reflecting different theoretical paradigms explain the reasons of underdevelopment of social Europe is briefly discussed. In this part, arguments are built on multidimensional explanations of David Bailey. Deep-rooted problems of European social policy are scrutinized at the second stage by examining in detail the dynamics of European integration through its judicial power: European Court of Justice (ECJ). The leading explanations of Richard Münch shed a light on this part of research to understand the formation of market based citizen point of view at European level. Finally, European Social Model, assumed as a politically constructed project, is reviewed as an example to identify how the logic behind development of social Europe: the mechanisms of activation and flexibility and therefore instruments of employability and flexicurity are settled in the EU discourse.

During the recent times of crisis in the EU, the underdeveloped social policy is being reflected in several speeches of EU leaders. Former President of EU Commission Barroso, in his State of the Union address, on 11th September 2013 at European Parliament, questioned:

¹ One of the most important case supporting this argument is: Case C-438/05 of European Court of Justice: International Transport Workers' Federation and Finnish Seamen's Union v Viking Line ABP and OÜ Viking Line Eesti, judgment of 11 December 2007.

"Do we want to improve Europe, or give it up? My answer is clear. Engage! If you don't like Europe as it is. Improve it! As any human endeavor, the EU is not perfect. Controversies about the division of labor between the national and European levels will never be conclusively ended. Not everything needs a solution at European level. Europe must focus on where it can add most value. It does not have to meddle where this is not the case. **The EU needs to be big on big things and smaller on smaller things**' (Barraso, 2013, September 11).

This part of the speech of former President of EU Commission may have several implications for different EU scholars. But from the social policy perspective, it reflects several indications of historically constructed obstacles to Social Europe. The basic question here is whether the values of social solidarity and collectively shared welfare are bigger or smaller things.

'Solidarity' comes with the social market capitalism of Europe and is widely considered as an essential aspect of European integration (Gerrits, n.d.). However, even if this understanding of solidarity highlighting *social market* is expected to sustain collectively shared welfare, it is underlined several times in leaders' speech of EU as a cement for *economic union*. The subordination of socialness to the primacy of economics is becoming more obvious. For instance, President of EU Commission, Jean Claude Juncker, in his annual State of the European Union Speech on 14th September 2016 stated:

"Solidarity is the glue that keeps our Union together. The word solidarity appears 16 times in the Treaties which all our Member States agreed and ratified... Our European budget is living proof of financial solidarity... The euro is an expression of solidarity. Our development policy is a strong external sign of solidarity... We often show solidarity most readily when faced with emergencies."

Explaining the Obstacles to Social Europe

The guiding principle of welfare state in European countries has been maintaining status security (ex. protection of workers during the period of illness, unemployment or retirement) (Offe, C. 2003). After 1980s, it gradually forfeits even this main guiding principle during the adaptation of pure market capitalism in order not to lose its competitive power at EU level. For this reason, some scholars describe the social policy of the EU as an empty shell (Falkner in Bailey, 2008) and a constitutional asymmetry between policies promoting market efficiencies -which prevail- and policies promoting social protection and equality (Scharpf in Bailey, 2008). On the process of understanding main obstacles to Social Europe, David Bailey (2008) provides a clear picture of how several scholars reflecting different theoretical paradigms explain the reasons of underdevelopment of social Europe. He combines the series of obstacles identified by several theoretical paradigms to explain this deficiency of EU. Seven different explanations of different paradigms are specified concerning the obstacles to Social Europe:

According to *neo-functionalism*, EU focuses on market integration in the historical development of European integration and thus social policies are put in the subordinated position. They also believe that economic integration can and will have a spillover effect on greater social policy integration (Jensen; Threlfall; Conant in Bailey, 2008).

The underdevelopment of European social policy is also explained by the *ongoing divergence between national economic and/or political conditions within the various states* (Scharpf; Goetschy; Mosher; Trubek in Bailey, 2008). With respect to this perspective, differences in national economies and political situations result in the adaptation of different welfare regimes, which obstructs the integrated social development at EU level.

The Open Method of Coordination (OMC) School, on the other hand, believes that national divergence is an obstacle but can be overcome through alternative 'softer' forms of cooperation such as OMC (Ferrera; Zeitlin in Bailey, 2008).

New institutionalism points out the impact of the highly complex institutional configuration of the European Union in understanding the limits of EU social policy (Geyer, 2010). The implementation requiring multiple and complex procedures in EU institutional structure complicates the involvement of several social actors into the process. On the other hand, similar to neo-functionalists, new institutionalists argue that EU's initial focus to economic matters creates a path dependence through market confirming rather than market-correcting policies and as social policy developments are seen as an intervention to the market, these policies are emerged in the agenda of EU as something to be avoided.

Critical democratic approach, similar to new institutionalists, blames the non-participatory nature of much of European level decision making (Warleigh in Bailey, 2008). As known, decisions are taken without sufficient contribution of social partners. Therefore, they do not reflect the interests of real partners being affected by the process.

Identity based explanations focuses on the dominance of national identities while explaining the underdevelopment of Social Europe. According to them, as there is no European identity, civil society participation is low at European level and this makes social policy implementation at EU level impossible.

Marxist scholars explain the obstacle to Social Europe in terms of the dominance of capital over labor within European capitalism (Carchedi in Bailey, 2008). Therefore, according to them, the main intention of European integration is to limit market correction policies and to prevent any intervention in order to make the market more profitable. That's why social Europe is underdeveloped.

All these explanations illustrate one dimension of the social problem of Europe. David Bailey, thinking in the same way, combines all and constructs three levels structure: EU wide social stratum, political stratum and institutional stratum with the method of critical realism which asserts that social realities are created by social structures and relations. Assuming that EU-wide social relations existing in a deeper stratum than political relations stratum which abide in greater breadth than institutional stratum, economic interest based EU wide social relations generated political relations and then institutional relations in the same direction: prioritizing economic gain. In fact, the assertion of Bailey suggests that the obstacle of Social Europe is derived from the *institutional obstacles to EU level social policy making* that has been formulated through political relations of member states and capitalist relations of production of its societies.

In order to scrutinize this point of view, the second part of this article analyzes the main driving force of European integration in its institutionalization process and its impact on development of European social policy.

Empowerment of Individuals through EU law

The main driving force of European integration is to design European single market without interventions and not to protect but to empower individuals through several mechanisms. Richard Münch (2008) indicates how European law has emerged in close connection with economic needs of market integration and how European Court of Justice's jurisdiction has contributed to the change of solidarity and construction of European society basing on individual empowerment and activation.

Münch (2008) argues that increasing specialization and cross-border labor division result in intensive international trade and thus economic integration, but it is believed that market transactions cannot automatically result in the transformation of solidarity and legal order because solidarity change brings great power struggle and market transactions cannot have spillover effect over solidarity change. For this reason, transnational solidarity is created by transnational elites through construction of transnational institutions promoting superimposition of transnational solidarity on national societies by creation of European law. The European law is designed to advance individual autonomy in line with the model of market exchange and save the individuals from traditionally established national limits.

While national law reflects the cultural traditions, European law excludes itself from national law and includes rules to strengthen the individuals. As a result, uniform cultures are polarized and transnational ties are built between individuals and this explains how European society and new type of solidarity are emerged. This new type of solidarity emphasizes on the values of interdependence in purely and simply economic terms.

During this transformation, in order to eliminate any possible resistance and conflict between national and transnational forces, Münch (2008) explains clearly that the process has been legitimized in four steps.

The need of institutionalization of European judicial power in order for the elites to proceed with their transnational project.

The requirement of establishing a leading idea and concept of control in order for the transformation of solidarity to be acceptable by national and transnational forces. The constructed leading idea is the spread of values free movement and nondiscrimination.

Establishing a dominant European legal community and turning politics into juridical technique.

Turning functional adjustment into constructing a legitimate order

Concerning the institutionalization of European judicial power, as known, the preliminary position of European law strengthens gradually. Moreover, ECJ's decisions on direct effect and supremacy of law provide a guarantee for the legitimate power of European legal order. It also plays a crucial role on legal harmonization of national laws. Therefore,

basing on these powerful tools, ECJ shifts juridical power from national to European level and creates legal framework for market integration by eliminating any obstacle in front of the open competition, specialization and European labor division.

At the second step, free movement and non-discrimination principles fostered by European law are able to replace the traditional ideas of national welfare because these concepts shift the power in favor of competitive companies and single individuals if they seek the advantages of European market without national barriers. Both free movement and non-discrimination are designed to bring economic self-sufficiency for individuals (In fact, free movement was seen simply as economic activity rather than citizenship right before 2000s) (Münch, 2008). These principles are applied frankly to remove trade barriers, but are fostered as basic principles of justice. Therefore, they are perceived as legitimate principles by competitive companies and individuals that promote competition on European level and provide legitimate framework for them to increase European division of labor.

At the third step, it is explained that *aquis comunautaire* is created by European elite of academics, judges and lawyers and they provide a legitimate power for ECJ which is also given a big role to overcome the lack of legal harmonization and remove the obstacles to integration project. Therefore, it successfully converts the matters into technical terms and enlarges its impact area. After this process, national resistance has been weakened and is seen as search for interests. However, legal reasoning has turned the politics into juridical technique and is seen as more logical on promoting European single market. Consequently, ECJ has been able to construct autonomous European legal framework that national governments cannot reach and affect this framework. Moreover, functional differentiation of EU law becomes a power struggle with national forces for the formation of legal order. This is the basis of transforming national legal traditions into transnational ones.

At the final and the most important step, it is noted by Richard Münch (2008) that European legal order is designed with the emphasis on individual achievement, equality of opportunity and individual empowerment rather than status security, equality of results and collective and shared welfare. The European law constructs a society from market citizen point of view and, therefore, ECJ takes into account empowered, knowledgeable individuals and disregards the others that do not fill the minimum standards for the competitive economy. Moreover, protecting these people's rights below the standards is not the aim of the European law as the protection logic is against the competitive single market.¹

The individuals are expected to use their liberties on the market to realize their own ideas, values and interests. This is the message given by European law in its jurisdiction. Therefore, it is possible to conclude that European law strengthens the individuals against their community of origin and it institutionalizes individualism because main point promoted by European legal order is self-realization of individual. It is appropriate for market citizen of liberalism rather than political citizen of republicanism or social citizen of social democratic welfare state (Münch, 2008). Therefore, this *structural change of solidarity* excludes the values of equality of living standards and protection of the individual by the state. Moreover, greater inequality is the inevitable consequence of this structural change. Therefore, construction of this order is costly and highly debated process but ECJ jurisdiction has been made a great contribution to set this transformation.

To sum up, ECJ plays important role on European integration and construction of European society *on the basis of empowerment of individuals*. It has been successfully institutionalized by transnational elite, has gained legitimacy through spread of the values of free movement and non-discrimination and it can be easily considered as capable to shift solidarity from national to European level by converting the national citizens to market citizens or market actors.

Therefore, according to Münch, both European institutions and European law are designed to adapt the European society to new structure of market economy by trying to create a European identity from market citizen point of view. It is not then surprising that current attempts of developing social Europe do not contain principles of equal distribution of wealth and public responsibility for those incapable to obtain minimal provisions for a decent life. Moreover, it is not surprising that in 2013, former president of EU Commission underestimates the social dimension of European Union integration project by declaring that *'the EU needs to be big on big things and smaller on smaller things'*

The EU, from the beginning of its integration process, has removed itself from pursuing such a welfare regime that the political and economic organization take an active role to protect and promote the economic and social well-being of its citizens. This removal can be observed in the process of construction of European Social Model.

¹ See social pillar of Europe 2020 Strategy targets:

https://ec.europa.eu/info/strategy/european-semester/framework/europe-2020-strategy_en#featuresofthetargets

Modernization of EU and European Social Model (ESM) as a Political Project

As indicated in the initial part of the article, in the capital world, welfare regime has evolved into a mix of social and economic policies in order to tame pure market capitalism and to decrease or lighten its possible inhuman effects on the 'social citizens'. The guiding principle of welfare state of European countries was to secure and to protect individuals (Offe, 2003). This logic of protection means providing social benefits for the individuals against market contingencies through social security programmes. At this point, Offe (2003) explains this structure of security by resembling the concept of welfare state to the building that has three floors and a roof.

According to him, the ground floor contains provisions regulating access to labor markets and to jobs and issues of health and safety at work. The second floor is the scene of provisions pertaining to the social security of the wage worker outside of work and in the absence of income out of currently earned wages (transfer payments or day care services). On the third floor, the institutional devices are intended to deal with the decline of workers' capacity to defend their income (against inflation or increases in productivity). Finally, the roof of building is a set of policies designed to protect the various status-conferring and security arrangements explained in other floors. (Offe, 2003).

The state, as a reason for being, has an important role on building this structure, namely, on providing this type of security to its citizens in order to maintain the social justice in the society. This role cannot be sacrificed under the concept of self-realization of the individual. It can be logically questioned why state, as a political organization, exists if all individuals are considered as actors of market and market is able to regulate itself. Similarly, the legitimacy of European Union, as a supranational body, is questioned while it is transforming itself a regime of stabilization of member states to regime of modernization of the Union itself. The former was mainly based on supportive social regulation while the latter is based more on promoting transformation of social models under the guideline of neoliberal flexibilisation and deregulation (Hermann, Hofbauer, 2007).

European Commission declares that such a modernization is becoming urgent due to the challenges on financing social protection systems and responding to the needs of an older population in terms of working conditions, health, and quality of life (Jepsen, Pascual, 2005). This modernization has emerged in the EU in order to respond the changes as follows:

'Economic integration has diminished the capacity of member states to use traditional economic policy instruments and thus has complicated the achievement of self-defined social policies;

Demographic and societal changes (the ageing population and entry of women to labor market) has changed the balances in social protection systems in terms of health and pension spending and long-term care servicing (which was carried out by women);

Changes in European/world production model that means long-term planning is impossible and risks are unpredictable.' (Jepsen, Pascual, 2005).

With the aim of legitimizing minimal social policies, the EU argues - in the consideration of these changes - that promotion of the flexibility and concentration on promotion of the management of risks by individuals - rather than protecting against them - are inevitable.¹ Therefore, EU raises the ideas of activation, flexicurity, partnership in order to convert national social policies into an instrument for optimizing the adjustment of social protection systems to market forces at transnational level (Jepsen, Pascual, 2005).

Fostering such a modernization and making the individuals active at transnational level, the formation of European Social Model is seen as an example on how European identity is being promoted based on shared social problems and solutions *but not on values*. The Commission's 1994 White Paper on social policy (COM (94) 333) described a 'European social model' in terms of principles that include democracy and individual rights, free collective bargaining, the market economy, equal opportunities for all, and social protection and solidarity (Eurofound, 5 May 2011). However, Maria Jepsen and Amparo Serrano Pascual argue that ESM can be regarded as a political construction in the framework of a demand for legitimacy generated by EU project while facing new challenges (Jepsen, Pascual, 2005).

¹ Thailand Food Innopolis is a global food innovation hub focusing on research, development and innovation for food industry. It is fully equipped with qualified human resources and facilities to support food producers of all scales, be it local, regional, or global. We provide a platform to strengthen your business and also to innovate your food industry.

The emergent socio-economic problems and the methods to tackle them bear ESM as a means of achieving the objective of constructing self-styled European social policy identity. The European institutions have successfully europeanized the rising challenges and put them into the agenda of all its member states. The concepts such as workfare is relabeled as activation, flexibility as flexicurity, globalization as knowledge-based society and corporate governance as social corporate responsibility while the reality/philosophy behind these concept remain the same – *without no value addition* (Jepsen, Pascual, 2005). In this process, European institutions pairs up the common challenges and creates common tools to solve these problems instead of spreading common values. For instance, they provide so called instruments (work first policies, employability, flexicurity, investing in people) that will allow individuals to find ways of adapting to changing economic and social conditions (Jepsen, Pascual, 2005). However, these activation policies that follows a 'workfare' approach will aggravate the problems, not reduce them (Seikel, 2017).

Therefore, EU institutions - similar to their previous attempts - aim to bring together the individuals - rather than member states - on responding new economic changes and solving the social problems. European Social Model is just one of the examples of these attempts. Then, similar to ECJ case law, this formation can be considered as a political project that fosters a European identity based on principles of market capitalism.

Conclusion

The EU plays a significant role in transforming the solidarity of its citizens to the transnational level while subordinating social rights to economic rights. For the sake of sustaining its competitiveness, social issues are being considered as less important when compared to issues that can bring economic benefits. The EU, as a supranational body, builds and implements political and institutional projects to achieve these objectives. In these projects such as constitution of European case law or even European Social Model, social dimension of the Union has been regarded as a *tool* in order to guarantee well-functioning of the economic integration. The ones who evaluate the EU as a unique example of political and economic body that manages its economic growth by increasing social justice and equity in today's competitive world should be aware of the fact that this uniqueness comes from the culture created after a political, economic and social struggle of the societies, mainly working classes, in some European member states.

This struggle brought and guaranteed several social rights in European continent. The European Union, as a supranational body, has a weakening effect to implementation of social welfare mechanism in these member states. The Union promotes the flexibilisation of labor policies, narrowing social protection coverage, privatization of public services with the concern of efficiency and competitiveness. Unlike many other policies, social policies at EU level are nonbinding policies that are implemented in order to solve the problems emerged after neoliberal integration process such as unemployment, poverty and social exclusion.

Therefore, before coming to the efficiency of European social policy, it is more logical to ask: Is there a social policy at EU level or what makes policies social for European society now?

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FOOTNOTES:

¹ Barrasso (2013, September 11). Make the case for Europe. Daily News of 2013.09.11 European Commission- 11/09/2013. Retrieved from <http://europa.eu/rapid/midday-express-11-09-2013.htm>

² One of the most important case supporting this argument is: Case C-438/05 of European Court of Justice: International Transport Workers' Federation and Finnish Seamen's Union v Viking Line ABP and OÜ Viking Line Eesti, judgment of 11 December 2007.

³ See social pillar of Europe 2020 Strategy targets: https://ec.europa.eu/info/strategy/european-semester/framework/europe-2020-strategy_en#featuresofthetargets

Theories of Death with a Special Reference to Indian Philosophy

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Abstract

Most of the philosophers deal with the quality of life, assuming a long span covering all phases. Therefore it is a commonly idealized life. But during the course the life as we advance, there are numerous riddles of self and the universe we live in it to encounter. Certain questions that have not only puzzled the common man but also the intellectuals had been like, Is there any meaning behind every happening? How ought we to live? Is there any life after death? Is death as such is the true end of all activities and so on. However, when the subject of death comes the answers through theories or philosophies have not been very convincing or suitable to all the rungs of the society. This could be mostly due to our evading the very subject of death much owing to the general uneasiness, fear and a sort of psychological insecurity, while dealing with it. Therefore it is always easy to raise philosophical questions than to answer them. There are almost two dozen theories in vogue which have certain basic assumptions but somehow they do not fall in the domain of truly scientific inquiry. They are to be accepted as an outcome of religious sentiments or wishful thinking. This paper highlights the salient features of Indian philosophical viewpoint with regard to death.

Keywords: Riddles of self, Psychological insecurity and Scientific inquiry.

Introduction

The very subject of death even in general discussion often leads to gloom and despondency. In fact it is one of those rare subjects on which honestly speaking none can claim knowledge with absolute veracity. Therefore, most of the times views presented are borrowed from scriptures which needless to say have typically religious overtones or they must have been handed over from one generation to another without any impartial scrutiny. It is an undeniable fact that the majority of our society believes in the handiwork of unseen higher force, usually referred to the Almighty, with power to pervade as Omnipotent, Omniscient and Omnipresent. Therefore there is a total unflinching trust in the justice too. Until there is no substitute for this dependence this trend is bound to continue and truly it has genuinely become a psychological need, as most of the philosophers of pragmatism assert. Death at least on the physical plane is clearly the terminating point from life and no one knows where exactly it merges into. Humanity as a whole with rare exceptions definitely fears it. It is however unfortunate that under uncontrolled enthusiasm and with spirited outlook filled with fanaticism the scientific analysis is not only overlooked but even unjustifiably and ruthlessly condemned. Instead of taking on purely philosophical approaches that are filled with academic fervor it would be wise to take on a common-man's viewpoint and subsequently the problems he has to encounter. A common man is hardly interested in theories or philosophies of any concrete subject as such. All that he harps after is solace. Neither he wants to enter into the scientific realm to understand the basic principles of all natural phenomena nor get involved in the serious philosophical particularly metaphysical sketches. He pretty well knows his own cultivated restricted and well defined arena. For him at any rate death is an existing reality witnessed by one and all for every living being. No one can escape it or even postpone when it is due. However he definitely wants to know the possible and much publicized life after death. Rather all that he desires is a calm and hassle-free termination when it cannot be halted. He is as much obsessed with the questions related to life as those after life. No theory has been successful to date to provide complacency in true sense.

Scientific Viewpoint

In science every phenomenon has a cause and therefore can be explained on the basis of laws. Sometimes it is quite easy to answer back how than why. With the development of science in various branches, as centuries have rolled down there had been always attempts to make living as much comfortable as possible. However, no law or theory could come to the rescue of people when death would signal. Death is an open reality and remains invincible. It is a fact of life. With the

principle of Conservation of energy there is definitely a guidance for us and furthermore little consolation too. The various forms of energy are interconvertible and therefore, theoretically there is never a loss in true sense. Since we are accustomed to a particular form or format, we are not ready to accept or accommodate any new or altered version of the same. Much owing to this kind of sustained ignorance we are dragged into the domain of depression either periodically or continually. The Thermodynamic laws clearly emphasize on the transformations due to which nothing can be claimed by us as a self-creation or even taking credit for the destruction is absolutely unacceptable. In fact, it is the invisible form that we do not accept and more so despite the fact that there are six states of matter viz. solid, liquid, Gas, Plasma, Bose-Einstein and Fermion, we rely only on the first three for explaining all Natural phenomena. Absence or Invisibility is wrongly concluded as or equated to destruction on a permanent basis. With the energy transformation, life and death can be looked upon as separate phases but essentially interlinked. It has been placed on record that about 20% of patients who recover after sustaining cardiac arrest have reported clearly a near death experience. They have also described some kind of awareness, while being resuscitated. With this background life death may be considered as a reversible process which might occur or show such symptoms at a specific moment but only after severe illness. This means that although it is a common or routine feature of almost all religions and also philosophies to entertain such conjectures about life after death, science too on the basis of neuroscience in particular finds and acknowledges the agreeable evidence furnished.

Earlier the historical approach which lasted for a fairly long time described Death as merely stopping of the breathing process or heartbeat only. But with the development of science these two could be restarted in the early stage with the help of life-support devices. That is why in the modern world certain new Medical terminologies have been used to describe partial and complete or clinically proved death.

Philosophical Approach

Philosophers with an existential outlook had been concerned more with the complicated design of life. They however met with a thorough disappointment when they confronted with the changing facts of reality. Human nature as such indicates insecurity and deficiency in most of the situations. In the beginning philosophers paid little attention to death and got engaged with life to such an extent that whole of humanity took pride in solving Nature-mysteries. Later many philosophers with an optimistic approach tried to convince that this is probably one of the best patterns of life gifted to humanity and this ought to be the handiwork of a supremely intelligent agency. Unfortunately most of such emotionally and hurriedly drawn conclusion ended up with lukewarm response. Most of the theories appeared to be result of wistful thinking or lopsided arguments with doubtful pre-suppositions. Whether theistic or atheistic existential approach that dealt with life hinted at the futile nature of the various shades of life which further surfaced with meaninglessness and nothingness. It is quite possible that philosophers of existentialism apparently at least engaged themselves more in highlighting the negative aspects of life and they were indeed very true and convincing. Despite this fact the escape from such a situation or harsh reality somehow did not equally appeal to all the rungs of the society.

If we admit the term 'enlightenment' and then spiritual enlightenment as an extension then it is clear that the very fear of death is chiefly because of our metaphysical or spiritual ignorance. It could also be owing to the fallacy entertained by clutching or identifying the spirit with the body. So long as we continue to believe that soul and body are one and the same this dilemma is bound to continue by subjecting our mind to the fear of death. Once this is clarified, then we realize that our body is subject to the laws of nature and therefore, just as other living beings we too have to sportively accept the steady decline. "so in all religions the great spiritual essence of our being, the more we overcome the fear of death"¹. Both Eastern and Western philosophers have seriously dealt with the subject of death equally. From the beginning it had been one of the major subjects of common concern for the humanity. Much owing to this there are many philosophical or other approaches, first to explain what death exactly means and then how to look at it. It is not possible to cover all philosophers for their individual contribution to this subject and therefore there may be a passing reference to select few.

In Phaedo, Socrates suggests an outlook to people which can reduce their fear of death and may even manage to become indifferent to it. Socrates had tremendous confidence in his conviction that fear surfaces only because of ignorance of the nature of soul. In other words he meant to grant the status of immortality to soul and disqualify body for it. However needless to say, it is the Thanophobia which has not only widely spread but for centuries has humanity in its tight grip. The morbid fear of death may be taken lightly by the intellectuals or evolved beings and that too in debates but then with varying percentages it does remain or at any rate cannot be eradicated totally. As Socrates himself claims that, "if you see any one distressed at the prospect of dying, it will be proof enough that he is a lover not of wisdom but of the body."²

Heidegger's Philosophy of death is a way to be but not a way to end. Therefore there is, a need to distinguish between

Being at an end and Being towards an end. Heidegger in no way suggests Being at an end. This is a proof that he also like many philosophers does not subscribe to the view that death ends us on a permanent basis or is a process of annihilation. For him death is a phenomenon of life itself such that finally human beings manage to exist and it could also be a meaningful possibility because it provides the sense of non-being also.

For Soren Kierkegaard the idea of death is a reflection of one's own understanding of the term Existence. He lays lot of emphasis on personal faith disregarding the attempts to catch hold of certainty through others viewpoints. For a common man death is the end in itself with no other deviation and that is why it could be an uncertain certainty."In Either/Or the response of Kierkegaard's aesthete to this situation is one of despair. He wants to view enjoyment as life's purpose but sees man as tragically at the mercy of fate, suffering and death robbing him of pleasure and happiness: no one asks if one wants to come in none when one wants to go out."³

Indian Philosophy

The followers of Indian Philosophy do not feel death as a problem because they had been trained and periodically guided to look at life and death as complementary to each other. Therefore if an onlooker feels that there is a very little practical approach, still it is trusted that some mystic element governs death as a phase or shade of life only. Hinduism in fact invests willingly all its faith in not only the rebirth theory but also in the reincarnation of souls. As a matter of fact body is always given a secondary status while soul an exclusive and more so a spiritual position. Therefore souls are regarded by one and all with exception of atheists, as immortal and subsequently imperishable. The Conservation of Energy principle scientifically backs this outlook. However soul which is residing in the body on a temporary basis is needless to say is always independent and therefore can willingly transcend. The body however is subjected to the physical plane and therefore physical laws and so it has to pass through the stages to mature and then get ready to go into a newly transformed phase. It is always attacked by impurities brought forth by attachment, delusion and laws of Karma(action).

The consolatory part of this philosophy is that Death is never looked upon as any sort of calamity or end of everything but it is a natural process in the very existence of jiva(being) and nonetheless a separate entity. The Gita described two paths with highly illumined one and the other one with complete darkness, connected to Sun and Moon respectively. The brighter one is supposed to be a path of God and there is no retreat thereof. The latter one is equated to ignorance and therefore fails to negotiate the enlightened path and is ever stuck up. This is how one attains the state of Nirvana or Moksha. One of the major Upanishads viz. Katha Upanishad has the central theme Death only.

Conclusion

From the salient features of Kathopanishad it is clear that human life has two aspirations. On one side there is an ardent desire to gain all worldly pleasures while after passing through variety experiences of life it may be concluded that the efforts invested in gathering all the prosperity not truly worthy. Life is full of miseries and no materialistic gain can appease our mind. As Schopenhauer puts it, "All willing arises from want, therefore from deficiency and therefore from suffering. The satisfaction of a wish ends it; yet for one wish that is satisfied there remain at least ten which are denied. Further the desire lasts long, the demands are infinite; the satisfaction is short and scantily measured out....No attained object can give lasting satisfaction."⁴. Therefore it is believed that man survives death and the soul releases itself to travel according to one's own righteous deeds and then accordingly he is reborn. Lastly one can have a realization through the recommended Yogic practices so as to be liberated in true sense from mortal miseries!

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The Cyprus Peace Talks at Mont Pèlerin (7-11 and 20-21 November 2016) and the Greek Cypriot Press: The Positions of Cypriot Newspapers *Alithia*, *Politis* and *Haravgi*

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Abstract

This text is based on research aiming to record the period of negotiations at Mont Pèlerin, Switzerland between the Greek Cypriot and Turkish Cypriot community in November 2016. Articles from three newspapers (*Alithia*, *Politis* and *Haravgi*) were studied, with an emphasis on political coverage regarding the negotiations. The choice of newspapers was based on the fact that they have been around for many decades, they have a different ideological orientation and they have contributed to the modern history of Cyprus. Moreover, they all have a full electronic archive of their issues which makes it easy to access and study the articles. The overarching aim is to understand the efforts to solve the Cyprus problem through the recent negotiations in Switzerland and to examine the positions of the Cypriot press regarding this thorny and crucial issue over which the Republic of Cyprus has been agonising for more than forty years.

Keywords: The Cyprus Peace Talks at Mont Pèlerin (7-11 and 20-21 November 2016) and the Greek Cypriot Press: The Positions of Cypriot Newspapers *Alithia*, *Politis* and *Haravgi*

Introduction

The Cyprus issue emerged, in practical terms, on the day of declaration of independence of the Republic of Cyprus, on 16 August 1960, following the armed struggle of the National Organisation of Cypriot Fighters (EOKA) between the years 1955-1959 and a summit in London on 19 February 1959, attended by representatives from Greece, Turkey, the UK and the two Cypriot communities. Over the course of time, it was made clear that the implementation of certain provisions of the newly-signed Constitution presented serious problems and, as a result, the Turkish Cypriot ministers and members of the Parliament withdrew from the Cabinet and the House of Representatives respectively and formed separate bodies of executive and legislative power for their community. On imposition of the military dictatorship in Greece in 1967, things got even more complicated. After the establishment of the dictatorship of 21 April 1967 in Athens, the relations between Greece and Cyprus deteriorated gradually. On 15 July 1974, military coup was launched in Cyprus, organised by the Junta aiming at the deposition of president Makarios. Makarios managed to escape to Paphos initially and then to Akrotiri British Sovereign Base, before travelling abroad. Five days later, Turkey, using a long-sought pretext, invaded the island on 20 July 1974 and, to this date, holds 37% of the territory of Cyprus.

Since 1977, several rounds of talks were held between the two sides for an overall settlement of the problem with the then Secretary General of the United Nations, Kurt Waldheim to the current Secretary General, Antonio Guterres, without success. The most recent talks took place at Crans Montana, Switzerland in July 2017 and reached a dead-end.

In 2016, the Cyprus problem reached a crucial point in the history of efforts in search of a solution, with the meeting between the president of the Republic of Cyprus Nicos Anastasiades and the Turkish Cypriot leader Mustafa Akinci at Mont Pèlerin, Switzerland. Following two rounds of talks, Anastasiades and Akinci were unable to achieve the necessary convergence on the criteria for territorial adjustments that would pave the way for the last act of the talks. According to the Special Adviser of the Secretary-General on Cyprus, the two sides decided "to return to Cyprus and examine the way forward" (*Politis*, 21 November 2017).

This paper aims to record and analyse press publications during the UN-led talks on the reunification of Cyprus in November 2016 at Mont Pèlerin, Switzerland between the Greek Cypriot and Turkish Cypriot communities. Articles from three Greek Cypriot newspapers (*Alithia*, *Politis* and *Haravgi*) were studied, with an emphasis on political coverage regarding the peace talks. The choice of newspapers was based on the fact that they have been in circulation for many decades¹, they have a different ideological orientation² and they have contributed to the modern history of Cyprus. Moreover, they all have a full

electronic archive of their issues which made it easy to access and study the articles.

The overarching aim is to understand the efforts to seal a deal to reunify Cyprus through the recent negotiations in Switzerland and to review the positions of the Cypriot press regarding this thorny and crucial issue over which the Republic of Cyprus has been agonising for more than forty years.

The study

As is the case with media across the world, the Cypriot media undertake the task of keeping the public informed and up-to-date. They play the role of the Fourth Estate since people rely on media for the exercise of criticism on the Executive Estate (Sofokleous, 2008:167). Newspapers, as a traditional form of the Press, are always a notable and reliable medium as they cover several topics with the aim of informing the public. The Cypriot Press has existed for 130 years and judging by the circumstances on the island all these years with the on-going occupation by the English and the Turks, its presence and development has been particularly difficult (Sofokleous, 1995). For the record, the first Cypriot newspaper was printed in 1878 in Larnaca by Theodoulos Constantinides. During World War II, the Cypriot Press started to gradually gain freedom and independence. Its contribution to the national liberation struggle of 1955-1959 was considerable. Several Greek Cypriot journalists were persecuted, tortured and imprisoned in concentration camps, mostly because they wrote articles against the establishment of that period (Sofokleous, 2006). Today, five daily and ten weekly newspapers are available in Greek for Cypriot readers.

As already mentioned the object of our study is to record and present the peace talks as covered by the Greek Cypriot Press during the period starting from 1 November 2016 and ending on 30 November 2016. More particularly, we focus on political articles in newspapers *Alithia*, *Politis* and *Haravgi* and on how they reported the negotiations between the two communities.

Alithia newspaper was founded in 1952 by the late Antonis Farmakides as a weekly newspaper. Antonis Farmakides is considered one of the pioneers of Cypriot journalism. Weekly *Alithia*, following its Monday issue on 15 July 1974, was forced to suspend its circulation for a few weeks due to the circumstances that occurred as a result of the military coup and the subsequent Turkish invasion. It re-circulated on 5 August 1974 with a detailed report on the tragedy that hit Cyprus and an optimistic message. Today, *Alithia* has completed 35 years of presence as a daily newspaper

Politis newspaper was first issued on 12 February 1999. The newspaper has made a firm commitment to provide all-round and impartial information and to adhere to the principles of independence, impartiality, truth, freedom of speech and pluralism. It is not a newspaper of extreme ideology. It has demonstrated responsibility and, naturally, it endeavours to feature the sensitivities and interests of small and bigger groups of Cypriot society and to bring Cyprus even closer to European affairs, thus broadening the horizons of knowledge and experience.

Haravgi has large, island-wide circulation and is the medium of expression of left-wing party AKEL (Progressive Party of the Working People). Its first issue was published in Nicosia on 18 February 1956. In a main article titled "Setting off" on the front page of its first issue, the newspaper states "[...] our newspaper will strive to offer high-quality material to our readers. Aside from news reporting that will be our top priority, there are several other topics worthy of attention." (Sofokleous, 2011:394)

Methodology and Objectives

Our methodology was based on elements of content quality analysis which we thought was most appropriate, since "the great strength of content analysis is that it analyses the whole message system, and not the individual's selective experience of it" (Fiske 2010:139). This method is suitable when cultural issues are examined since it "takes account of notion systems deriving from culture" (McQuail 2003: 382) and assists in analysing the features of the text message, discourse and form (Constantinidou, 1998) and involves five stages (ibid, 1998):

The procedure of compiling the empirical evidence

The isolation of items (units recorded)

The classification of units recorded into categories

The quantity conversion and measurement of items (codification)

Analysis and interpretation of data.

More specifically, the research involved the recording of daily news items in daily newspapers of island-wide circulation and the identification of the main political news stories in the above newspapers. In this case, the role of the Press is paramount in ensuring that there exist conditions that enable citizens to stay well informed and up-to-date. We recorded the articles and we then classified them into six categories as follows: a) *Republic of Cyprus*, b) *Greek Cypriot community*, c) *Turkish Cypriot community*, d) *countries involved* (i.e. the guarantor countries in accordance with the Treaty of Establishment of the Republic of Cyprus, namely Greece, Turkey and the UK), e) *United Nations* and f) *European Union*.

During the first stage, we identified the empirical evidence, namely the news stories that were relevant to our research. During the second stage, we isolated the stories that could be incorporated. The third stage involved the codification, i.e. the classification of topics into categories. During the fourth stage, we converted the quantitative items into such form so that they could be processed on the computer, compared and analysed (ibid, 1998). During the fifth stage, the data was presented, analysed and interpreted. A thematic analysis helps to answer questions such as how the negotiations between the two communities are presented, why it is possible to record views and conceptions through political news items published in the political columns and subsequently make a connection of all this. Moreover, by putting the news items into categories, we can identify the different positions/ opinions expressed and have them in one place.

The one-month period that was examined was chosen primarily on the basis of the working hypotheses, as well as the material under study. The events taking place in November 2016 were of particular significance and the daily issues of newspapers covered a range of stories and topics and made extensive reviews on the progress made during the week. The extent of the duration is just right to support our hypothesis, as it allows us to shape an opinion on the varied reflections expressed by the Greek Cypriot community, which take form and change as the events unfold on both a local and international level.

From the newspaper issues, we focused on the political and news sections which include a plethora of news reports, articles and reportages. Moreover, the political section is dominated by highly interesting, catchy headlines that attract readers and draw them into buying a newspaper. Choosing the material is a difficult task, since as many titles as possible need to be selected from a vast pool of items.

More particularly, the working hypotheses are the following:

If the newspaper's positions have a conflictual or reconciling tone;

Whether the tone of the news items regarding the talks varied depending on the newspaper;

Whether the articles were signed or unsigned; if unsigned, this probably means that journalists, as individuals, were reluctant to be associated with the talks.

Our research relates to the period of November 2016. Overall, 281 news items were scrutinised as units of analysis from the three newspapers (*Alithia* 108, *Politis* 104, *Haravgi* 69). In order to examine items on the front page, the following pattern of typical categories/ variables was used:

Political news stories that were relevant to the subject were classified based on their type as follows: Main Article, Opinion Article - Analysis - Comment/ Commentary, Reportage, Interview, Announcement, Letter, Simple Report, Other

In order to investigate the content of news, the number of references in each article was recorded so as to create a list of protagonists: President Anastasiades, Mustafa Akinci, Espen Barth Eide, Alexis Tsipras, Nikos Kotzias, Recep Tayyip Erdoğan etc.

The news items were recorded on the basis of source, origin of source and editor of the article (signed, unsigned, international news agency, special report).

If the newspaper positions were in favour or against the positive progress of the peace talks and the prospect of a deal.

RESULTS OF THE RESEARCH

TABLE 1: References in newspapers *Alithia*, *Politis* and *Haravgi*

Period: 1-30 November 2016

| References | 1-30 2016 | November | % | <i>Alithia</i> | <i>Politis</i> | <i>Haravgi</i> |
|---------------------------|--------------|----------|-----|----------------|----------------|----------------|
| Republic of Cyprus | 222 | | 22 | 84 (23%) | 82 (21%) | 56 (21%) |
| Greek Cypriot Community | 193 | | 19 | 74 (20%) | 73(18%) | 17% |
| Turkish Cypriot Community | 149 | | 14 | 53 (15%) | 63 (16%) | 33 (12%) |
| Countries involved | 295 | | 28 | 96 (26%) | 110 (28%) | 89 (32%) |
| United Nations | 123 | | 12 | 40 (11%) | 49 (12%) | 34 (12%) |
| European Union | 55 | | 5 | 17 (5%) | 21 (5%) | 17 (6%) |
| Total | 1037 | | 100 | 364 | 398 | 275 |
| | | | | | | |

Note: Based on columns "Politics" and "News"

TABLE 2: A quantitative analysis of news items in *Alithia*, *Politis* and *Haravgi*

Period: 1-30 November 2016

| Article Editor | <i>Alithia</i> | % | <i>Politis</i> | % | <i>Haravgi</i> | % |
|-----------------------------------------------------------|----------------|-----|----------------|-----|----------------|-----|
| Signed | 21 | 19 | 64 | 62 | 21 | 30 |
| Unsigned | 87 | 81 | 39 | 37 | 48 | 70 |
| International News Agency | -- | | 1 | 1 | -- | |
| Special Report | -- | | -- | | -- | |
| Total | 108 | 100 | 104 | 100 | 69 | 100 |
| Type of article | | | | | | |
| Main article | 44 | 41 | 47 | 45 | 27 | 39 |
| Opinion article | 2 | 2 | 2 | 2 | 1 | 1 |
| Reportage | 26 | 24 | 29 | 28 | 7 | 11 |
| Interview | 2 | 2 | 4 | 4 | -- | |
| Announcement | -- | | -- | | -- | |
| Letter | -- | | -- | | -- | |
| Simple report | 34 | 31 | 22 | 21 | 34 | 49 |
| Other | | | -- | | -- | |
| Total | 108 | 100 | 104 | 100 | 69 | 100 |
| Origin of source | | | | | | |
| Anonymous | 80 | 73 | 37 | 37 | 48 | 70 |
| Greece | -- | | -- | | -- | |
| Cyprus | 29 | 26 | | | 21 | 30 |
| UK | -- | | -- | | -- | |
| Turkey | -- | | -- | | -- | |
| Mont Pèlerin, Switzerland | -- | | 62 | 62 | -- | |
| International news agencies | 1 | 1 | 1 | 1 | -- | |
| Other | | | | | -- | |
| Total | 110 | 100 | 100 | 100 | 69 | 100 |
| Focus on protagonists | | | | | | |
| Nicos Anastasiades (President of the Republic of Cyprus) | 70 | 33 | 69 | 26 | 37 | 21 |
| Ioannis Kasoulides (Foreign Minister, Republic of Cyprus) | 5 | 2 | 4 | 2 | 5 | 3 |
| Nikos Christodoulides (Government) | 15 | 7 | 9 | 3 | 8 | 4 |

| | | | | | | |
|---------------------------------------------------------------|-----|-----|-----|-----|-----|-----|
| spokesman) | | | | | | |
| Andreas Mavrogiannis (GC negotiator) | 3 | 1 | 4 | 2 | 4 | 2 |
| Archbishop of Cyprus | 2 | 1 | 1 | 1 | 1 | 1 |
| GC Party Representatives | 18 | 8 | 28 | 10 | 16 | 9 |
| Mustafa Akinci (Turkish Cypriot Leader) | 45 | 21 | 61 | 22 | 29 | 17 |
| Ozsdil Nami (TC negotiator) | 3 | 1 | 2 | 1 | 3 | 2 |
| Espen Barth Eide | 16 | 7 | 22 | 7 | 16 | 9 |
| Alexis Tsipras (Prime Minister, Hellenic Republic) | 14 | 7 | 26 | 10 | 17 | 10 |
| Nikos Kotzias (Foreign Minister, Hellenic Republic) | 8 | 4 | 16 | 6 | 7 | 4 |
| Prokopis Pavlopoulos (President, Hellenic Republic) | 3 | 1 | 2 | 1 | 3 | 2 |
| Recep Tayyip Erdoğan (President, Republic of Turkey) | 9 | 4 | 15 | 6 | 15 | 9 |
| Mevlüt Çavuşoğlu (Foreign Minister, Republic of Turkey) | 5 | 2 | 5 | 2 | 9 | 5 |
| Sergey Lavrov (Foreign Minister, Russia) | 3 | 1 | 1 | 1 | 4 | 2 |
| Total | 214 | 214 | 265 | 100 | 174 | 100 |

The position of *Alithia* newspaper

This newspaper deals with a broad range of subjects and includes “articles, news reportages on local or international events, commentaries, culture coverage, courts news, reports from the countryside and a variety of other pieces of information” (Sofokleous 2011). The research revealed that regarding the type of news item, 41% are main articles, 31% are simple news reports and 24% are reportages. 80% of the articles are signed and 19% are unsigned (working hypothesis 3 confirmed). The main protagonists are the following: President of the Republic of Cyprus and leader of the Greek Cypriot Community Nicos Anastasiades with 33%, the leader of the Turkish Cypriot Community Mustafa Akinci with 21%, representatives of Greek Cypriot parties with 8%, the Greek Prime Minister Alexis Tsipras with 7% and the Turkish Prime Minister Recep Tayyip Erdoğan with 4%.

Over the period under study, *Alithia* maintained its government-affiliated stance, since it supports the Democratic Rally, which is President Anastasiades’s political party. *Alithia*’s objective to support President Anastasiades’s efforts to solve the Cyprus problem has remained unchanged. The titles below indicate the newspaper’s support towards President Anastasiades and his negotiating team:

“President Anastasiades: The solution to the Cyprus problem will be the greatest financial reform for the decades to come” (*Alithia*, 2 November 2016)

“First day with smiles” (*Alithia*, 8 November 2016)

“Good spirit and progress during the first talks” (*Alithia*, 8 November 2016)

“What matters most with the territorial trade-offs” (*Alithia*, 9 November 2016)

The subjects that appear repetitively and consistently in *Alithia* newspaper during the period under study are the following:

(1) The positive support of the efforts to solve the Cyprus problem:

Extracts from the newspaper:

“A solution is possible” (*Alithia*, 8 November 2016)

“The negotiation between Anastasiades-Akkinci about the territorial matter is fruitful” (*Alithia*, 11 November 2016),

“Everyone is working for the solution” (*Alithia*, 12 November 2016)

“Steps towards a solution” (*Alithia*, 12 November 2016)

(2) The spirit of reconciliation between the two communities.

Extracts from the newspaper:

“Good spirit and progress during the first talks” (*Alithia*, 8 November 2016)

“The climate for peace is rising” (*Alithia*, 19 November 2016)

“Collaboration will conquer fears” (*Alithia*, 20 November 2016),

(3) Reference to more important topics, such as the territorial adjustments, the property trade-offs and economic progress.

Extracts from the newspaper:

“Good spirit and progress in the discussion of pending issues of the four chapters” (*Alithia*, 8 November 2016)

“And now the territory issue” (*Alithia*, 9 November 2016),

“Progress with the four chapters still open” (*Alithia*, 9 November 2016),

“New meeting focusing on the territory issue scheduled for the two leaders” (*Alithia*, 12 November 2016),

“Property issue: The estimates regarding the compensations” (*Alithia*, 21 November 2016),

(4) The trend towards agreement on the European Union chapter, and more particularly the economic aspect of this chapter.

Extracts from the newspaper:

“The economic aspect of the solution before Eurogroup” (*Alithia*, 7 November 2016),

“The economics of the solution – Experts from the International Monetary Fund in Cyprus today” (*Alithia*, 9 November 2016),

(5) The British stance: the United Kingdom does not wish to remain a guarantor power and, upon solution, will return half the territory of the Sovereign Base Areas.

Extracts from the newspaper:

The High Commissioner of the United Kingdom to Cyprus, Matthew Kidd, reaffirmed the position of the British government that “in case of a deal, at least 48% of the territory of the two British Bases will be returned” which amounts to approximately 1.5% of the total territory of the Republic of Cyprus (*Alithia*, 9 November 2016)

“The British High Commissioner has clarified that ‘the United Kingdom does not wish to remain a guarantor power’”. (*Alithia*, 9 November 2016)

(6) The summit on Cyprus and all the statements about Cyprus by foreign leaders about the island, as well as the statements by Greeks and Turks.

Extracts from the newspaper:

“The Greek government supports these talks, backs-up the overall efforts and aspires to a viable and fair solution on the basis of the resolutions of the Security Council of the United Nations” (*Alithia*, 9 November 2016)

“We want the issue of territory, properties, guarantees and security to be discussed last” stated the Turkish Foreign Minister

(*Alithia*, 10 November 2016)

The Turkish Minister further stated that “Turkey supports the negotiations procedure on the Cyprus problem and expressed the hope that the Greek Cypriot side is equally honest (*Alithia*, 10 November 2016)

The position of *Politis* newspaper

As shown in Table 2, *Politis* has the most articles regarding the peace talks in all categories compared to the three newspapers we used in the sample. The topics that appear repetitively and consistently during the period under study in *Politis* newspaper are the following:

(1) The desire for a solution to the problem.

Extracts from the newspaper:

“On our way for a solution with self-confidence” (*Politis*, 5 November 2016)

“Time for responsibility for the two leaders” (*Politis*, 6 November 2016)

“The talks will determine the prospect of a solution within 2016” (*Politis*, 7 November 2016)

“Seeking for convergence on everything” (*Politis*, 8 November 2016)

“The future lies in the hands of the two leaders today” (*Politis*, 11 November 2016)

“The die is cast: Anastasiades - Akinci were close to an agreement at Mont Pèlerin” (*Politis*, 13 November 2016)

“On the eve of a solution” (*Politis*, 20 November 2016)

(2) References to paramount issues such as territory, security and guarantees.

Extract from the newspaper:

“The Turkish Cypriot side has not come prepared to hand over a map on territory” (*Politis*, 10 November 2016)

(3) The European Union stance.

Extract from the newspaper:

“If Anastasiades and Akinci succeed in reaching an agreement, the EU will soon be called upon to accept a federal state with all its problems and outstanding issues” (*Politis*, 7 November 2016),

(4) Optimism about the future of the island.

Extracts from the newspaper:

“The future lies in the hands of the two leaders today” (*Politis*, 11 November 2016)

“Counting on the determination of the two leaders, the United Nations expressed the hope that a settlement will be reached” (*Politis*, 11 November 2016).

As expected, *Politis* places an emphasis on the two sides as well the guarantor countries United Kingdom, Greece and Turkey. In the period under study, 18% of the articles refer to the Greek Cypriot community, 16% to the Turkish Cypriot community, 21% to the Republic of Cyprus as represented by its President, 12% to the United Nations and 5% to the European Union.

In 62% of the news items, Mont Pèlerin is the origin of the source, since it is the place where the talks took place and the reporter was present in Switzerland. A percentage of 37% of the items is from anonymous sources, i.e. the source is not specified.

There are no surprises regarding the people getting the most attention: President of the Republic of Cyprus and leader of the Greek Cypriot Community Nicos Anastasiades with 26%, the leader of the Turkish Cypriot Community Mustafa Akinci with 22%, the Greek Prime Minister Alexis Tsipras with 10%, representatives of Greek Cypriot parties with 10%, and the Turkish Prime Minister Recep Tayyip Erdoğan with 6%.

With regard to the type of news item, 45% are main articles, 28% are reportages and 21% are simple news reports.

100% of the articles are signed and 37% are unsigned.

The position of *Haravgi* newspaper

The topics that appear repetitively and consistently during the period under study in *Haravgi Politis* newspaper are the following:

(1) During the talks on the Cyprus problem, *Haravgi* newspaper focuses on Switzerland and the negotiations; it is a time when the leaders of the two communities must assume historical responsibility.

Extract from the newspaper:

"We can overcome the problems and find solutions to all the open chapters of internal governance. The way to the next and possibly final step towards the solution, i.e. the international summit on the issue of security and guarantees, may be paved. If we don't succeed now, Greek Cypriots will not be the only ones burdened with a loss and a failure, but also Turkish Cypriots who will be faced with annexation and assimilation with Turkey. Wishful thinking is not enough. Greek Cypriots and Turkish Cypriots together must truly feel that now is the time to unite our country" (*Haravgi*, 7 November 2016).

(2) The desire for a solution.

Extracts from the newspaper:

"A time of truth for a solution to the Cyprus problem" (*Haravgi*, 6 November 2016)

"Optimism aiming for convergence" (*Haravgi*, 12 November 2016)

"The flame of hope for a solution still burns" (*Haravgi*, 13 November 2016)

"Obama: The Cyprus problem may be solved within the next few months" (*Haravgi*, 16 November 2016)

"The desire for the solution is still alive" (*Haravgi*, 27 November 2016)

(3) The criteria of the solution.

Extract from the newspaper:

"The criteria are being discussed on the basis of a joint document" (*Haravgi*, 10 November 2016)

The main protagonists, as referred to in the sample under study, are the following: President of the Republic of Cyprus and leader of the Greek Cypriot Community Nicos Anastasiades with 21%, the leader of the Turkish Cypriot Community Mustafa Akinci with 17%, the Greek Prime Minister Alexis Tsipras with 10%, representatives of Greek Cypriot parties with 9% and the Turkish Prime Minister Recep Tayyip Erdoğan with 9%.

With regard to the type of news item, 49% are simple news reports, 39% are main articles and 11% are reportages. It is important to note that anonymous sources reach 70% and an equal percentage accounts for unsigned articles.

Lastly, daily articles of *Haravgi* newspaper in November 2016 make reference to the countries dealing with the future of the island, i.e. the Greek Cypriot community with 32%, the Turkish Cypriot community with 12%, the Republic of Cyprus as represented by its President with 21%, the United Nations with 12% and the European Union with 6% (Table 2).

Analysis and results of variables

TABLE 3

List of framings in *Alithia*, *Politis* and *Haravgi* newspapers during the period of 1-30 November 2016 and whether they have a conflictual or reconciling tone:

| Tone | <i>Alithia</i> | % | <i>Politis</i> | % | <i>Haravgi</i> | % |
|-------------|----------------|-----|----------------|-----|----------------|-----|
| Conflictual | 7 | 6% | 7 | 7% | 10 | 14% |
| Reconciling | 101 | 94% | 97 | 93% | 59 | 86% |
| Total | 108 | 100 | 104 | 100 | 69 | 100 |

A remarkable finding of our research is that all three newspapers use a reconciling tone in the majority of their articles and express the wish of the two communities and guarantor countries to solve the Cyprus problem.

Newspaper *Alithia* writes:

“First day with smiles” (*Alithia*, 8 November 2016)

“The Greek government supports the talks” (*Alithia*, 9 November 2016)

“Constructive negotiation regarding the territorial matter between Anastasiades – Akkinci” (*Alithia*, 11 November 2016)

“Turkey supports the negotiations” (*Alithia*, 16 November 2016)

“Greek parties support the efforts towards solution” (*Alithia*, 18 November 2016)

Newspaper *Politis* writes:

“Time for responsibility for the two leaders” (*Politis*, 6 November 2016)

“Obama and Tsipras see a historic opportunity for a solution for Cyprus” (*Politis*, 16 November 2016)

“Erdogan feels that this is a historic opportunity for a solution” (*Politis*, 16 November 2016)

“The mother countries took over” (*Politis*, 21 November 2016)

Newspaper *Haravgi* writes:

“No army in united Cyprus” (*Haravgi*, 1 November 2016)

“We should apprehend each other’s concerns” (*Haravgi*, 3 November 2016)

“Second round of great expectations” (*Haravgi*, 20 November 2016)

“We are ready for a solution” states Özgürçün” (*Haravgi*, 22 November 2016)

Conclusion-discussion

In conclusion, through daily news reporting, it becomes clear that the desire for a solution to the Cyprus problem dominates journalism. The procedure of direct talks with the mediation of the United Nations aims to resolve the dispute between the Greek Cypriot and Turkish Cypriot communities and, ultimately, to reach an agreement; the press contributes towards this by publishing relevant articles regarding this long-term objective. The reconciliation between the two communities predisposes the termination of any type of conflict between the two sides.

A comparison among the three newspapers demonstrates that all of them have faith that the Cyprus issue can be resolved through the talks. The Greek Cypriot side went to Mont Pèlerin aiming for success in the matters of territory and property. Both sides showed their cards, whilst the regulatory role of the countries involved was evident. The Greek side holds in its hands the main political demand of Turkish Cypriots, that of political equality, which is envisioned to be obtained through the acceptance of a rotating presidency. The Turkish side also wishes to discuss the issue of security guarantees.

It is worth to note that there is no name-calling, no prejudice, nothing that accuses any of the two sides for the failure of the talks at Mont Pèlerin; just sheer disappointment about the dead end of the peace talks. *Alithia* reports “Dead end for the territorial criteria – to be continued in Cyprus” (*Alithia*, 22 November 2016), while *Politis* reports “Instead of reaching an agreement, we reached a crisis” (*Politis*, 22 November 2016). In the same spirit, *Haravgi* reports “Return from Switzerland without results” (*Haravgi*, 22 November 2016). Almost all newspapers provided the same coverage and this probably means that they perceived the events of the two summits in the same manner.

Another aspect that was looked into was the reporting style used in the news items of all three newspapers. For example, at Mont Pèlerin 1, there was an impression that the conditions have matured and a settlement could be achieved. Journalists’ texts are written in a rather striking tone as they give the impression that an optimistic mood dominates the talks: “First day with smiles” (*Alithia*, 8 November 2016), “A setting of culmination with an open agenda” (*Politis*, 8 November 2016), “Good spirit and progress in the discussion of pending issues on the four chapters” (*Alithia*, 8 November 2016). At the same time, a series of logical arguments are deployed that “convince” the readers of these newspapers that a compromise between the two communities is the only feasible and viable solution sought by the two communities.

A similar image was observed with two of the three guarantor powers, namely Greece and Turkey, as the newspapers reported on the significant role that these countries have during the talks: “Greek prime minister Alexis Tsipras clarified that Greece will have an opinion and the right to manage only in relation to the matter of guarantees” (*Alithia*, 23 November 2016), whilst Turkish Prime Minister Mevlüt Çavuşoğlu stated that “according to the objective for 2016, these negotiations

should be fruitful and bring a result; steps should be taken for a permanent solution and a specific road map must be created that will involve the multilateral conference" (*Haravgi*, 26 November 2016).

Finally, the three newspapers promote a culture of consent between the two sides and, at the same time, support the direct talks between the two leaders of the two communities, a long-held position of the Republic of Cyprus.

Notes

Papathanasopoulos, "Mediterranean/Polarized Pluralist Media Model Countries," 219–28.

Stubbs and Taseli, "Newspapers, Nationalism and Empire," 286.

Ibid., 287–8.

Ibid., 286.

Krippendorff, Content Analysis.

Iyengar and Kinder, *News That Matters*, 59–70.

Constantinidou, "Allocation of Labour According to Sex."

Ibid., 29.

Stubbs and Taseli, "Newspapers, Nationalism and Empire," 284–301.

Sofokleous, *History of the Cypriot Press*, Vol. E, 355.

Sofokleous, *History of the Cypriot Press*, Vol. E, 394.

Sofokleous, *History of the Cypriot Press*, Vol. C, 131.

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ELECTRONIC SOURCES

¹ *Alithia* since 1952 and *Haravgi* since 1956 (Sofokleous, 2011).

² *Alithia*: 35 years as a daily newspaper (1 May 2017)

³ *Haravgi* belongs to biased press and is "AKEL's official medium of expression" (Prodromou, 210, 343-344).

“Educated or Warehoused?”: The educational experiences of former NEET and so-called disengaged youth in a Further Education (FE) College in England

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Abstract

RPA (Raising of Participation Age) legislation re-positioned all youth in England to participate in post-16 education and training, the ultimate aim to develop ‘human capital’, i.e. skills, abilities and knowledge (Foucault 2008). However, how does RPA play out in practice with previously NEET and so-called disengaged youth engaged on a Level 1 prevocational course? Empirical research was conducted at a large general further education (FE) college in South East England, named *The Site* with seven tutors and twenty six students from the 2013-14 and 2014-15 cohorts. Adopting a case study approach, multiple methods of data collection were used, including classroom observations, semi-structured interviews, focus group discussions and document analysis. Key findings problematize education and highlighted complications for marginalised youth that participated in the study. Far from being a straightforward experience for former NEET and disadvantaged youth to gain knowledge and skills whilst at college, conversely, these Level 1 pre-vocational students faced multiple barriers that challenged student efforts to access essential provision in an attempt to improve on previous academic failure. Research findings revealed ‘warehousing’ appeared to be the main purpose of education for these particular students in this study. Distinctly different to stereotypical ideas, these particular students wanted to learn. In a profound way, empirical research highlighted how stringent academic conditions were powerfully used to demarcate access and predetermined which types of youth were permitted on higher levels of study programmes and apprenticeship. This study adopts a social justice framework and therefore advocated for numerous structural and pedagogical changes. Amongst others, the recommendation was made for an overhaul in government and organisational policies on GCSE provision. This study also calls for a sharpened political focus, inviting academic and government debate for a critical re-think and revamp of re-engagement provision - so it is fit for purpose for disadvantaged students.

Keywords: Raising of Participation Age (RPA); Further Education (FE); NEET (not in education, employment or training); Neo-liberalism; Level 1 pre-vocational course, Warehousing, marginalisation; GCSEs; human capital

Introduction

RPA (Raising of Participation Age) legislation re-positioned all youth in England to participate in post-16 education and training, the ultimate aim to develop ‘human capital’, i.e. skills, abilities and knowledge (Foucault 2008). However, how does RPA play out in practice with previously NEET and so-called disengaged youth enrolled on a Level 1 prevocational course? Moreover, to what extent can they reap benefits when re-engaged in further education, as echoed in RPA discourse?

This paper draws on key empirical findings that problematize education. It brings into focus the strong political emphasis on raising education credentials as a means to develop a skilled, qualified workforce in England (DFES, July 2012), but also highlighted its profound effect and complications for marginalised youth that participated in the study. Far from being a straightforward experience for former NEET and disadvantaged youth to gain knowledge and skills whilst at college, conversely empirical data illustrated that unlike neoliberalist assumption, Level 1 pre-vocational students on this particular employability course faced multiple barriers that challenged student efforts to access essential provision in an attempt to improve on previous academic failure. Contrary to RPA rhetoric, this study challenged notions of ‘upskilling’ and ‘equal access and opportunity’, revealing gatekeeping, warehousing and marginalisation from essential and mainstream provision. At its core functions, a credentialist nature appeared to be inherent to this particular college system - this, despite marginalised students’ efforts to re-engage and develop human capital.

Empirical findings hence appear to dispel political ideology: the study shows that re-engagement in education for these particular students rarely resulted in quality tuition and the right type of qualifications needed to progress within the setting. In a profound way, empirical research highlighted how stringent academic conditions were powerfully used to demarcate access and predetermined which types of youth were permitted on higher levels of study programmes and apprenticeship. This study adopts a social justice framework and therefore advocated for numerous structural and pedagogical changes. Amongst others, the recommendation was made for an overhaul in government and organisational policies on GCSE provision. This study also calls for a sharpened political focus, inviting academic and government debate for a critical re-think and revamp of re-engagement provision - so it is fit for purpose for marginalised youth.

With this in mind, I will begin by returning to my initial research questions in order to tie together the empirical findings that formed the basis for central and original arguments highlighted in this study.

Key research questions

What are the educational experiences and trajectory of Level 1 pre-vocational students engaged in a particular employability course?

How do government, organisational policies and staff practices influence student access and types of educational and training provision made available, and therefore what are its implications for these particular students?

How is the curriculum delivered and to what extent does it facilitate RPA purported goals for enhanced academic and employment outcomes?

Ultimately, what are the actual student outcomes for these students and how does this compare with RPA logic?

Empirical research methodology

Empirical research was conducted at a large general further education (FE) college in the South East of England, named *The Site* with seven course tutors and twenty six students from the 2013-14 and 2014-15 cohorts. A case study approach was used, drawing on multiple methods of data collection: including classroom observations, semi-structured interviews focussed group discussions and document analysis. Participants were sampled 'purposively', using criterion sampling as the chosen sampling strategy as it enabled predominant focus on participants that have direct involvement with this particular course. Students self-selected to participate in the study and all course tutors agreed to be interviewed. Over the two academic years, classroom observations were conducted with one class per year and their tutor that volunteered; the required ethical consent was granted from relevant parties. A focus group discussion was held with students from both cohorts who volunteered to participate, with the aim to capture a group response on the research issues.

Course provision was located in a green, temporary prefabricated building on the outskirts of a large FE college. Known as Q-block, the building is primarily used to deliver programmes for non-traditional students, i.e. NEET young people, disabled students, ESOL (English for speakers of other languages), Access to HE and Adult learners on Welfare to Work programmes. The surrounding environment entails the car park, bike shed and smoking area. This particular Level 1 pre-vocational course and similar Foundation learning programmes seem separate from the operations of this large institution.

A large car park separated Q block from the rest of the buildings - mainstream provision on the opposite ends delivering a range of vocational courses and apprenticeship training. It is also furthest from the Higher Education building, the college gates and security guards. This particular course appear to have low social positioning within *The Site*: the spatial location of the course provision symbolically representative of a metaphorical divide between pre-vocational study for 'non-traditional' students and mainstream vocational education aimed at 'traditional' students. The course and students arguably segregated from wider college.

Key findings and issues for consideration

It is important to note that given the inter-related and complex nature of emerging issues, I could not produce an academic text that reflected a linear response to each research question. Also, it was difficult to cover everything, however, I rather wish to draw out and weave together some central issues which emerged as key findings and gave rise to the original contributions of this study.

Gatekeeping function of GCSEs

Noticeably, key research findings problematize education and highlighted complications for marginalised youth that participated in the study. Contrary to contemporary discourses, the majority of the students that participated in my study held aspirations and voiced an evident need to re-take GCSEs. However, as extensively detailed in one of my previous publications on the gatekeeping function of GCSEs, several student narratives highlighted a fundamental issue - GCSE provision was firmly placed out of reach for students with low or no prior GCSE qualifications; scope to improve upon previous low academic results in reality was diminished (Cornish, 2017a). This particular issue was echoed in several student narratives, illustrated when Zette stated,

"I don't want to waste a year here on this course. My English is like a D and my Maths like a F. But I don't understand why I cannot do my GCSE Maths if I don't get a D? I don't understand that! No, the tutors did not explain why I cannot do it. I would have thought that if you did not get the right GCSEs you can re-take them whatever they are? I didn't know it had to be a certain grade for me to be able to re-take them....I need to take my GCSEs but I don't know where to re-take them?"

This statement echoed student apprehension and highlighted that the GCSE policy essentially bars those students with lower grades from re-sitting and improving GCSE grades. Access to GCSE provision was heavily regulated and controlled through government and organisational practices. College policy mandates that students with a D-grade in GCSE maths and or English are the only ones permitted to enrol on GCSE courses. Not only is this institutional policy, but the DfE post-16 funding policy reflected in the 'Crossing the Line: Improving success rates among students retaking English and maths GCSEs' (Porter, 2015), required learners with GCSE grade D in English or maths to re-sit, alongside their other studies. In a nutshell, if student grades are lower, which is commonly the case with these particular learners, the opportunity to re-take GCSEs does not exist at this particular college. Thus, though Zette identified the need for higher GCSE grades, ironically she found she had to search for a different educational establishment that would allow the opportunity to access GCSE provision. Hence, the education system appeared to reproduce the further marginalisation of youth already on the margins of society. In the present milieu - participants discovered they were stuck with their existing low grades.

'Warehousing' or taught skills to achieve?

The situation exacerbated that instead of being taught actual 'skills to achieve', students appeared to be warehoused. The predominant teaching aim was to 'keep students busy', getting them to do 'any kind of work'. Reflecting on her teaching practice, one of the tutors - Hope reported:

"Uhhh just getting them to keep busy, do any kind of work....getting them to keep quiet when you are talking...We have to rely on someone like the Prince's Trust and EYS to move them on and keep them busy. They might come back to Level 2 and keep them busy or something else before they start something else full time in next September..." (Interview with course tutor, Hope, July 2014).

According to Hope, her central teaching aim was to keep students occupied, getting them to do 'any kind of work'. Although this idea of students being industrious resonates with broader educational aims around citizenship, noticeably, on this occasion the industrial call to 'keep busy' involved students engaged in classroom activities that appeared to lack academic focus and relevance. In this respect, the delivery of the course curriculum appeared to lack purpose, challenging the extent to which the course could facilitate grade achievement and the development of employability skills.

Distinctly different to stereotypical ideas, overall research findings discovered that most participants wanted to learn. Low quality provision was noted and carried criticisms from students. Adam reported:

"I find it (the course) a laugh. Being honest with you...look, look at the type of work we are learning... adjectives and verbs. Yes, look...I find it all a laugh! It is jokes! Look what we are doing. I want to learn proper English and maths...you know what I mean? Not this stuff...this is a waste of time".

In a profound way, this narrative reveals a student's appraisal of the type of education being made available when engaging in this particular course. For students like Adam, re-engagement in education was fundamental; he needed to improve on previous academic failure. Indeed, maths and English were taught in lessons. However, the standard and quality of provision were called into question – Adam mocked the provision and 'found it a laugh'. The point here, in Adam's appraisal, the type of education made available appeared to lack academic rigour. He found it 'a waste of time' – his time. Adam wanted to be taught 'skills to achieve' - hence his stated desire to learn 'proper' English and maths. By implication, he wanted a 'different form of knowledge'. Classroom knowledge made available in lessons thus did not appear to meet this

particular student's expectations. Raising objections, Adam seemed determined to make visible the type of education on offer to him and others in the classroom. Hence his claim, '*look, look at the type of work we are learning*'. Classroom provision was found lacking – at present, the type of education construed as '*jokes*' (Cornish, 2017b).

While student classroom conduct was observably loud and disruptive, it arguably overshadowed concerns around pedagogical activities and teaching practices. It is likely, that in an important way, these work practices considerably produced negative outcomes: it generated negative classroom conditions and inherently influenced disruptive student behaviour. Hence, consolidating a stereotypical belief that with these particular students there was a reluctance to learn; also, it legitimised warehousing practice on the Level 1 pre-vocational course.

What are the progression outcomes for these learners?

My particular study showed that for pre-vocational students at this specific college, engagement in education rarely resulted in improved academic and employment outcomes. Of significance, destination data indicated discrepancy between students' aspirations and actual progression outcomes. Instead of moving on, data illustrated most students were repeating a similar, lower-end employability programme. Only one student from both cohorts moved upwards on to a Level 2 programme, whilst a few students made sideways progression onto Level 1 vocational courses. Other than the substantial minority that were able to progress on to a Level 1 vocational course or some form of employment, it certainly could not be overlooked that 75 per cent of students that participated in the study were recorded NEET despite having completed the course and acquiring the qualification.

Empirical data thus indicated that participants were rarely given opportunity to progress and advance on to mainstream provision; instead, the majority of students repeated a similar version of the course. Although a prolonged period of education could be viewed as constructive for former NEETs on the basis that the attainment of any type of qualification could be deemed an improvement upon previous academic failure, the problem lies in the fact that the majority of research participants wanted to move on from pre-vocational provision and access mainstream vocational education. Student participants reportedly viewed re-engagement provision as part of a bigger goal to make up for 'lost ground'. Hence, other than the substantial minority that sought apprenticeships or employment, the majority of students pinned their hopes on the qualification to pave the way to vocational courses.

However, a range of emerging factors hindered progression ideals: notably, the Level 1 pre-vocational qualification did not guarantee straightforward transition; neither did it appear to hold academic significance within this particular college. Structural constraints, operational practices and stigma influentially challenged progression outcomes, firmly placing relatively 'realistic' aspirational goals out of reach for student participants. Herein, the Level 1 qualification did not guarantee straightforward transition, questioning the extent to which the qualification held academic relevance within this particular college. On this basis, tension appeared to exist between RPA rhetoric and actual educational opportunities available to participants, despite student efforts to navigate transitions within the setting. Hence the central argument, that the course and current college system essentially reproduced NEET identities, instead of finding a possible resolution.

Implications for policy and educational practice

In light of my empirical findings, it could be argued that since the Wolf Review 2011, there appeared to be minimal changes and improvements on lower level provision for these particular students at this College. In a profound way, empirical research revealed how stringent academic conditions were powerfully used to demarcate access and predetermined which types of youth were permitted on higher levels of study programmes and apprenticeship. Admittedly, it was necessary to be cautious not to make generalisations from a study this size. However, it may be that some parts of the findings resonate with other educators and researchers in the field and with this in mind, the following recommendations are made:

Policy implications

i) Government policy should ensure all young people, regardless of a history of low achievement, should have access to GCSE provision. Recognition should be given that the schooling environment perhaps did not suit, or the fact that students might now be ready and interested to gain qualifications. These reasons aside, they should be given a 'second chance' opportunity to engage in 'real' and 'meaningful' education within a highly supportive academic environment. This policy recommendation required a critical re-think and overhaul of government policy, and in effect, organisational policy on GCSE provision. Presently, relatively realistic goals to gain and improve upon low GCSEs seemed unrealistic in the current college environment. By implication, access to low level vocational courses and apprenticeships were considered almost unrealistic

aspirational goals for these youth. Hence, in an attempt to 'level the playing field', it was recommended that GCSE provision be accessible for all youth within the education sector.

ii). Currently pre-vocational students on these courses appeared 'hidden' and absent from government debate and political focus. This study calls for a sharpened political focus and consequently invited political debate with the view to policy reform on re-engagement provision. This policy should regulate the need for quality improvements and raised academic standards that provide 'real' and 'meaningful' education for students on the course. Government policy to demonstrate commitment through increased government funding, spearheaded for specialist staff recruitment, training and development, and additional resources needed so staff could consolidate or re-set aspirational goals and consequently deliver quality education and training.

Implications for educational practice

i). Firstly, it is recommended that the organisation adopts a more inclusive agenda, re-positioning 'lower ranking' courses with the aim to re-integrate provisions into mainstream operations. For this to occur, several organisational changes are required: the first issue was to deal with the academic divide revealed in space and locations - hereby, it is recommended that all courses should be delivered in buildings that are in the same geographical space. If this is not possible at all times, for colleges to ensure that a diverse mixture of students from all levels of FE study programmes be situated within these buildings.

ii) Secondly, the study calls for an overhaul of the institution's GCSE policy, recommending that organisational policy widens access and allows all students to access this provision, regardless of prior attainment. Moreover, the inclusive ethos to extend to apprenticeship provision and access to mainstream provision too. This policy change also includes organisational mandate that once Level 1 pre-vocational students 'successfully' attained the qualification, this should naturally result in a place on a vocational or training course in mainstream provision. At the moment, students rarely progressed despite having gained the Level 1 pre-vocational qualification. In so doing, policy regulation would negate institutional barriers and address concerns over student progression.

iii) It is recommended that the organisation actively develop a culture of raised academic expectations of pre-vocational and lower level students. Staff attitudes and work practices should reflect this raised level of commitment. Organisational policy should therefore mandate that any labelling, stereotypical ideologies, judgmental language, and low standards of practice be challenged and efficiently dealt with in the setting. The organisational ambition to drive up standards should consequently embody the requirement that tutors have greater student expectations which involves setting challenging goals; practice ideals driven not to keep students busy 'just for the sake of it', but for lessons to have academic purpose and relevance with a mutually agreed learning goal.

Original contributions of the study

Amongst others, this study made an original contribution to literature on the sociology of education: it identified and unpacked contemporary ways in which the English vocational education system reproduced social class inequalities through its structures, policies and practices. My study produced a counter-narrative that drew attention to policy contradiction and how this particular further education system appeared to be instrumental in producing social exclusion and negative outcomes for marginalised youth that participated in my study. It does this in a number of ways – firstly, my study has demonstrated the dominant ways in which government and organisational policies, institutional structures and educational practices intervene and impact young people's agency, further restricting disadvantaged young people's 'choices' and career pathways. This I have shown through fieldwork data, illustrating varying ways how marginalised youth are further excluded and segregated from essential and mainstream provision that could make a positive difference. In this respect, the study hence makes an original contribution and has shown how this particular organisation has constructed various stringent academic conditions and systems of governance within the setting for a twofold purpose: firstly, to demarcate access to types of education provision and knowledge construction; secondly, it reveals how underlying educational processes and systems were used in a subtle way to regulate which type of student was allowed access to higher levels of study and skilled employment.

Limitations of the study

This research inquiry however, is limited in its particular use of qualitative research methodology. The issue of subjectivity is consequently highlighted. A further limitation was the research design – the study adopted a case study approach. As

such, research data could therefore not be representative and generalised to other groups and programmes. Furthermore, the research sample was restricted – it included only young people who were present in a particular class at a time when classroom observations, focus groups and interviews were conducted at this specific FE college. Hence, no claim is made that they are generalisable beyond the groups of young people who participated. Whilst presenting challenges, generalisability was not the intended goal of the study. What I address is the issue of transferability (Lincoln and Guba, 1985) as similar processes might be taking place in other further education colleges in different parts of the country. Hence, by way of thick, rich description and detailed information the study could be assessed for its applicability to similar programmes in other context.

Conclusion

The study reconnects with social justice and called into question the extent to which student participants could genuinely benefit from re-engagement provision on this particular pre-vocational study programme. To a great extent, it may be appropriate to consider Marx's theory of alienation, in as much that students on this particular course seemed marginalised from key provision and appeared to have minimal prospect of self-actualisation. Although the course was specifically designed for previously NEET or socially excluded youth, actual fieldwork mainly discovered adverse outcomes. Empirical data highlighted how the education system and broader socio-political mechanisms facilitated symbolic violence – a key notion introduced by Bourdieu and Passeron (1977). Symbolic violence arguably operates on this course and within *The Site*, legitimised in policies and practices considered useful and 'supportive', but which from the perspective of the student are seen as constraining (Cornish, 2017b).

Moreover, access to what was considered 'real and meaningful' education seemed restricted. Empirical data highlighted varying ways in which structural factors, institutional practices and ideological assumptions influenced the type of provision made available for these particular students, complicating the extent to which students could develop human capital within the setting. On a broader scale, such practices arguably facilitate a divide along class, ethnicity and gender lines, with some judged to be 'inside' the system and others 'marginalised', 'socially excluded', 'chavified' or 'precaritised'. Hence, in many ways, the situation of NEET young people could be described as a modern reserve army of labour (Simmons et al, 2014), as they seemed 'endlessly interchangeable' and 'churned' between many forms of engagement and on the margins of the labour market (Beck, 2015:494). In effect, the exercise of power through both the actual programme and discourses surrounding them may be recognised in the actual impact as shown in my study - that already marginalised young people, essentially appeared warehoused on low rent employability programmes that rarely offered scope for the development of human capital. In some way, it was also questionable whether engagement in this form of education can lead to rewarding jobs of the type referred to in rhetoric about the knowledge economy. On the contrary, for these students on this course, engagement in a prolonged period of post-16 education and training, far from guaranteeing the benefits claimed for RPA, may actually be diminishing the opportunities it purports to open up (Cornish, 2017c).

Scope for Future Research

Assumptions and stereotypical judgements are generally made about NEET and so-called disengaged youth, exacerbated by mass media representation which usually problematizes them. However, in light of my empirical findings on this particular re-engagement provision at *The Site*, further research was suggested on a larger scale: to discover whether my empirical findings were atypical of such provision, or are there identical issues experienced on similar provision at different colleges nationwide. I firmly believe that a particular focus on re-engagement provision across England was necessary and fundamental: by its very nature, re-engagement provision could offer a critical moment within the education system whereby it could become that turning point for youth that somehow struggled to reap benefits from the schooling system. That is, if it is delivered correctly and effectively. Further research could inevitably enable closer inspection of re-engagement programmes to identify colleges that deliver 'good' practice, but also those that produce negative student outcomes. Finally, a focus on further research invites academic and government debate for a re-think and possible re-vamp of re-engagement provision – so that it is fit for purpose. Fundamentally, this study essentially calls for a policy reform of re-engagement provision.

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Islamic Identity, Ethical Principles and Human Values

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Abstract

Human ethics and values in general and Islamic ethics in particular have been studied as matters of concern since prophet Adam received respect from the angels in form of their prostration and then descended from *al-Jannah* (heaven) to earth. In *surah al-Isra'*, verse 70, Allah says, "And We have certainly honored the children of Adam and carried them on the land and sea and provided for them of the good things and preferred them over much of what We have created, with [definite] preference." Hence, human beings were created to do what is good while being granted good things in the world. Islamic ethics address the means whereby mankind ideally accommodates divine guidance as applicable human behavior as well as good conduct and personal morality. This paper investigates the importance, essence and characteristics of Islamic ethics. Although Islamic attributions have significantly contributed to all civilizations, contemporary events raise issues that require a revisit. The authors submit this is because Islam's Code of Ethics is grossly misunderstood, especially concerning the office of God's vicegerent. This comprehensive study uses a qualitative approach and cites various verses of al-Quran and portions of the Prophet's Sunnah to support an analysis that emphasizes Islam's ethical principles and human values. By widely referencing verses from al-Quran, the authors highlight Islamic ethics and life principles that have had significant effects on civilization as valuable precepts for all aspects of daily living.

Keywords: Islamic ethics, characteristics of Islamic ethics, human values

Introduction

The word 'ethics' derives from the Greek word *ethos*, which means 'character' or 'custom' (Ahmet and Akdogan, 2012). Human action, behavior, spirit, reasoning and culture comprise moral systems established by mankind. Ethics are referred to by several Arabic terms including *ma'ruf* (approved), *khayr* (goodness), *haqq* (truth and right), *birr* (righteousness), *qist* (equity), *'adl* (equilibrium and justice), and *taqwa* (pious) (al-Hassan et al. 2013). Taken together they describe attributions that define an advanced human society in which high levels of culture, science, industry and government have been attained (John, 1991).

The Arabic term for ethics is *akhlaq*. Its singular form, *khulq*, is mentioned in As-Shu'ara: 137 and al-Qalam, 68:4. Another Arabic word is *adab* (manner) is closely related to *akhlaq*. Although some scholars think both terms have the same meaning there are essential differences that indicate application and source (Abdurezak, 2011). *Akhlaq*, is a characteristic state of soul that determines human actions based on moral philosophy; *adab* is the actual practice of moral philosophy. Moreover, *Akhlaq* describes a broad range of activities characterized as *Amal Salih* or 'virtuous deeds' in al-Quran (Nanji, 1991).

According to al-Ghazali, *akhlaq* defines the science or study of the human soul in terms of qualities and characteristics that are congruent with methods of behavioral application. Al-Ghazali also stated this science comprised two forms: *khalq* (the physical) and *khulq* (or *akhlaq*), which is the manifestation of actions that are rooted in the soul. Al-Ghazali posited that Islamic ethics teach the soul to behave well, do what is good and guard against vices. From his viewpoint, Islamic ethics concern specific religious beliefs with regard to the actual practice of right vs. wrong behavior and not mere understanding (Al-Ghazali, 2014, P. 461). Accordingly, al-Ghazali's opinion of *akhlaq* is strongly related to Islamic ethical positions on righteous deeds towards others and towards God through the actually knowing ones' self, and Almighty Allah, and worldly realities, and the reality of the Hereafter (Al-Ghazali, 2014, P. 11). Similarly, other philosophers such as al-Farabi,

Fakhruddin al-Razi, al-Tusi, al-Dawani, etc., mentioned a direct relation between *akhlaq* and human actions in which characteristics of the human soul determine individual accomplishments.

Science and technology have developed rapidly bringing numerous benefits and opportunities (Saifuddeen et al. 2013). Ethics play a crucial role in improving qualitative outcomes that advance several sectors such as surgery, agriculture, astronomy, information technology, military capabilities and numerous fitting innovations. Despite ethical contributions to the increasing growth of science and technology, certain areas lack ethical oversight, which has consequently allowed severe challenges and technological risks to the world at large.

According to Latifah et al. (2009), most developments in science and technology are pioneered and established by excellent research. However, many participants have disregarded ethical and moral concerns and their efforts have produced unethical outcomes. Nuclear energy and weapons, for example, continue to inflict pain and suffering through atomic radiation (Ahmad, 2016).

For truly progressive benefits, the fields of science and technology require ethical constraints, especially since disastrous results from scientific endeavors cannot be considered ethically neutral. Hence, this review of Islamic Ethics should stimulate fascinating new advances in science and technology with respect to applied Islamic Ethics as a guide to safeguard humanity from destruction due to the decline of morals. Applied Ethics ensure civilization is sustained via important components having to do with education, training and practice (Helmut, 1995). Ethical practices also fundamentally strengthen and protect individual and communal rights within the extremely broad Islamic framework. Muslims also believe we are born with a sound moral nature that responds to faith and ethical values (Nikhat, 2014).

Regarding the practice of blameless ethical behavior in all circumstances, Islam teaches that a strong relation with God leads to virtuous conduct. Human beings should convey piety and righteousness in life with sincere faith towards others made manifest by good habits that are well defined. Such a predisposition builds civilization by optimizing life ways that successfully benefit society. There is no doubt that Islamic ethics contributed to civilization from the beginning. Presently however, ethical values are neglected and consequently places civilization in danger. Al-Hassan et al. (2013) holds forth that several ethical theories, especially Islamic perspectives, need developing to clarify right vs. wrong activities for the purpose of distinctly preventing unethical matters from arising. This paper thus highlights the contribution of Islamic ethics towards building civilization and the challenges that confront the practice of these ethics in today's world.

The Significance of Islamic Ethics

Ethics are important for the development of beneficial Muslim conduct and character as commanded by Allah in al-Quran.

"God enjoins justice (and right judgment in all matters), and devotion to doing good, and generosity towards relatives; and He forbids you indecency, wickedness, and vile conduct (all offenses against Religion, life, personal property, chastity, and health of mind and body). He exhorts you (repeatedly) so that you may reflect and be mindful!" (An-Nahl, 16:90)

Islamic ethics define value as 'good character' shaped by al-Quran's teachings and Prophet Muhammad's *Sunnah* as well as numerous precedents set by Islamic jurists (*Sharia* and *Fiqh*). Thus, Islam presents a complete code for living that is framed by ethical values. Islam's guidelines for individuals, family, society, political, economics, judiciary and all aspects of modern living are replete with moral instructions. In al-Quran, many terms describe the concept of ethics such as *khayr* (goodness), *maslahat* (public interest), *birr* (righteousness), *qist* (equity), *'adl* (equilibrium and justice), *haqq* (truth and right), *ma'rif* (known, approved), *nahi munkar* (avoidance of bad and harmful things), and *Taqwa* (piety). Moreover, above them all al-Quran commands Muslims to not only do good and but also to forbid evil actions (Zaroug, 1999).

As a fundamental requirement for beneficial living, ethics provide the means for deciding purposeful courses of action that otherwise would become random, arbitrary and even aimless (Adibah, 2013). In a social environment that lacks an ethical code of conduct, there is no way to judiciously obtain specific outcomes because there are no established methods to choose, theoretically, from among unlimited objectives. Even within standard ethical milieus one could be successfully prevented from pursuing individual goals. Based on rational ethical standards, humans can more correctly organize and thus prioritize goals and actions to optimize outcomes. Any flaw in requisite ethics also reduces one's ability to pursue certain endeavors successfully. Thus, morality and integrity are important characteristics that demonstrate a nation's integrity, even for those with no aspirations for a career in law enforcement. We instinctively know that it is good and moral to act with integrity, but by establishing mutual understanding for the dignity and necessity of providing moral reasoning we become motivated to champion such behavior (Lafollette, 2007).

Regardless of one's position in society, the main reason to lead a moral life of integrity is to construct a better society by treating every member equally according to a uniform code of principles. Other reasons are to secure meaningful employment, business success and reduce levels of communal and personal anxiety. Ultimately, the importance of ethics do not concern philosophical understanding but rather the improvement of how we live (Lafollette, 2007). Being moral enriches our lives and the lives of those around us. It is especially important to live a moral life when young, as it is helpful to exercise and practice ethical concepts before being confronted by more complex issues. Ethics, like most everything else we strive to be good at, requires practice and effort to perfect correct decision making throughout life and pays great dividends when one is faced with serious moral dilemmas (Lafollette, 2007).

Islamic ethics also emphasize the need to understand and develop virtue. Knowing that we ought to behave in a certain way but missing an opportunity to exercise moral behavior indicates the need to "*sharpen moral vision*". For example, we know that we ought to stay in good physical shape but most of us do not. This illustrates a need to be mindful of an important virtue (in this case, perseverance) that should be developed.

Muslims also believe that science and technology must follow a process of evidence, justification and truth.

"They (Jews or Christians) say that none will enter Paradise unless he be a Jew or a Christian. That is their wistfulness (vain desires and fancies). Say: 'Produce your proof if you are truthful.'" (Al-Baqarah, 2:111)

Sources of Islamic Ethics

As a set of beliefs and directives for action without limitations of time, space and convention, Islamic ethics initially begin with al-Quran, the revelation God's word, which is full of beautiful expressions and wisdom; and secondly from the *Sunnah*'s attributions ascribed to the last messenger of Allah that characterize his ethical practices. Both al-Quran and *Sunnah* attach great importance to a code of ethics that fundamentally aims to form honest personalities with truly human identities (Kemal, 2010). Prophet Muhammad was sent to preach an essentially moral message as specifically expressed in al-Quran:

"We have not sent you (O Muhammad) but as an unequalled mercy for all worlds." (Al-Anbiya', 21:107)

For this reason, the best sources of Islamic ethics provide ethical concepts that are not only taught in al-Quran but were also embodied by the Prophet's example; thus providing us with the best model to emulate. Al-Quran states that the best person is a person who upholds moral foundations and invites others to practice these values (Abdurezak, 2011).

"Who is better in speech than one who calls (men) to Allah, works righteousness, and says, I am of those who bow in Islam?" (Al-Quran 41:33)

Moreover, the exemplary moral life of Prophet Muhammad articulated various applications of Islamic morality and ethics. Hence, ethics, from the Islamic perspective, signify behavioral traits that are regarded as good that are based on al-Quran and *Sunnah*. Both sources are referenced for laws and principles that guide the Islamic way of life as mentioned in the following verse:

"... We have sent down on you the Book as an exposition of everything (that pertains to guidance and error, and to the knowledge of good and evil, and to happiness and misery in both worlds), and guidance and mercy and glad tidings for the Muslims (those who have submitted themselves wholly to God)." (An-Nahl, 16:89)

Thus, Islamic ethics not only define ethical behavior but also instruct us in the building of a better way of life for the individual and social order in which he/she dwells. Islam instructs us that Allah created mankind and provided laws and regulations concerning belief and moral instructions suited for mankind's implementation and governance. The modern age confronts us with many challenges including accelerating developments in science and technology. As Islam is a complete dynamic and holistic religion, everything that happens can definitely be handled by Islamic ethics with proper guidance from al-Quran and *Sunnah* and other Islamic sources. Islamic ethics teach us how to conduct ourselves in a godly manner and avoid wrong doing (Brown, 1999). Thus, Islamic ethics offer optimized guidelines to govern modern science and technology with assure beneficial outcomes for everybody.

In addition, Islamic law depends on two further sources, *Ijma'* and *Qiyas* (Huda, 2016). *Ijma'* is a consensus of opinion offered by ulema' or scholars within a community in the absence of a specific legal ruling for a certain situation. *Qiyas* occurs when people attempt to obtain a legal ruling that, unfortunately, has not been clearly addressed in other sources. Therefore, judges may use analogy, reasoning and legal precedent to decide new case law (Huda, 2016).

In al-Quran, God revealed the eternal message of Islam as guidance for personal life as well as social life. The *Sunnah* completes these guiding principles with the Prophet's example, interpretation and explication so that Islamic law is practiced with required precedent (Sikandar, 2005). In Islam, law and morality cannot be separated as both are intermixed and righteous deeds are established out of necessity once the religion is firmly believed. Islam is a perfect combination of faith (iman) and practice (amal) in which both elements represent law and morality, as mentioned in Shariah law and ordained by God. Literally al-Quran mentions that Muslims must take care of mental attitude by not cheating or exploiting the trust of others and by avoiding injustice and the distortion of rights as well as disloyalty.

"If any person is so false, He shall, on the Day of Judgment, restore what he misappropriated; then shall every soul receive its due, - whatever it earned, - and none shall be dealt with unjustly." (Al-Quran 3:161)

Another verse promotes the practice of good moral behavior by expressing kindness, generosity, self-discipline and constantly forgiving the mistakes of others.

"Those who spend (freely), whether in prosperity, or in adversity; who restrain anger, and pardon (all) men; -for Allah loves those who are virtuous, through such actions, that is to say, He will reward them." (Al-Quran 3:134)

Human Characteristics of Islamic Ethics

Undoubtedly, Islamic ethics improve human relations and shield civilizational constructs with metaphysical ramparts of decency and order. The several characteristics of Islamic ethics are exemplified in the message of al-Quran as revealed to Prophet Muhammad and as inscribed in his *Sunnah* (Nanji, 1991).

Islamic ethics apply to various aspects of life including governance, business and the management of personal matters. Prophet Muhammad, who possessed perfect ethics, once said, "*I was sent to perfect good morals*" (Al-Sahihah, 2010). His mission was to imprint human hearts with impeccable morals that would guide us with exemplary conduct towards each other. Major characteristics of Islamic ethics include bravery, consideration, experience, fairness, justice, honesty and the pursuit of knowledge. Each ethic is discussed in detail below, along with examples and reference to al-Quran and *Sunnah*.

4.1 Bravery

Courage is required for those working in the realms of Science and Technology. A courageous soul will survive the incredibly wild growth of science and technology (Rawls, 1999) and subsequent influences on the development of modern Muslims life ways. Scientific activity requires much effort and risk taking, including failures and even harm when one is striving to achieve desirable outcomes. Hence, a brave, courageous attitude helps scientists overcome confrontations with numerous challenges.

The brave character is mentioned numerous times in al-Quran with respect to protecting Muslim property. Muhammad set an excellent example of noble manners and merits, including courage. Al-Quran presents the Prophet as the best of moral role models: "*You are surely of a sublime character, and do act by a sublime pattern of conduct*" (Al-Qalam, 68:4). His valor was a byword among his contemporaries because he gallantly stood against the greatest odds while enduring painful injuries and still victoriously fought on to overcome and afterwards show mercy to stone-hearted ignorant Arabian infidels (E'mara, 2011). He endured pain and sufferings for thirteen long years in Mecca while inviting people to Islam, without ever being intimidated by the sheer force, numbers or arrogance of the *Jahiliyya*. The Prophet never succumbed to fear or threats in extremely difficult situations and crises. He put his full trust in Allah and depended on Him alone (Syed, 2010). He accepted the decrees of his Lord, was satisfied with God's support, and trusted God's promise.

Such bravery also applies to those working in science and technology who should be courageous enough to stand up and protect knowledge from unethical applications (Pollock, 2007). When conducting scientific activities, the scientist should always have faith and rely only on Allah, Who said:

"Do not fear! Surely I am with you, hearing and seeing" (Taha, 20:46); and "As for those who believe and do good, righteous deeds, and have humbled themselves before their Lord, they are the companions of Paradise; they will abide there-in." (Hud, 11:23)

4.2 Consideration

The way of life set forth in al-Quran and authentic *Sunnah* is not limited to creed, worship or the actions of our limbs or our slave-relationship with our Creator. It goes further to command us to be well-mannered with Allah's creation: to be kind and

charitable to all creatures and to maintain good relationships with them (Sandel, 2010). Hence, Islam charges us to be friendly and to treat others well while considering their feelings and emotions according to sublime Islamic rules and guidelines. This concerns manners, morals and social relations between individuals as to duties and rights. It also commands us to choose appropriate words according to different situations. Allah says in al-Quran:

“... And do good to parents in the best way possible, and to the near (relatives), to orphans and to the destitute; and speak kindly and well to the people; and establish prescribed prayer in conformity with its conditions; and pay the prescribed purifying alms (the Zakah)...” (Al-Baqarah, 2:83)

Consideration of beneficial effects on humans, animals and environment help us attain success in science and technology and can be deemed a necessary ethic, as al-Quran commands us to perform what is good towards animals and environment. This also applies to the acceptance of opinions offered by others and the sharing of thoughts and knowledge (Al-Munajjid, 2015).

“(Should not those whose ears are closed to the Quran look around themselves to see the signs of the truth?) No living creature is there moving on the earth, no bird flying on its two wings, but they are communities like you...” (Al-An’am, 6:38)

“O you, who have believed! Avoid much suspicion, for some suspicion is a grave sin (liable to God’s punishment); and do not spy (on one another), nor backbite (against one another). Would any of you love to eat the flesh of his dead brother? You would abhor it! Keep from disobedience to God in reverence for Him and piety. Surely God is One Who has truly returned repentance with liberal forgiveness and additional rewards, All-Compassionate (particularly towards His believing servants).” (Al-Hujurat, 49:12)

The creation of scientific and technological knowledge receives positive or negative feedback from community and colleagues. The Islamic ethical code of conduct recommends that all who play major roles in such venues conduct well-mannered approaches to the opinions and thoughts of others. As mentioned in the above verse, negative assumptions (suspicions) are warned against by Allah and should be avoided by Muslims.

4.3 Experience

Al-Ghazali stated that experience contributes to knowledge in addition to reason and transmission from reliable sources. Informing others about one’s experiences and knowledge plays a significant role in Islam’s system of responsible ethics. For example, the prophet always deferred to the community when seeking to solve problems related to differences of opinion about *aqidah* (faith) and *akhlaq* because his role was to help the community in a good way, as commanded by Allah in Al-Quran:

“(Thus did We command you): Judge between them with what God has sent down, and do not follow their lusts and fancies, and beware of them, lest they tempt you away from any part of what God has sent down to you. If they turn away, then know that God will only afflict them for some of their sins. And many among human beings are indeed transgressors.” (Al-Maidah, 5: 49)

Furthermore, expert experience is very useful, mostly when planning, developing, controlling and maintaining each community, and especially when upgrading effective decision making for future projects. Collaboration between experienced designers is purposed to produce brilliant ideas and applications for organizations when assisting subordinate knowledge transfer.

4.4 Fairness/Justice

As a high moral principle and from Islam’s ethical perspective, justice is defined as treating others fairly by providing them with what they rightfully deserve in the Islamic context, and also by rightfully positioning things. God said in al-Quran:

“God commands you to deliver trusts (including public and professional duties of services) to those entitled to them, and when you judge between people, to judge with justice. How excellent is what God exhorts you to do. Surely God is All-Hearing, All-Seeing.” (An-Nisa’, 4:58)

Justice is held in the highest moral regard among Muslims as a means to strengthen their defense against enemies. Even at war, Muslims are required to firmly administer justice. Islam also requires just settlement of arguments between married couples. For justice to be fully applied to the highest degree, Muslims must purify themselves by keeping their acts and

beliefs virtuous. They should also stand tall and proudly protect the sanctity of Islam by becoming those who deliverer justice.

“O you who believe! Be upholders and standard-bearers of right for God’s sake, being witnesses for (the establishment of) absolute justice. And by no means let your detestation for a people (or their detestation for you) move you to (commit the sin of) deviating from justice. Be just: this is nearer and more suited to righteousness and piety. Seek righteousness and piety, and always act with reverence for God. Surely God is fully aware of all that you do.” (Al-Maedah, 5:8)

This verse shows that God disallows injustice and hatred (e.g., through discrimination) and that He also disregards color and ethnic differences because people are equal in His eyes. Hence, God commands humankind to hold justice with the highest esteem. Allah has repeatedly reprimanded mankind with regard to injustice in al-Quran, wishing to protect us from the mistakes of our ancestors. The command from Allah requires Muslims to refrain from injustice and thus avoid the wrath that has fallen on Jews and Christians due to disobedience. He also warns against acts of treachery:

“If you have strong reason to fear treachery from a people (with whom you have a treaty), return it to them (i.e. publicly declare to them, before embarking on any action against them, that you have dissolved the treaty) so that both parties should be informed of its termination. Surely God does not love the treacherous.” (Al-Anfal, 8:58)

4.5 Honesty

Honesty is held in high regard. The Prophet even said to ‘wait for the Day of Judgment when honesty is mislaid’. This indicates the woeful end of time and Judgment Day, when people will be condemned and punished because of dishonest misconduct. Hence, in Islam, honest conduct is expected when dealing with other people and serves to unite notions of candor and truthfulness in actions, relationships and verbal exchanges. Thus, Islam compels truthfulness and forbids deceit. Al-Quran commands honesty.

“O you who believe! Keep from disobedience to God in reverence for Him and piety, and keep the company of the truthful (those who are also faithful to their covenant with God).” (At-Tawbah, 9:119)

Prophet Muhammad, as a firm believer in Allah, is the perfect example of a character that embodied honesty and received the titles, *al-Amin*, the trustworthy, and *as sadiq*, the truthful, even prior to his elevation to Prophethood.

“Those who have believed in God and His Messengers (those whose actions prove their profession of faith) - they are, in the sight of their Lord, the loyal and truthful (to God in whatever they do and say), and the witnesses (who have borne testimony to the truth with their lives). They have their (particular) reward and their (particular) light. But those who disbelieve and deny Our manifest signs and Revelations – they will be the companions of the Blazing Flame.” (Al-Hadid, 57:19)

Allah strictly forbids deceit and said that hellfire awaits those who conduct their life dishonestly. Allah also commands Muslims to be honest when consuming wealth.

“O you who believe! Do not consume one another’s wealth in wrongful ways (such as theft, extortion, bribery, usury, and gambling), except it be dealing by mutual agreement; and do not destroy yourselves (individually or collectively, by following wrongful ways like extreme asceticism and idleness. Be ever mindful that) God has surely been All-Compassionate towards you (particularly as believers).” (An-Nisa’, 4:29)

Allah forbids the consumption of other people’s wealth with dishonest intent and reprimands Muslims on the matter to prevent murder as a consequence.

“Do not confound the truth by mixing it with falsehood, and do not conceal the truth while you know (the meaning and outcome of what you do, and that what you strive to hide is true, and that Muhammad is the Messenger of God, whose coming you have been anticipating).” (Al-Baqarah, 2:42)

It is antithetical to Islamic ethics to mix truth with falsehood. An instance of this is telling partial truth when witnessing a crime committed by someone related to you. Allah forbids the concealing of truth when you know it, for example, lying for a family member who committed theft to prevent the pursuit of justice. Time and again, Allah reprimands Muslims to follow his instructions via Al-Quran to prohibit lying.

4.6 On Being Knowledgeable

Being knowledgeable is essential for a successful society. Knowledge is gained via informal and formal study and is a major Islamic contribution to human development (Al-Rawahy, 2013). Generally, knowledge derives from individuals who have beliefs and values that promote the creation of knowledge for competitive advantages (Sokhanvar et al. 2014). Islamic concepts of knowledge include transcendent aspects as well as sensory perceptions (Faruqi, 2007). Hence, a Muslim must obtain knowledge to understand God and enter into scientific activities that benefit human welfare by utilizing universal resources (Faruqi, 2007). Al-Quran, Islam's holy book, contains detailed knowledge and its contents are securely protected and guaranteed by Almighty Allah.

"Assuredly We have brought them a Book (the meaning and commandments of) which We set out in detail with knowledge, as guidance and mercy for people who will believe and who will deepen in faith." (Al-A'raf, 7: 52)

"Indeed, it is We, We who sent down the Reminder in parts, and it is indeed We Who are its Guardian." (Al-Hijr, 15: 9)

As science and technology develop to fulfill human needs, products produced by knowledgeable people will certainly be accepted. Knowledge varies from one person to another because judgments based on individual thought processes cannot be transferred genetically (Sokhanvar et al., 2014). Al-Quran even affirms this difference.

"Is he who worships God devoutly in the watches of the night prostrating and standing, who fears the Hereafter and hopes for the mercy of his Lord (to be likened to that other)? Say: "Are they ever equal, those who know and those who do not know?" Only the people of discernment will reflect (on the distinction between knowledge and ignorance, and obedience to God and disobedience), and be mindful." (Az-Zumar, 39: 9)

In the pursuit of knowledgeable advances, a strong relationship exists between knowledge and emotion (Antlova et al. 2015), one that highlights the importance of morals, values, ethics and their benefits to society (Chowdhury, 2016). This is because knowledge is used in decision making (Tennoy et al. 2015) and plays a more important role than does desire (Antlova et al. 2015). For example, drugs commonly used for medical purposes can also be misused solely for the purpose of profit making. Moreover, such drug abuse causes much harm to those who are addicted. This is unethical and demonstrates that knowledge is insufficient when emotions (desires) are not controlled and a person's credibility can easily fall into disrepute. This statement relates to a verse in al-Quran:

"No, indeed! Those who do (the greatest) wrong (by associating partners with God) follow only their lusts and fancies, without (basing on any) knowledge. Who has the power to guide him whom God has led astray (on account of following merely his lusts and fancies)? And such have none to help them (to salvation)." (Ar-Rum, 30:29)

Islam teaches us to live and consume responsibly without causing negative effects to any living or non-living thing (Al-Rawahy, 2013). With appropriate use of knowledge with regard to science and technology, immoral issues cannot arise when people realize their responsibilities to cause and reap what is beneficial for all. Moreover, knowledgeable upgrades in science and technology continue to improve human life without neglecting ethics.

To usher characteristics of Islamic ethics into an individual's life it becomes everyone's responsibility to reject unethical behavior. Thus, we are required to react appropriately and in a good manner to encourage ethical behavior as mentioned in al-Quran, most especially because Almighty Allah does not change people until they change themselves.

"(Every person advances through varying states before and after, and) by God's command attendant angels succeeding one another accompany him before and after him to guard him (and record his deeds). God does not change what is in themselves. When God wills evil for a person (in consequence of their own evil deeds), it cannot be averted, and apart from Him, they have no protector." (Ar-Rad, 13: 11)

Essential Islamic Values and Ethics for the Development of Civilization

Islam teaches that human beings were created as God's *khalifah* (vicegerent) to realize *amanah* (His will). To enable man for the task of building civilization, Allah revealed *Shari'ah* law, which sets forth rules to govern various aspects of Islam. This includes ideology and laws that are essential for the development of civic-minded citizens and a constructive social order. Its accompanying codes of ethical behavior are basic guidelines for the development of upright and wholesomely integrated individuals and societies (Sikandar, 2005). Hence, as *khalifah*, men are required to ensure that life is improved by civilizing their communities.

Men also have an inherent need to perform ethical duties and constantly upgrade their quality of life. For this reason, human conduct is considered ethical when it contributes to civilizing efforts in line with Allah's will, which then qualifies such communities as guided by an Islamic ethical system that is replete with divine, transcendent and universal principles. As stated earlier, Islamic ethics offer a complete guide for the applicable management of *akhlaq* and *adab* to build a strong civilization. The Islamic ethical system considers the role of spiritual motivation in the determination of a man's attitude as either good or bad. Optimally, ethics, religion and law are complementary and lack contradiction, and thus constitute moral practice.

Defined as the 'process of civilizing to advance and develop human societies', civilization includes advanced achievements that portray a systematic and progressive system. A civilized society demonstrates various characteristics that exemplify formative fundamentals of a complete and forward-thinking societal system. Islam's contribution to civilization and social development is established as a 'glorious' influence on western civilization, including the growth of knowledge, which was made possible by contacts with Muslims (O'Brien, 1999). According to Syed Othman Alhabshi and Nik Mustapha Nik Hassan (1997):

"Since its first appearance on the world scene, Islam has played its part in the development of civilization, first by transforming an Arab *Jahili* society into a *tawhidi* one; second by influencing neighboring societies through international and intercultural contact; and third by acting as a catalyst for the transmission of certain values from one society to another ... the biggest empire in world history was built by Muslims through their missionary activities, military might and efficient and just administrative rule."

Islamic civilization can be defined by the spiritual and material achievements of Muslims both. Urban areas are centers of Islamic civilization where one observes magnificent architecture as well as advances in science and technology accompanied by spiritually guided laws that uphold the economy as well as family relationships, education and political relations. All is based on steadfast moral platforms provided by *shari'ah* and *iman* (belief), as found in al-Quran and *Sunnah*. It became obvious during the medieval period that many Muslims intellectuals were leaders in administration, astronomy, economic development, agriculture, industry, engineering, defense, science, mathematics, shipping, navigation, medicine and other fields of art and science.

Their outstanding achievements and contributions to civilization established significant milestones. Therefore, we cannot be remiss when discussing the influence of Islamic ethics on the building of civilization because ethics guided relationships and achievements obtained with a view towards Islamic principles that materially realized a great civilization.

Islamic political philosophy places an essential need on the election of good leaders within a social system focused on family centered communities, states, organizations, etc., all framed by the context of morally imbued Islamic ethics. A famous narrated *hadith* of the Prophet reports "*For a long journey with more than three musafir (travelers) one should be elected as amir (leader)*". Islam also places much emphasis on the concept of *shurah* (consultation). A full chapter in al-Quran, Ash-Shura, praises consultation.

"Those who hearken to their Lord, and establish regular prayer; who (conduct) their affairs by mutual consultation; who spend out of what We bestow on them for Sustenance are praised" (Al-Quran, 42:38).

Moreover, previous Muslim civilizations constantly improved their economies and positions in the world by vigorously pursuing industrialization (Ghazali, 1996). Moral values are one of the most important components that contributing towards economic progress. Therefore, good moral values in the pursuit of economic development require ethical adherence. In this regard, we refer to al-Quran and *Sunnah* to appreciate the emphasis placed on the proper use of the intellect and the need for wise reflection on the bounties of Allah and their proper utilization (Ghazali, 1996).

Discussion of socio-cultural development is fundamentally about ethics, which are most essential in the formation of all civilizations. The three main objectives of Islamic civilization are to establish the following:

Relationship of man with Allah S.W.T;

Relationship of man with man;

Relationship of man with his environment.

These are possible through 'knowing one's own self', 'knowing the Almighty Allah', 'knowing the reality of the world', and 'knowing the reality of the Hereafter' (Al-Ghazali, 2014).

Man's relation with Allah is paramount as the basic pillar of Islam and the building of a civilized nation. The bedrock of Islamic civilization is *iman* (faith). However, Islamic civilization was/is not the result of ritual pursuit or even of obedience to Allah but was rather of analyzing and applying injunctions and guidance from Allah as a practicable way of life (Alhabshi et al. 1997). Islam provides guidance for everything concerning daily life ways that positively contribute to society and help develop the state via ethical principles for work, family and neighbors to improve life by making everyone aware of their responsibilities and rights.

In fact, *Kīmiyā-i-Sa'ādāt* is included four essential elements of Islam to obtain alchemy of eternal bliss:

'Ibādāt (the acts of worship),

Mu'āmilāt (the dealings),

Muhlikāt (all bad morals such as arrogance, pride, self-appreciation, anger etc.),

Munjīyyāt (all good morals such as love, hope, gratitude, patience) (Al-Ghazali, 2014).

God's Vicegerent: Modernization and Ethical Challenges

Changes arise in human lifestyles from the development of technology and science that often challenge moral values and cultural mind-sets. Technology and information have also managed to eliminate some limitations of national frontiers. In fact, they allow influences that change perceptions, ideology and various external elements to enter a country without restrictions or controls. Naisbitt (1982) predicted that one out of ten human tendencies in the early 21st century would be based on information from a globalized world as decisive drivers into the future because information would spread internationally through social network media. Although such powerful influences on civilizational exist, potential adverse effects should not be ignored because they can become a cancer that worsens existing social ills. Islam offers moral perspectives that can counter negative influences by generating authentic harmony and prosperity in a modern world filled with ethical crises.

Undoubtedly modernization allowed rapid urbanization, industrialization and migration from rural areas with some positive impacts but not without rising social ills. A moral crisis occurs when some people are so driven by profiteering that they neglect moral sensitivities. Money oriented incentives have stimulated unethical behavior in all fields of invention and development without any concern or hesitation over adverse affects on environment or community. Without realizing it, problems arise when we stray from man's true purpose in accord with Islamic principles, morals and ethics.

Rapid growth of information technology allows all levels of society to access knowledge and data without restrictions. This also leads to challenging ethical issues that include the validity and correctness of information. Accuracy and authentic truth are important to prevent irregularities and falsehoods from being presented as facts, especially in matters of religious knowledge. Unscrupulous people always find ways to deviate and lie for the expressed purpose of misleading others. A most strikingly misunderstood issue is *jihad*, which has been wrongly portrayed by and to Muslims as well as non-Muslims. Misinformation is spread by people who fail to comprehend the spiritual significance of *jihad* and also by those who purposely indulge incorrect interpretations.

Solely citing Internet sources without confirmation of content validity often causes problems and can even threaten public security. Advances in information technology can also have adverse impacts from intrusions caused by hackers in countries where confidential information is easily compromised. The latest technology also allows for the modification of images that give negative impressions and affect the dignity and position of an individual and his family leading to charges of libel and other more dangerous forms of *fitnah*. In Islam, the spreading of *fitnah* is considered a great crime according to al-Quran:

“... and *fitnah* is more dangerous than killing...” (Al-Quran, 2:191)

Nowadays, social media networks and personal webpages can share information privately and publicly that has direct impact on social issues. Without restraints, on the surface this can be helpful but many times terrible results can arise that invite the loss of respect for moral values. Hence, development must be oriented towards optimizing human dignity in all realms. Moral considerations are inseparable from spiritual, material, economic and social pursuits. The holistic approach to development offered by Islamic ethics is morally oriented and comprehensively covers multi-dimensional aspects of material and social progress.

The role of knowledge is also important in the formation of personal character. Educational systems should serve as agents of *tazkiyah* (purification) to produce morally imbued citizens. Knowledge managers should not only recognize matters of good or bad behavior but also implement programs that familiarize students with the constant practice of what is truly beneficial in daily life. According to A. Rahim's (2013) study on Ibn Miskawayh's ethical philosophy, the practice of virtue transforms irrational students to rational individuals who will keep performing good deeds. For Muslims, being rational does not mean only to justify things intellectually but also to examine every single aspect of moral conduct to determine whether such behavior aligns with Islamic law.

In addition, there is a great need for the Muslim *Ummah* to provide the best example of behavior according to Islam's code of ethics. Thus, Muslims should mirror good manners as indicated by al-Quran, which has called them the best *ummah*, one that behaves according to what is right and wrong:

"You are the best community that has been raised up for mankind. You enjoin right conduct and forbid wrong" (al-Quran, 3:10).

Regardless of time or place, Islamic ethics provide courses of action that emphasize what should be learned by human beings throughout history. What was considered morally good in the past remains so throughout time. Good individuals will produce a good society. Thus, there is need to apply the deepest wisdom of Islam to contemporary problems in the modern world, especially when dealing with ethical matters.

Conclusion

Ethics comprise the most important of prerequisite elements for the building of humankind's character and as mentioned in al-Quran: to worship God, to perform what is good and to avoid bad actions. According to al-Quran and *Sunnah*, Islamic ethics are the most beneficial guidance for use in the advancement of life and the avoidance of wrongdoing. Moreover, they provide motivation for humankind to advance the importance of Islamic ethics in global development. With all the excitement of modern progress, we should not neglect the important role of ethics in the establishment of harmony, prosperity and peace. As the religion of mercy, Islam should be the major reference and guideline in the drafting of a global code of ethics in accord with the characteristics of Islam that brings a complete multidimensional perspective and way of life. In addition, Islam's ethical value judgments transcend worldly gains and relativist interpretations. Thus, we urge the Muslim *Ummah* to practice true Islamic ethics and to return al-Quran to the mainstream in our approach to problems faced by society today and in the future.

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A National Pilot Project on Smart City Policy in Thailand: a Case Study on Phuket Khon Kaen Chiangmai Province

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Abstract

This research studied Phuket, Khon Kaen, and Chiangmai province policy on smart city. Also this research used smart city concept to provides an essential data and suggestion for executive committee. Thus, This research employed by a qualitative research methodology as a documentary research. Moreover, this research compares three main country which are EU, Japan, Singapore, then Thailand and narrow down to provincial area which is Phuket, Khon Kaen, and Chiangmai. After that it will interpreted and suggested for smart city which are help Phuket, Khon Kaen, governor and chief executives improve quality of life in Phuket, Khon Kaen, and Chiangmai province. The research found that Thailand has initiating on smart country policy and strategy which are focus on ICT system but it does not succeed to implement in province and local level. In provincial level, Phuket, Khon Kaen, and Chiangmai have been initiated but there is no concrete plan also in local level it stills struggle from basic needs of infrastructure. Therefore, this research recommended that Phuket, Khon Kaen, andChiangmai governor and chief executive need to startup action plan which linked both province and local level.

Keywords: National pilot, Smart city, Public Policy, Phuket province, Khon Kaen province, Chiangmai province, Thailand 4.0

Introduction

When we are talking about “smart city” it looks like it is a hot topic for policy makers in urban area and rural area as well, indeed it actually is a national development plan which sprung in many counties around the world in this decade. It begins since the globalization and internet introduced and it has been creating many impact to many dimensions. Therefore, many policy makers have accelerate and catch up a dynamic social and economy changing. Moreover, in academicians is getting relevant on development practitioners. Thus, recently, many articles which is talking and discussing smart city increasing sharply and raise many cases to study specifically in Europe and north America, then later on in Asia. Yet, this topic became a core and important challenge subject in every national development plan.

This papers has four parts the first part is a brief definition on smart city. It focuses on academia definition rather than the practitioners one. However, on the second part it compares a three leading countries that has been engaging smart city in recent situation. The third part it narrows down into Thailand case from the national plan and policy which so called “Thailand 4.0” and smart city to local administration especially in this case study (Maejo municipality). For the last part it is a conclusion and suggestion for Maejo municipality.

However, we should to understand why smart city is necessary in this century and then we can investigate some key aspects and meaning regarding on “smart city” to get a better understanding on this word. the main reason that many cities around the world is facing a challenge in many dimensions also both nation and local government confront with “technology management” or information and Communication Technology (ICT). Moreover, as Falconer (2012:2) explained that more than 50 percent of the world’s population lives in cities, placing massive pressure on city infrastructures (transportation, housing, water, power, and city services) many of which require enormous redesign and capital expenditure. Yet, the 600 largest global cities contribute 65 percent of global GDP growth from 2010-2025 and greenhouse-gas emissions (GHGs) are forcing cities to develop sustainability strategies for energy generation and distribution, transportation, water management, urban planning, and eco-friendly (green) buildings. Also, the economic climate continues to place huge budgetary constraints on cities, which are becoming limited in their ability to respond to these pressures. Therefore, these issues, and others, can be mitigated through the adoption of scalable solutions that take advantage of ICT to increase

efficiencies, reduce costs, and enhance quality of life. These three main reasons that a bedrock of modern cities in both urban and rural area problems. The solution for fix and reduce this problems is to using technology but also every actors in society such as community, government, private company, and NGOs need to cooperate and participate together.

On the other hand, to understand meaning and definition of smart city, according to Central policy unit, The government of the Hong Kong special administrative region (2015:1-2) pointed out that a smart city can be interpreted as a city which is smarter than traditional ones and capitalizes on new technologies and insights to transform and enhance systems, operations and service delivery. The concept of smart city covers almost every aspect of society and people livelihood, e.g. monitoring of public space, and management of underground pipelines and street illumination in respect of municipal facilities; construction, security, energy management and internal communication in respect of buildings; public transport service such as signal management, road traffic and parking monitoring; home automation and remote management ; high-speed network and cloud storage; and electronic public and business service.

In the same way, as Cohen (2012:1) initiated in 2012 the Smart City Wheel, it consisted of six major components which are; Smart Economy, Smart Mobility, Smart Environment, Smart Citizen, Smart Living, and Smart Government. However, he still pointed out that the first step for smart city is people engagement but the government or local government have to be a leader to let people and community join in policy campaign and process, then policy goals.

In the meantime, Albino, Berardi, and Dangelico (2015:1736) as their studied on smart city definition and argued that smart city evolved along three main directions, representing the perspectives through which the concept has been studied: technology, people, and community. Also their studied directly support to policy makers which could help to identify cities, develop incentives and tools for development of smart cities, and monitor the progresses. In the same way, Policy department A: Economic and scientific policy (2014:17-20) shown that smart city as multi-stakeholder municipally based partnerships aimed at addressing problems of common interest with the aid of ICTs, which underpin "Smart" classification. 'Smart City' initiatives address problems of common interest with the aid of ICTs. To be classified as a Smart City, a city must contain at least one initiative that addresses one or more of the following characteristics: Smart Governance, Smart People, Smart Living, Smart Mobility, Smart Economy and Smart Environment. ICT initiatives based on these characteristics aim to connect existing and improved infrastructure to enhance the services available to stakeholders (citizens, businesses, communities) within a city.

On the other hand, centreforcities (2014:3-4) argue that the concept is poorly defined and understood, and is at risk of sitting alongside other well-used but rarely defined notions like "livability" and "sustainability". Also Smart City initiatives can be broadly classified under two main approaches: top down and bottom up. From the top down is Cities adopting this approach become smart by integrating data gathered from different kinds of sensors (smart meters and CCTV cameras amongst others) into a single virtual platform in order to manage city operations more efficiently. On the other hand, bottom up is emphasizes the use of new technologies (for example, social media, websites, mobile applications or censoring technologies) and new data (becoming available mainly through open data platforms or sensors) as a means to enable citizens to devise solutions, acquire new skills through online learning and improve their interaction with public authorities. Such initiatives include open data platforms that allow the development of new mobile applications or online crowdfunding platforms to fund innovative projects.

In the same way as Chourabi, Nam, Walker, J. Ramon, Mellouli, Nahon, Pardo, School (2012:2289-2290) emphasized that the concept of a smart city itself is still emerging, and the work of defining and conceptualizing it is in progress. Also they pointed out that the conceptual comprehensiveness of a smart city, it could be thought of as a large organic system connecting many subsystems and components. In contrast with Nam and Pardo (2011:186-187) argued that smart city related in terms of technology, organization, and policy. Also smart city still have some risk and challenges in smart city that it could be failed, the failure in managing high risks leads to total failure in technology-driven public sector projects. 85 percent of IT projects fail because of the challenges by non-technical aspects of innovation in large part policy, organization, and management-related risks. Since public sector innovation projects have condition less friendly for innovation. Government agencies are monopolies without competitive pressure to innovate as well as bureaucracies structured to perform core tasks with stability and consistency, and resist change or disruption of those tasks. The public sector cannot easily burden varying costs of learning, experimentation and improvisation. The avoidance of failure is an organizational priority in the public sector and is highly valued because of accountability. As well as Hajduk (2016:34-49) pointed out that the smart city phenomenon developed due to some important challenges such as technological progress, innovative devices, knowledge economy, environmental pressures and the political support of global institutions including the United Nations, the European Union and the OECD. Moreover, Hajduk pointed out that smart city is an integrated and

comprehensive vision of all aspects of urban life including: the economy, government, transport, green areas, health care and culture.

Therefore, in the modern world most people lives in cities thus, it created a complex society and policy makers or government need a new management to organize in coming digital society. Smart city is one of the solution in this era. However, it still a new and fuzzy, and fancy word to understand the meaning. Many scholars in both academia and practitioners try to define smart city is. As this paper shown earlier we can see that smart city need to involve three main components which are technology, people, and community as a multilevel of stake holder and connected as organic system. However, for policy makers smart city is not only three components but it is a multi-stakeholder at least one initiative linked with people, ICT, government, economy, and etc. for this reason, in next part we raise some cases and compare some city that could represent smart city which is to find out the definition that could be fit on cases.

A Comparative Studies on Smart City: EU, Japan, and Singapore

This part will compare a cases from three main countries that initiated on smart city. it takes a look on how each country defines and how their approach on smart city which is each of them have a differences perspective, strategies, and policy. In EU case, according to Policy Department A Economic and Scientific Policy (2014:7-63) explained smart city is a city seeking to address public issues via ICT-based solutions on the basis of a multi-stakeholder, municipally based partnership on six characteristics which are Smart Governance, Smart People, Smart Living, Smart Mobility, Smart Economy and Smart Environment . Moreover, in this report their focused on many city in EU and founded that there are Smart Cities in all EU-28 countries, but these are not evenly distributed. Countries with the largest numbers are the UK, Spain and Italy, although the highest percentages are in Italy, Austria, Denmark, Norway, Sweden, Estonia and Slovenia. Smart City initiatives are spread across all six characteristics, but most frequently focus on Smart Environment and Smart Mobility. Geographically, there is also a fairly even spread, although Smart Governance projects are mainly seen in the Older Member States of France, Spain, Germany, the UK, Italy and Sweden. Also noteworthy is that some characteristics typically occur in combination, such as Smart People and Smart Living. Also, to approached smart city this report examined using the following categorization:

maturity level 1: a Smart City strategy or policy only

maturity level 2: in addition to level 1, a project plan or project vision, but no piloting or implementation

maturity level 3: in addition to level 2, pilot testing Smart City initiatives

maturity level 4: a Smart City with at least one fully launched or implemented Smart City initiative.

Cities that do not attain maturity level 1 did not qualify as "Smart": clearly there would also be no evidence of them having any of the six characteristics. This is quite clear to measure which city is qualify to count a smart city. Furthermore, in EU, it founded that Citizens tend to have more influence in the neighborhood and participation platform initiatives; government units are important drivers of intelligent traffic systems and participation platforms, and businesses are most influential in resource management systems. There is a mixture of public and private support. Public funding is most important in intelligent traffic system and non-energy-related resource management system initiatives. The energy-related resource management projects often rely on major private financial support. Private sector stakeholders tend to provide in-kind support for testbed micro infrastructures and intelligent traffic systems.

However, according to European Innovation Partnership on Smart Cities and Communities Strategic Implementation (2013: 2-22) the role in EU 2020 which is the EU's strategy for boosting growth and jobs across the region in order to create a smart, sustainable and inclusive economy.¹¹⁰ To further these aims, key targets within five areas have been set on at national and EU-wide levels to be achieved by the 2020, including employment, R&D, climate change and energy, education, and poverty and social exclusion. EU focuses on employment 75% of 20–64 year olds to be employed, R&D and innovation 3% of the EU's GDP (public and private combined) to be invested in R&D or innovation, Climate change and energy Greenhouse gas emissions to be 20% (or even 30%, if the conditions are right) lower than 1990 20% of energy from renewables 20% increase in energy efficiency, Education Reduce school drop-out rates below 10% At least 40% of 30–34 year olds have completed third level education, and Poverty and social exclusion which is at least 20 million less people in or at risk of poverty and social exclusion.

In practical, Smart City initiatives can be considered a useful vehicle for cities to achieve their Europe 2020 targets. Cities are conurbations that house a significant number of people, often in densely populated areas. Therefore, cities as Smart

entities may be particularly well suited to initiatives addressing local public goods problems, such as energy and climate change. Moreover, the impacts may be highly visible, especially compared with less densely populated areas. The density and diversity of inhabitants (population and business alike) facilitates mutual recognition of problems, mobilization of critical mass, and efficient reallocation and monitoring of roles and responsibilities. These are some potential uses and characteristics of Smart City initiatives:

The Europe 2020 energy target could be addressed through initiatives that focus on Smart Environment or Smart Mobility.

Smart Economy and Smart People initiatives are oriented towards employment and education targets, which include e-skills development. Moreover, improving citizens' skills should make them more employable which in turn supports the Europe 2020 employment targets.

Smart Governance and Smart Living initiatives address poverty and social exclusion through measures including improvements to the quality of life, a focus on citizen connectivity (including e-government services) and the use of open data to create citizen services.

The majority of Smart City initiatives have the potential to support innovative growth and R&D. They are funded by a variety of sources, including government and private companies, which share a common interest in progress in this area. To contribute to the innovation and R&D target by further stimulating private sector R&D investment, it is essential that projects are evaluated and lessons learnt from them to enable further development.

In reality, a Smart City initiative aims to make improvements in relation to a number of the Europe 2020 targets. For instance, a project that enhances mobility may make it easier for individuals to travel to the most appropriate school or job (thus contributing to the employment and education targets). In addition, to implement a strategic vision need to be backed up by all stakeholders and supported by long-term policies, regulations and frameworks is the basis for an effective and efficient change process. Alignment, both horizontally (different policy fields) and vertically (local, regional, national, EU), using a participatory approach guarantees a holistic view and commitment to the smart-city process for example, Helsinki, Copenhagen, London, Geneva, and Amsterdam.

Finally, in EU which is high density city populations increase strains on energy, transportation, water, buildings and public spaces, so solutions need to be found which are "smart" in both highly efficient and sustainable on the one hand, as well as generating economic prosperity and social wellbeing on the other. Smart city is the best way to be achieved by mobilizing all of a city's resources and coordinating its actors using new technologies and forward looking joined-up policies. There are 468 cities in EU with a population of over 100,000 and 240 cities are smart cities identified, based on definition and characteristics of smart city. As a number shown that EU cities strongly engaged to smart city even though each city has difference focus in smart city characteristic but mostly tries to catch up the criteria on smart city. also the EU commission policy that intend to upgrade an focus on problems which use smart city as a solution to mitigate internal problems.

On the other hand, in Asia Japan is one of the advanced and developed country and Japan has been taking a serious action on smart city. Japan has established Japan Smart Community Alliance (JSCA). There aims focuses on smart community systems which are expected to be an effective means to help resolve many of these issues by harmonizing with existing social infrastructures, thereby creating sustainable societies that can offer increased well-being, safety and security such as Yokohama, Keihanna, Kitakyushu, and Fujisawa

Moreover, according to EU-Japan Centre for Industrial Cooperation report (2014:6-13) shown that the Ministry of Economy, Trade and Industry (METI) has invested in the increasing numbers of Smart City projects since 2010. The promotion of smart energy initiatives is now one of the goals established by the Fourth Energy Strategic Plan. However, the smart city in Japan quite different approaches from the EU. Japan focuses on sustainable energy due to nuclear accident in Fukushima in March 2011 and the resulting shift away from nuclear power.

The accident in Fukushima Daiichi nuclear plant showed how unstable the energy supply was in Japan. Firstly, it put into light the lack of safety, linked to insufficient risk prevention in the construction of nuclear power plant sites and the radioactive threat to local citizens. Considering that there are 50 plants throughout Japan, the risk could not be disregarded and all plants were stopped until security checks were conducted and new safety regulations were applied. Secondly, the sudden shortage of power and the inadequate electricity grid resulted into blackouts and undesired lumps in electricity consumption, showing how constant energy supply cannot be ensured, even for key services in emergency situations, such as communication networks.

Another contested decision of Abe's government lies in the re-start of up to one third of the nuclear power plants. New Regulatory Requirements and New Safety Standards were established by the Nuclear Regulation Authority formed in September 2012 and should be applied to the nuclear plants before plants are used again. Albeit the 2020 goals of GHG emissions targets will not be respected, Japan still aims at lowering its production of carbon dioxide in the long term. Similarly to the pre-Fukushima accident, the focus is jointly put on renewable and clean energy promotion. Energy efficiency is another key tool to contribute to energy security and reduced CO₂ emissions. A last key set of policy changes relates to the power grid. The production, transmission and distribution of electricity until the Great East Japan Earthquake was efficient enough that no radical reform was needed, especially as the power companies opposed it, while after 3/11 it was clear that a push towards more efficiency and through energy sector liberalization was necessary.

Furthermore, Japan uses a term of "smart community" rather than smart city and it sounds more socialized as Japan Smart Community Alliance (2015: 2-3) mentioned smart community is a new form of social system that comprehensively manages the supply and demand of energy in the distributed energy systems, optimizes the use and application of energy, and incorporates lifestyle support services including monitoring service for the elderly, through the energy management system utilizing IT and storage energy technologies, while making use of distributed energy resources such as renewable energy and cogeneration. The smart community as the comprehensive approach for the above mentioned social issues will be implemented by the integration of advanced technologies related to environment and energy.

Also, smart community being addressed in Japan has the concept involving smart grid. Whereas smart grid refers to the state being smarter by ICT for electric power system, smart community is the effort of changing social system of a defined area into smarter state with technologies not only for electric power system but also for a variety of public infrastructure including heat supply, water and sewerage, transportation and communications.

Japan thinks smart community needs social system to shape the concepts and smart community is a new system that could solve social problems and improve Japanese life quality. Therefore, we can identify smart community or smart city strategy throughout Japan:

Fostering energy security and efficiency, it intends to enable substantial CO₂ reductions and energy savings, enabling integration of large amount of renewable energy, enabling stabilized supply of energy, and minimizing energy costs.

Boosting local development economically and socially, it intends to enable to enhance the standard of living of local residents, offering highly convenient transportation and water services, enabling to develop safe and disaster-resistant society.

Enhancing regional and global competition, it intends to find local solutions to global problems

Therefore, smart city or smart community in Japan has been tackling energy problem especially the policy has been revised according to Fukushima Daiichi nuclear plant disaster and a new strategic plan as a smart community has been launched for enhance Japan next-generation. Thus, the smart community in Japan is the best solution to shaping overall community planning. Meanwhile in Southeast Asia, Singapore quite firstly county that initiated smart city. According to central policy unit (2015:71) Singapore is among the first to launch smart city development. Like other regions, it has a top-down planning framework for overall coordination in terms of strategic positioning, master planning and implementation. Even before the smart city concept was proposed, Singapore had been promoting information and communication technologies, or infocomm, for municipal development since the 1990s. Its smart city strategy aims at making Singapore a quality city-state with a well-connected society powered by the growth and use of infocomm in various area.

However, according to Inter-American Development Bank (2016:3-28) reported that Singapore is somewhat disadvantaged in terms of its geographic location and natural resources. The small island nation sits just one-degree north of the equator, consistently hot and humid year round. The island lacks basic resources; it has no energy deposits, no forests and even no farms. However, despite lacking natural resources and hinterland, Singapore has grown into a global commerce, into an Asian tiger economy based on external trade and its skilled pool of human capital. Today, it has a highly developed market economy. The economy depends heavily on financial services, oil-refining, and manufacturing. Therefore, Singapore is pushing towards the vision of being the world's first Smart Nation under the Smart Nation Program developed in 2014, which ideally seeks to harness ICT, networks and data to support better living, create more opportunities, and to support stronger communities. While various cities around the world are experimenting with the concept of "smart city" by making the use of technologies to tackle wide range of urban challenges, Singapore has a much more ambitious and whole-of-nation vision.

The Singapore Government's Smart Nation vision is a response to growing urban challenges of aging population, urban density and energy sustainability. Various stakeholders such as technology builders and entrepreneurs around the world are invited to be involved in this vision to use the nation as a "living lab" to try out new ideas and smart solutions with global potential. A critical role of ICT standards is to enable the integration and interoperability of different ICT systems that is in place for Smart Nation initiatives. Achieving such integration is expected to facilitate the optimal use of resources across different systems.

Moreover, to achieve smart nation, Singapore has many plan in services and wait for implements. Thus Singapore focuses on five key domains which are transportation, home and environment, business and productivity. Health and enable aging, and public sector services. However, the most developed smart services in Singapore is within the Transportation and urban mobility sector; the development of Intelligent Transport System (ITS) has been going on for more than 10 years. Singapore also has a strong e-governance foundation, which they have been incubating since the early 80s. Also, Singapore has implemented a sophisticated ITS to enhance traffic flow and to keep road traffic running safety. The strength of the ITS in Singapore originates from its holistic approach towards traffic management; ITS work together with other transport initiatives such as free public transportation in pre-morning peak hours, a vehicle quota system, well-functioning public transport system and congestion charge, to enhance overall transport system in the city. Utilizing ITS components, Singapore provides a number of smart transport services for citizens.

Furthermore, smart nation just launched at the very end of 2014 and Singapore has particular advantage in terms of carrying out pilot projects in selected region, partly due to its extensive ownership of public housings, where approximately 80% of the resident population live, making it easier for government to try out services like in-house displays. Therefore, Singapore case is expected to provide a valuable lesson for all cities especially in Southeast Asian countries. The initiation of smart nation.

The Thailand 4.0 Policy and Smart City

According to the government public relations department (2016) announced that Prime Minister General Prayut Chan-ocha has cited the "Thailand 4.0" policy as the new direction of the country, to be conducted along with economic reform, in accordance with the 20-year national strategy. In his national address on the program "Return Happiness to the People" on 1 July 2016, the Prime Minister said that in implementing this policy, the Government needed cooperation from all sectors of society on a voluntary basis, so that it would be able to move the country forward, under the vision of "Stability, Prosperity, and Sustainability."

The policy also seeks to promote creativity, innovation, and the application of technology in various economic activities. The objective is to create equilibrium between the environment and society. Thailand 4.0 is a new economic model to develop Thailand into a valued-based economy. The new model will change the country's traditional farming to smart farming, traditional SMEs to smart enterprises, and traditional services to high-value services. From the past up to the present, Thailand has passed through three economic development models. In the first model, Thailand 1.0, emphasis was placed on traditional agricultural development. The second model, Thailand 2.0, focused on light industries, which helped upgrade the country's economy from the low-income to middle-income status. The third model, Thailand 3.0, emphasized heavy industries for continued economic growth.

In Thailand 3.0, the country has become stuck in the middle-income trap and faces disparities and imbalanced development. In the next period, Thailand 4.0, the country needs to pull itself out of the middle-income trap and deal effectively with disparities and the imbalance between the environment and society. This model will be carried out along with the 20-year national strategy and economic reform through the mechanism of "public-private-people partnership." It will transform Thailand's comparative advantage into a competitive advantage. In this regard, new engines of growth will be introduced. Prime Minister General Prayut stated that 10 target industrial groups will become new engines of growth. For instance, in the food and agriculture group, the Government has established the Food Innopolis¹ to promote the processing of agricultural products on a full-cycle basis. In the health group, he said, research and development, herbal production, alternative medicine, and local wisdom have been given a major boost, along with health tourism. The Government intends to develop "herb city" and "medical hub." Moreover, robotics and smart electronics will be emphasized,

¹ The Internet of things (IoT) is the inter-networking of physical devices, vehicles (also referred to as "connected devices" and "smart devices"), buildings, and other items embedded with electronics, software, sensors, actuators, and network connectivity which enable these objects to collect and exchange data.

as they will be in great demand in various industries. Thailand 4.0 also consists of seven industries that are considered the backbone of the digital economy.

Therefore, for smart city in Thailand context and a new policy from a national road map. Thailand focuses on build a county wide-high-capacity digital infrastructure, boost the economy with a digital technology, create a quality and equitable society through digital technology, transform into digital government, develop workforce for the digital era, and build trust and confidence in the use of digital technology. Moreover, Thailand has been initiated on smart city by pick up some provinces to experiments which are Nakhon Nayork which is announced in 2013 and the project aims to improve public services by developing wide-area communication networks and to enhance the competitiveness of provinces by making regional cities more competitive especially focuses on communication infrastructure development. Then Phuket, this province has been initiated for creating an environment that supports the development of digital service innovation as well as to encourage the concrete development of the digital industry and innovation.

Furthermore, the government aims to develop Thailand into a hub of digital services in the ASEAN region and a hub for connecting with other countries worldwide to attract digital workers, digital investors, and software companies across the world to work and invest in Thailand in order to create new Startups and efficiently drive the Digital Economy. Also, Chiangmai, and Khonekaen. This cities will be a pilot provinces after that the government will expands to nationwide within 2019.

Also, on March 23, 2016 Digital Economy Promotion Agency (DEPA) (2016) reported that Mr. Pawin Chamniprasart, Governor of Chiangmai Province, Mr. Narong Tananuwat, Honorary Chairman of Chiangmai Province Chamber of Commerce, to attend a meeting to discuss and exchange information concerning Smart City Project launched at Incheon City and Seongnam City, South Korea. The ecosystems in both cities are similar to that of Chiangmai Province, making it a perfect choice to establish collaboration with Chiangmai Smart City Project. In addition, a Letter of Intent signing ceremony was also held to establish collaboration between Chiangmai Province and Seongnam City for Smart City Development at Seongnam City Hall where information on Chiangmai Province was also presented to top-ranking executives from Seongnam City. The event was also joined by software and digital content entrepreneurs from over 40 companies. Furthermore, such collaboration between Chiangmai Province and Seongnam City in developing Smart City also led to other collaboration projects including:

International ICT Volunteer (IIV) – A project initiated under the collaboration between International Telecommunication Union (ITU) and Seongnam City to encourage undergraduate ICT students in helping to promote ICT development among local communities Chiangmai Province.

Workshop organized at Seongnam City to promote participation of Smart City experts in formulating Chiangmai Smart City Development Plan.

Startup Promotion Project at Chiangmai Province – A collaboration project that involves the participation of leading companies and Startups from Seongnam City in developing Startup businesses in Chiangmai in order to build Startup Ecosystem CM. In addition, a discussion meeting was also held on the same day regarding how to establish suitable operational procedure to ensure quick and efficient result.

In addition, Leesa-Nguansuk's Bangkok Post writer (2016) reported that Chiang Mai will also serve as a testing ground for new ways of applying information and communication technology to make optimal use of local strengths. The northern province is mapping out its future. Also, Chiang Mai aims to become a development Centre for enterprise software, digital content and animation, the IoT¹, embedded systems for automation and connected vehicles and tech startup businesses.

Recently in 2017, he also mention that Chiang Mai smart city is dedicated to promoting smart agriculture, reducing air pollution, enhancing tourist experience and sustaining the city and social development through the use of information and communications technology. The Digital Economy Promotion Agency (Depa), formerly known as Software Industry Promotion Agency (SIPA is a Public Organization), is embarking on a 36.5-million-baht smart city project to develop Chiang Mai as an innovation-driven destination.

1 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

Moreover, Digital Economy Promotion Agency or formerly known as Software Industry Promotion Agency (Public Organization) created Smart City Project in Chiang Mai Province. The agency provided the project with consultation and promotion of technology application to agricultural industry, tourism and city management. The project is based on 3 concrete operation plans: 1. Smart Environment in which the agency teams up with Maejo University in technological development to eliminate smoke and haze problems usually peaking in March; 2 Smart Agriculture which applies technological development to improve agriculture in Chiang Mai where agricultural areas occupy more than 80% of total areas; and 3. application of technology to solve transportation problems and support tourism.

In the meantime, Maejo municipality located in Sansai district, Chiangmai where Maejo University located in this area as well. However, according to Maejo municipality website it does not provides sufficient information and most of information on website does not up to date. Their yearly plan, three years plan, and strategic development plan still focus on basic needs of infrastructure such as electricity, water supply, water pipeline, road, and waste water pipeline. This means the national policy and province strategic plan do not implement or transfer into local level. Even though Maejo municipality located in Chiangmai where it is a pilot project for smart city. in the same way with Nantawan Wongkachonkitti (2016:367) founded that during the implementation stage, there were some obstacles such as unclear of the policy, rack of readiness, rack of understanding, insufficient budget, poor infrastructure, and rack of concrete guidelines.

Therefore, to find solution government needs to concrete focuses on smart city and needs to put smart city plan into local level which is a fundamental and bedrock in Thai society. Moreover, it needs to promotes and let's local community join in smart city project as a variety of stakeholders. Especially, local community has to be a center and connected and integrated to government agencies in many levels via ICT which creates a new innovation that suitable for each local context.

Conclusion and Suggestion

Smart city is a new word and it is not standard and variety of definition. Also, it depends on people in different sectors. Smart City concepts requires a combination of smart efforts to improve quality of life and it promotes economic growth, sustain environment and energy. The key concept of smart include six dimensions which are: Smart Economy, Smart Mobility, Smart Environment, Smart Citizen, Smart Living, and Smart Government.

All of six dimensions need to connected with ICT and ICT based concepts such as big data, open data, Internet of Things (IoT), data accessibility and management, data security, and mobile broadband. In Europe, Japan, and Singapore cases shown that all of them initiated and some cities has been engaged. However, in EU case, smart city is a new and best solution for improve a quality of life for European. Meanwhile, Japan creates a smart community which focus on social network and it is a new solution for sustain energy since the Fukushima disaster and aging problem. On the other hand, Singapore engaged on smart nation for sustain natural resources and population density.

Moreover, Thailand also initiated on smart city and created a blueprint of national plan which so called Road Map of Thailand 4.0. This national plan tries to develop Thailand into a digital society. However, to implements this plan there are many problems from top-down level especially in local community. Therefore, to achieve and reach the national policy goal Thai government needs more promote and make a concrete plan from the top level to local level. In the same way, local administrative organizations need to start up and promote their community into smart community or smart city which can start up on smart infrastructure. Smart infrastructure is a foundation for all of the key themes in six dimensions. The core characteristic that underlies is they are connected and that they generate data and connected community. For instance, a smart building and mobility integrate the different physical systems present in an intelligent way to ensure that all the systems act together in an optimized and efficient manner. Smart building and mobility management systems can improve building and save energy and efficiency, reduce waste and ensure an optimum usage of water, electric, gasoline with operational effectiveness and occupant satisfaction. thus, in this case this research recommended to Chief executive and executive committee need to startup which propose smart city development proposal which should focuses on smart city with is could start up on smart infrastructure to community.

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Comparison Between the Reality of Higher Education in the Kurdistan Region of Iraq Before and After the Fall of the Regime in Iraq in 2003

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Abstract

In this study, a comparison between the realities of higher education in the three largest universities in the Kurdistan Region of Iraq has been done before the fall of the Iraqi regime in 2003 and beyond. The statistical results of analyzed of more than 2000 sample data showed tangible and clear changes of the higher education reality toward the better of about 70% after the fall of the Iraqi regime in 2003. These changes are related to the openness of these universities toward the foreign universities of the world especially the European universities. Many professors and students of these universities contacted to the foreign universities to conduct joint research and take advantage of new experiences of professors of these foreign universities and using the new technology in teaching enhanced learning and scientific research, in addition to the using of new references such as journals and books. As well as the improved economic situation in the Region from a low level to the moderate level improved higher education by 20%, especially after the entry of many investment companies to the region and improved infrastructure and accessibility delegations to the region through the newly built airports.

Keywords: Higher education, university, Iraqi Kurdistan Region, teaching.

Introduction

The Iraqi Kurdistan Region before year 2003 was under two embargos; one was of United Nations and the other of Iraqi regime. In that time all the materials and things can not allowed shipping, export or reached to the Kurdistan region in official ways. No references such as books, Journals, disks, CD, computer and its accessories, ...etc allowed to enter the area. For example: if a student or any person who want to enter the Kurdistan region and holding a book or Journal, at Turkish or Syrian check points they terrible him and don't allowed to took it and sometime he goes to prison because that?!. In addition, the economic condition of the government and population was very weak. So the higher education was not easy done and then many students leave the study or not ready to registered Even though some supervised professors greatly facilitate for them. To explain how these two embargoes constraints and impact on higher education studies and how much releasing of these two embargoes contribute to progress the study.

Methodology

For study this case we designed a form consist of 26 different questions related to the most modern techniques and tools used in teaching and researching, some of these tools were not available before year 2003 but most of them available after that time (now).

The form includes five answers which are; 1- More useful, 2- Medium useful, 3- Little useful, 4- Zero (nothing) using and 5- unavailable this tools (Appendix-A).

About 237 of this form were distributed on postgraduate and graduates (teachers) of three universities in the region which are Salahaddin – Erbil, Sulaimani and Kirkuk universities.

After collection the fill forms and sorting the data, several contour map, Pie and histograms were built to study the higher education state in both cases (before year 2003 and after the fall of Baath regime in 2003).

Results and Discussion

The contour map of the five answers of all 26 question was drawn (Fig. 1).

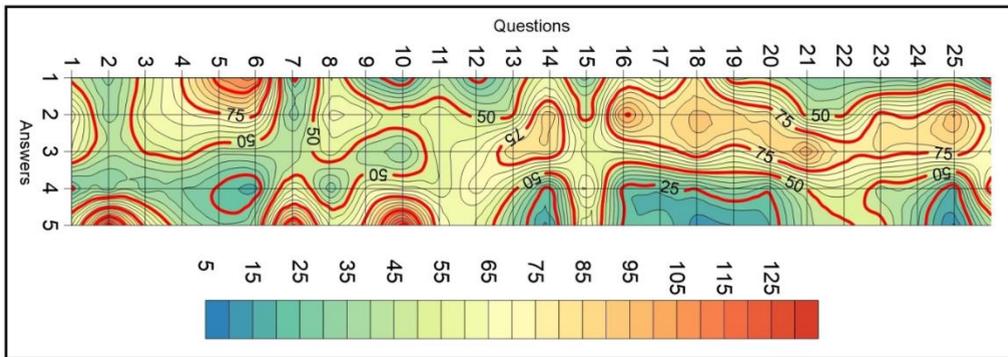


Fig. (1) show the contour map of the five answers of all of 26 questions.

The map shows that the more answers concentrated on answers;

with 2- "Medium" useful of questions 4-6, 14, 16-20, 23 and 25.

with 3- "Little" useful of questions 1 and 3

with 5- "Unavailable" of questions 2, 7 and 10

with 1- "More" useful of questions 4-6 and 18.

with 4- zero "un-useful" of question 7

It means that the available of book, computer and internet uses after year 2003 helps the higher education student in their study. Also Available of different specialize of supervisors (local), Social relations between teachers and students, different references, Available of libraries and modern scientific references, Availability and uses of foreign references such as English, and Appropriate classrooms contribute the Improvement of the study.

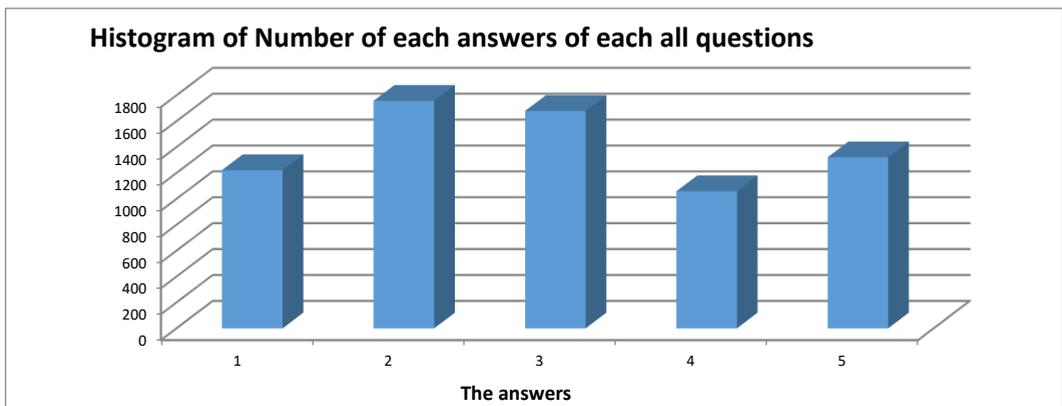


Fig (2) Histogram of Number of each answers of each all questions

While the availability of transportation means (aircraft and modern cars ...), Ease of travel and movement between provinces contribute in improvement of the study but not as the above answers.

In general, most of the answers concentrated on medium more than other answers Fig (2). Also several tens of answers focused on unavailable tools especially on point (Question 2) which is “travel outside the country”, video conference, e-learning and multimedia. Most of these answer of students, which were graduated before 2003, (Fig. 3).

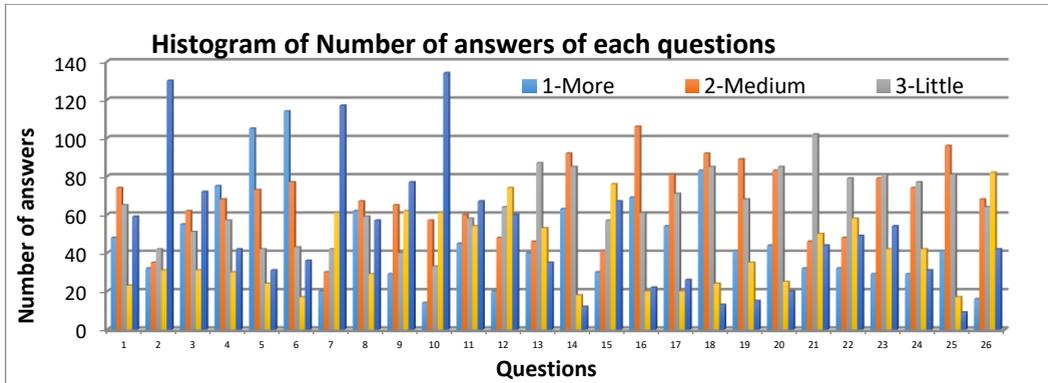


Fig. (3) Percentage of each answers of the question.

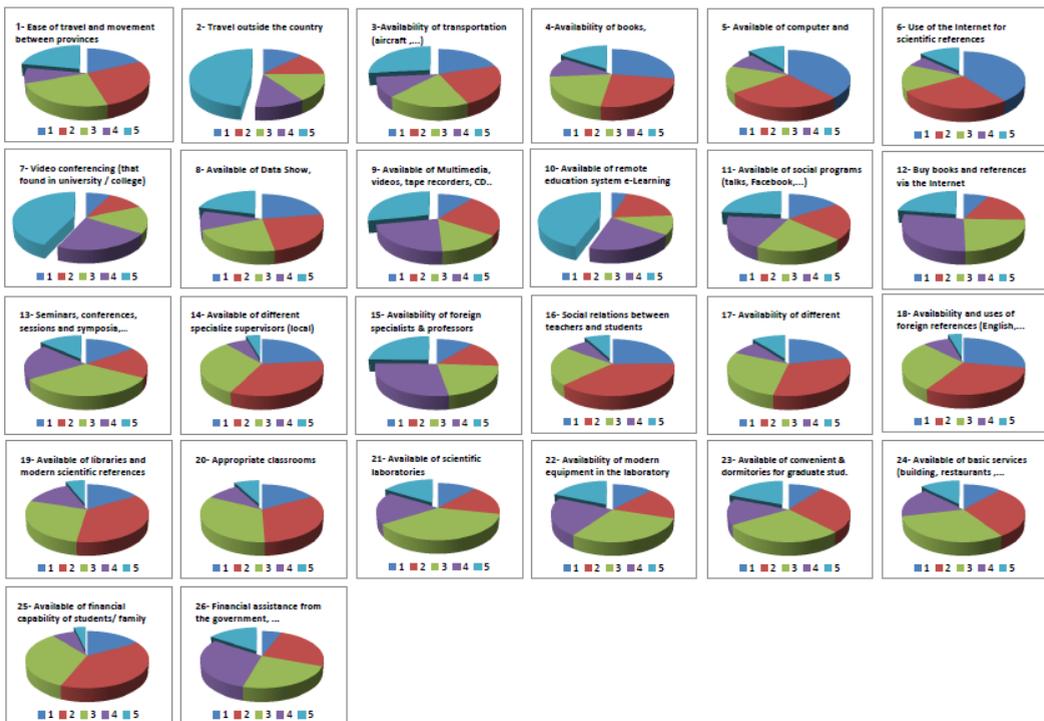


Fig.(4) Histograms for all 26 questions and its distribution of the five answers of (1- More, 2- Medium, 3- Little, 4- Zero and 5- Unavailable for each questions.

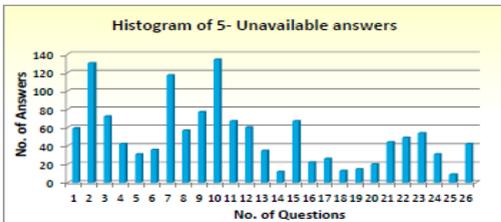
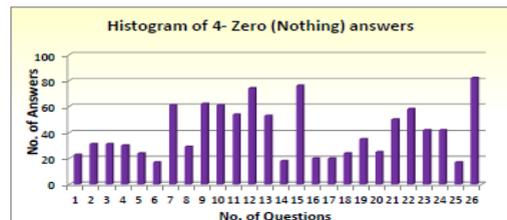
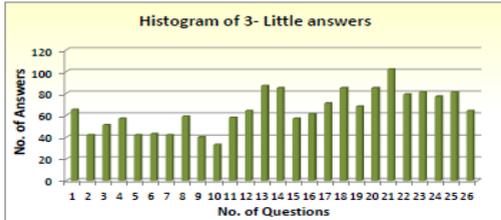
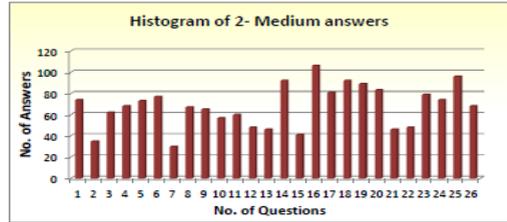
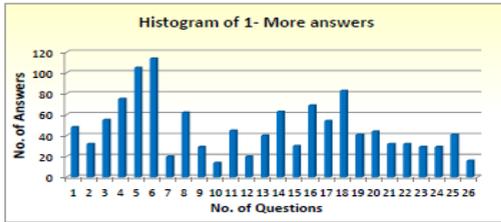


Fig. (5) Histograms for sum of the five answers (1- More, 2- Medium, 3- Little, 4- Zero and 5- Unavailable) for each question of all 26 questions and its distributions

Figs (4 and 5) show result more clearly and the more useful tools are journal, books, e- books, e-journal, computer and its accessories, internet uses, different specialize supervisors of local, social relation between the teachers and students, availability of foreign references and economical capability of the students and her/his families.

We can say in general that all to tools and facilities help the higher education to progress more steps (Fig. 5 histogram of medium answers).

Most of the answers refer that they not benefit from governorate or other non-governorate financial supports (Question 26; Financial assistance from the government or non-government organization). We surprised from this result because we know that all the stages of the educations are free in Kurdistan region and Iraq and this is a big support from the government to all branches of the studies from primary schools to postgraduate too. May be they refer to did not got a special salary which is available now for student for both studying inside or outside the country.

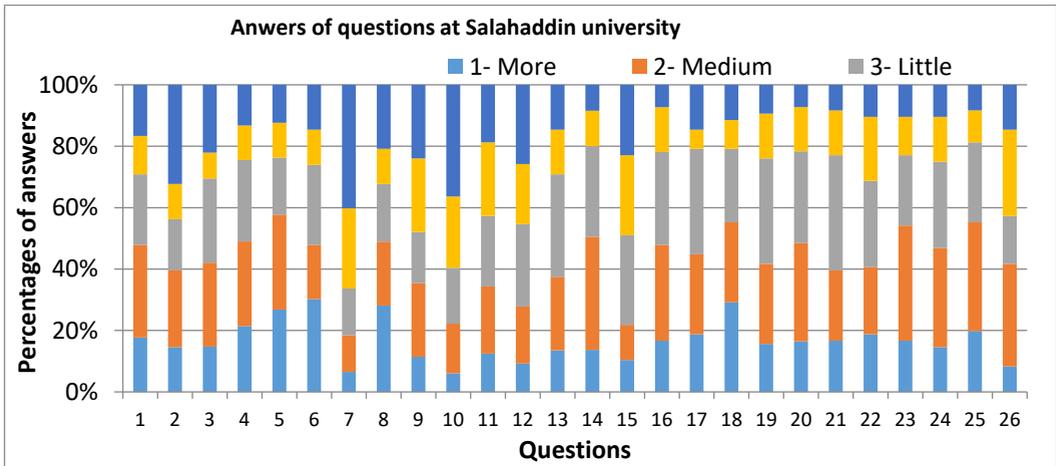


Fig. (6) Histograms for percentage of each answer of all questions in Salahaddin University- Erbil.

The 100 % stacked histogram of Salahaddin University answers (Fig. 6 and table 2) indicate that the three answers 1-More, 2- Medium and 3-Little are the more answers. In other words, it means that they benefit from availability and uses of the tools and references.

Only the video conferences and e-learning are unavailable and they not benefit from it.

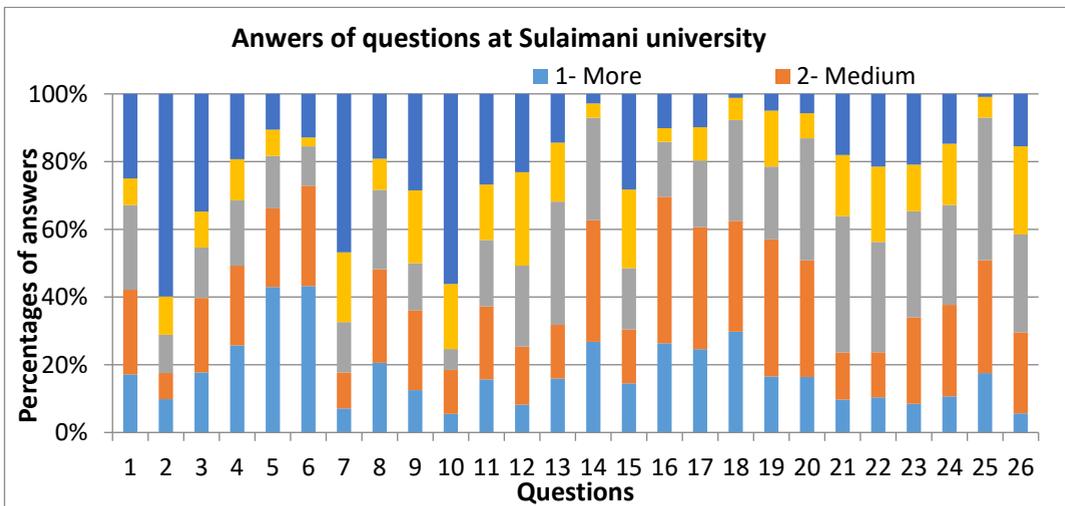


Fig. (7) Histograms for percentage of each answer of all questions in Sulaimani University.

Also, the 100 % stacked histogram of Sulaimani university answers (Fig. 7 and table 3) indicate that the three answers 1- More, 2- Medium and 3-Little are the more answers. Also, it means that they benefit from availability and uses of the tools and references.

The Transportation such as aircrafts, modern transportation machines, video conferences and e-learning are unavailable and they not benefit from it.

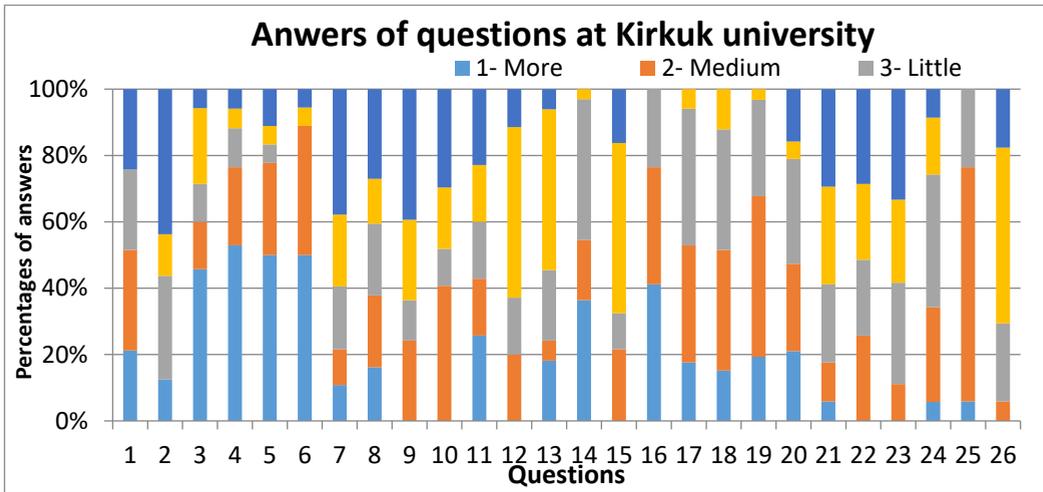


Fig. (8) Histograms for percentage of each answer of all questions in Kirkuk University.

while, the 100 % stacked histogram of Kirkuk university answers (Fig. 8 and table 4) indicate that the three answers 1- More, 2- Medium and 3-Little are not uniform answers. But also, they benefit from availability and uses of the tools and references especially answers of question 3-6, 11, 14 and 16.

The Transportation such as aircrafts, modern transportation machines, video conferences, multimedia, e-learning and convenient and dormitories for graduate students are unavailable and they not benefit from it.

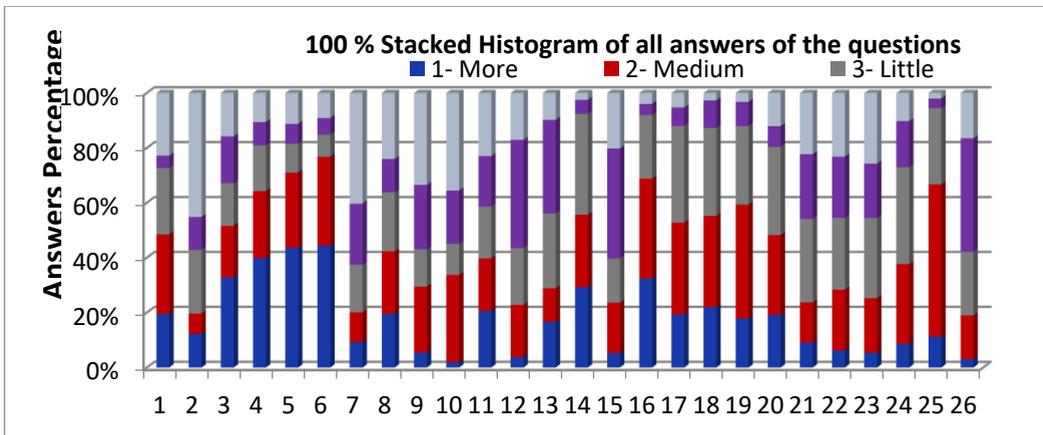


Fig. (9) Histograms for percentage of each answer of all questions of the three Universities.

Finally, the Fig. 9 and table (5) which represents the data and the 100% stacked histogram of summation of all the data of the three universities and show that all them benefit from availability of references, computers, internet resources, available of different local supervisors and social relations between the teachers and student. On the contrary, they not benefit from multimedia, remote learning, video conference, foreign supervisors, modern equipment and laboratories and financial supporting because they were unavailable.

That is means the changing or fall of the Iraqi regime after 2003 contribute to progress the study because the country is opened and the embargos were released and the economic situation got better and all the modern materials, devices and tools enters the country as well as the borders were becomes more flexible.

Conclusions:

We can conclude the results in the following points:

In general, all the higher education student benefit from the fallen and changing of the regime in 2003 and the country is opened and the effects of the embargos were released and the borders are become more flexible.

They benefit from availability of electronic resources, using of computer and its accessories, internet uses and transportation.

May be the unavailable of video conference, multimedia tools, modern laboratories and convenient and dormitories for graduate students are impediment the study.

Appendix – A. Designed Form

| Sex : | University: | Starting study Date: | Ending study Date : | | | | |
|-------|---------------------------------------------------------------------------------|----------------------|---------------------|-----------|---------|------------------|--|
| No | Question | 1- More | 2- Medium | 3- Little | 4- Zero | 5- Not available | |
| 1 | Ease of travel and movement between provinces | | | | | | |
| 2 | Travel outside the country | | | | | | |
| 3 | Availability of transportation tools (aircraft & modern cars,...) | | | | | | |
| 4 | Availability of books, magazines and electronic references; e-book, a journal | | | | | | |
| 5 | Available of computer and it's accessories such as printers, storage and camera | | | | | | |
| 6 | Use of the Internet for scientific references | | | | | | |
| 7 | Video conferencing (that found in university or college) | | | | | | |
| 8 | Available of Data Show, electronic blackboards, ... | | | | | | |
| 9 | Available of Multimedia, videos, tape recorders and CD.. | | | | | | |
| 10 | Available of remote education system; e-Learning, ... | | | | | | |
| 11 | Available of social programs (talks, Facebook, chatting) | | | | | | |
| 12 | Buy books and references via the Internet | | | | | | |
| 13 | Seminars, conferences, sessions and symposia, ... | | | | | | |
| 14 | Available of different specialize of supervisors (local) | | | | | | |
| 15 | Availability of foreign specialists & professors | | | | | | |
| 16 | Social relations between teachers and students | | | | | | |
| 17 | Availability of different references | | | | | | |
| 18 | Availability and uses of foreign references such as English,... | | | | | | |
| 19 | Available of libraries and modern scientific references | | | | | | |
| 20 | Appropriate classrooms | | | | | | |
| 21 | Available of scientific laboratories | | | | | | |
| 22 | Availability of modern equipment in the laboratory | | | | | | |
| 23 | Available of convenient and dormitories for graduate students | | | | | | |
| 24 | Available of basic services such as building, restaurants of the | | | | | | |
| 25 | Available of financial capabilities of students & his/her families | | | | | | |
| 26 | Financial assistance from the government or non-governmental | | | | | | |

Appendix - 2. Table (1) Sorted answers of the Higher education graduates of the 3 universities.

| No | 1- More | | | | 2- Medium | | | | 3- Little | | | | 4- Zero (nothing) | | | | 5- Not available | | | | Total |
|-------|---------|-----|-----|------|-----------|-----|-----|------|-----------|-----|-----|------|-------------------|-----|-----|------|------------------|-----|-----|------|-------|
| | H | S | K | Sum | H | S | K | Sum | H | S | K | Sum | H | S | K | Sum | H | S | K | Sum | |
| 1 | 17 | 24 | 7 | 48 | 29 | 35 | 10 | 74 | 22 | 35 | 8 | 65 | 12 | 11 | 0 | 23 | 16 | 35 | 8 | 59 | 269 |
| 2 | 14 | 14 | 4 | 32 | 24 | 11 | 0 | 35 | 16 | 16 | 10 | 42 | 11 | 16 | 4 | 31 | 31 | 85 | 14 | 130 | 270 |
| 3 | 14 | 25 | 16 | 55 | 26 | 31 | 5 | 62 | 26 | 21 | 4 | 51 | 8 | 15 | 8 | 31 | 21 | 49 | 2 | 72 | 271 |
| 4 | 21 | 36 | 18 | 75 | 27 | 33 | 8 | 68 | 26 | 27 | 4 | 57 | 11 | 17 | 2 | 30 | 13 | 27 | 2 | 42 | 272 |
| 5 | 26 | 61 | 18 | 105 | 30 | 33 | 10 | 73 | 18 | 22 | 2 | 42 | 11 | 11 | 2 | 24 | 12 | 15 | 4 | 31 | 275 |
| 6 | 29 | 67 | 18 | 114 | 17 | 46 | 14 | 77 | 25 | 18 | 0 | 43 | 11 | 4 | 2 | 17 | 14 | 20 | 2 | 36 | 287 |
| 7 | 6 | 10 | 4 | 20 | 11 | 15 | 4 | 30 | 14 | 21 | 7 | 42 | 24 | 29 | 8 | 61 | 37 | 66 | 14 | 117 | 270 |
| 8 | 27 | 29 | 6 | 62 | 20 | 39 | 8 | 67 | 18 | 33 | 8 | 59 | 11 | 13 | 5 | 29 | 20 | 27 | 10 | 57 | 274 |
| 9 | 11 | 18 | 0 | 29 | 23 | 34 | 8 | 65 | 16 | 20 | 4 | 40 | 23 | 31 | 8 | 62 | 23 | 41 | 13 | 77 | 273 |
| 10 | 6 | 8 | 0 | 14 | 16 | 19 | 22 | 57 | 18 | 9 | 6 | 33 | 23 | 28 | 10 | 61 | 36 | 82 | 16 | 134 | 299 |
| 11 | 12 | 24 | 9 | 45 | 21 | 33 | 6 | 60 | 22 | 30 | 6 | 58 | 23 | 25 | 6 | 54 | 18 | 41 | 8 | 67 | 284 |
| 12 | 9 | 11 | 0 | 20 | 18 | 23 | 7 | 48 | 26 | 32 | 6 | 64 | 19 | 37 | 18 | 74 | 25 | 31 | 4 | 60 | 266 |
| 13 | 13 | 21 | 6 | 40 | 23 | 21 | 2 | 46 | 32 | 48 | 7 | 87 | 14 | 23 | 16 | 53 | 14 | 19 | 2 | 35 | 261 |
| 14 | 13 | 38 | 12 | 63 | 35 | 51 | 6 | 92 | 28 | 43 | 14 | 85 | 11 | 6 | 1 | 18 | 8 | 4 | 0 | 12 | 270 |
| 15 | 10 | 20 | 0 | 30 | 11 | 22 | 8 | 41 | 28 | 25 | 4 | 57 | 25 | 32 | 19 | 76 | 22 | 39 | 6 | 67 | 271 |
| 16 | 16 | 39 | 14 | 69 | 30 | 64 | 12 | 106 | 29 | 24 | 8 | 61 | 14 | 6 | 0 | 20 | 7 | 15 | 0 | 22 | 278 |
| 17 | 18 | 30 | 6 | 54 | 25 | 44 | 12 | 81 | 33 | 24 | 14 | 71 | 6 | 12 | 2 | 20 | 14 | 12 | 0 | 26 | 252 |
| 18 | 28 | 50 | 5 | 83 | 25 | 55 | 12 | 92 | 23 | 50 | 12 | 85 | 9 | 11 | 4 | 24 | 11 | 2 | 0 | 13 | 297 |
| 19 | 15 | 20 | 6 | 41 | 25 | 49 | 15 | 89 | 33 | 26 | 9 | 68 | 14 | 20 | 1 | 35 | 9 | 6 | 0 | 15 | 248 |
| 20 | 16 | 20 | 8 | 44 | 31 | 42 | 10 | 83 | 29 | 44 | 12 | 85 | 14 | 9 | 2 | 25 | 7 | 7 | 6 | 20 | 257 |
| 21 | 16 | 14 | 2 | 32 | 22 | 20 | 4 | 46 | 36 | 58 | 8 | 102 | 14 | 26 | 10 | 50 | 8 | 26 | 10 | 44 | 274 |
| 22 | 18 | 14 | 0 | 32 | 21 | 18 | 9 | 48 | 27 | 44 | 8 | 79 | 20 | 30 | 8 | 58 | 10 | 29 | 10 | 49 | 266 |
| 23 | 16 | 13 | 0 | 29 | 36 | 39 | 4 | 79 | 22 | 48 | 11 | 81 | 12 | 21 | 9 | 42 | 10 | 32 | 12 | 54 | 285 |
| 24 | 14 | 13 | 2 | 29 | 31 | 33 | 10 | 74 | 27 | 36 | 14 | 77 | 14 | 22 | 6 | 42 | 10 | 18 | 3 | 31 | 253 |
| 25 | 19 | 20 | 2 | 41 | 34 | 38 | 24 | 96 | 25 | 48 | 8 | 81 | 10 | 7 | 0 | 17 | 8 | 1 | 0 | 9 | 244 |
| 26 | 8 | 8 | 0 | 16 | 32 | 34 | 2 | 68 | 15 | 41 | 8 | 64 | 27 | 37 | 18 | 82 | 14 | 22 | 6 | 42 | 272 |
| Total | 412 | 647 | 163 | 1222 | 643 | 882 | 232 | 1757 | 634 | 843 | 202 | 1679 | 391 | 499 | 169 | 1059 | 418 | 751 | 152 | 1321 | 7038 |

Table (2) Sorting of answers of the questions of Salahaddin university Higher Educ.

| No | Salahaddin university - Erbil | | | | | | | | | |
|----|-------------------------------|------|-----------|------|-----------|------|------------------|------|------------------|------|
| | 1- More | | 2- Medium | | 3- Little | | 4- Zero/ nothing | | 5- Not available | |
| | No | % | No | % | No | % | No | % | No | % |
| 1 | 17 | 0.18 | 29 | 0.30 | 22 | 0.23 | 12 | 0.13 | 16 | 0.17 |
| 2 | 14 | 0.15 | 24 | 0.25 | 16 | 0.17 | 11 | 0.11 | 31 | 0.32 |
| 3 | 14 | 0.15 | 26 | 0.27 | 26 | 0.27 | 8 | 0.08 | 21 | 0.22 |
| 4 | 21 | 0.22 | 27 | 0.28 | 26 | 0.27 | 11 | 0.11 | 13 | 0.14 |
| 5 | 26 | 0.27 | 30 | 0.31 | 18 | 0.19 | 11 | 0.11 | 12 | 0.13 |
| 6 | 29 | 0.30 | 17 | 0.18 | 25 | 0.26 | 11 | 0.11 | 14 | 0.15 |
| 7 | 6 | 0.06 | 11 | 0.11 | 14 | 0.15 | 24 | 0.25 | 37 | 0.39 |
| 8 | 27 | 0.28 | 20 | 0.21 | 18 | 0.19 | 11 | 0.11 | 20 | 0.21 |
| 9 | 11 | 0.11 | 23 | 0.24 | 16 | 0.17 | 23 | 0.24 | 23 | 0.24 |

| | | | | | | | | | | |
|----|----|------|----|------|----|------|----|------|----|------|
| 10 | 6 | 0.06 | 16 | 0.17 | 18 | 0.19 | 23 | 0.24 | 36 | 0.38 |
| 11 | 12 | 0.13 | 21 | 0.22 | 22 | 0.23 | 23 | 0.24 | 18 | 0.19 |
| 12 | 9 | 0.09 | 18 | 0.19 | 26 | 0.27 | 19 | 0.20 | 25 | 0.26 |
| 13 | 13 | 0.14 | 23 | 0.24 | 32 | 0.33 | 14 | 0.15 | 14 | 0.15 |
| 14 | 13 | 0.14 | 35 | 0.36 | 28 | 0.29 | 11 | 0.11 | 8 | 0.08 |
| 15 | 10 | 0.10 | 11 | 0.11 | 28 | 0.29 | 25 | 0.26 | 22 | 0.23 |
| 16 | 16 | 0.17 | 30 | 0.31 | 29 | 0.30 | 14 | 0.15 | 7 | 0.07 |
| 17 | 18 | 0.19 | 25 | 0.26 | 33 | 0.34 | 6 | 0.06 | 14 | 0.15 |
| 18 | 28 | 0.29 | 25 | 0.26 | 23 | 0.24 | 9 | 0.09 | 11 | 0.11 |
| 19 | 15 | 0.16 | 25 | 0.26 | 33 | 0.34 | 14 | 0.15 | 9 | 0.09 |
| 20 | 16 | 0.17 | 31 | 0.32 | 29 | 0.30 | 14 | 0.15 | 7 | 0.07 |
| 21 | 16 | 0.17 | 22 | 0.23 | 36 | 0.38 | 14 | 0.15 | 8 | 0.08 |
| 22 | 18 | 0.19 | 21 | 0.22 | 27 | 0.28 | 20 | 0.21 | 10 | 0.10 |
| 23 | 16 | 0.17 | 36 | 0.38 | 22 | 0.23 | 12 | 0.13 | 10 | 0.10 |
| 24 | 14 | 0.15 | 31 | 0.32 | 27 | 0.28 | 14 | 0.15 | 10 | 0.10 |
| 25 | 19 | 0.20 | 34 | 0.35 | 25 | 0.26 | 10 | 0.10 | 8 | 0.08 |
| 26 | 8 | 0.08 | 32 | 0.33 | 15 | 0.16 | 27 | 0.28 | 14 | 0.15 |

Table (3) Sorting of answers of the questions of Sulaimani university Higher Educ.

| No | Sulaimani university | | | | | | | | | |
|----|----------------------|------|-----------|------|-----------|------|------------------|------|-------------------|------|
| | 1- More | | 2- Medium | | 3- Little | | 4- Zero/ nothing | | 5- Not avia-lable | |
| | No | % | No | % | No | % | No | % | No | % |
| 1 | 24 | 0.19 | 35 | 0.27 | 35 | 0.27 | 11 | 0.09 | 35 | 0.27 |
| 2 | 14 | 0.11 | 11 | 0.09 | 16 | 0.13 | 16 | 0.13 | 85 | 0.66 |
| 3 | 25 | 0.20 | 31 | 0.24 | 21 | 0.16 | 15 | 0.12 | 49 | 0.38 |
| 4 | 36 | 0.28 | 33 | 0.26 | 27 | 0.21 | 17 | 0.13 | 27 | 0.21 |
| 5 | 61 | 0.48 | 33 | 0.26 | 22 | 0.17 | 11 | 0.09 | 15 | 0.12 |
| 6 | 67 | 0.52 | 46 | 0.36 | 18 | 0.14 | 4 | 0.03 | 20 | 0.16 |
| 7 | 10 | 0.08 | 15 | 0.12 | 21 | 0.16 | 29 | 0.23 | 66 | 0.52 |
| 8 | 29 | 0.23 | 39 | 0.30 | 33 | 0.26 | 13 | 0.10 | 27 | 0.21 |
| 9 | 18 | 0.14 | 34 | 0.27 | 20 | 0.16 | 31 | 0.24 | 41 | 0.32 |
| 10 | 8 | 0.06 | 19 | 0.15 | 9 | 0.07 | 28 | 0.22 | 82 | 0.64 |
| 11 | 24 | 0.19 | 33 | 0.26 | 30 | 0.23 | 25 | 0.20 | 41 | 0.32 |
| 12 | 11 | 0.09 | 23 | 0.18 | 32 | 0.25 | 37 | 0.29 | 31 | 0.24 |
| 13 | 21 | 0.16 | 21 | 0.16 | 48 | 0.38 | 23 | 0.18 | 19 | 0.15 |
| 14 | 38 | 0.30 | 51 | 0.40 | 43 | 0.34 | 6 | 0.05 | 4 | 0.03 |
| 15 | 20 | 0.16 | 22 | 0.17 | 25 | 0.20 | 32 | 0.25 | 39 | 0.30 |
| 16 | 39 | 0.30 | 64 | 0.50 | 24 | 0.19 | 6 | 0.05 | 15 | 0.12 |
| 17 | 30 | 0.23 | 44 | 0.34 | 24 | 0.19 | 12 | 0.09 | 12 | 0.09 |
| 18 | 50 | 0.39 | 55 | 0.43 | 50 | 0.39 | 11 | 0.09 | 2 | 0.02 |

| | | | | | | | | | | |
|----|----|------|----|------|----|------|----|------|----|------|
| 19 | 20 | 0.16 | 49 | 0.38 | 26 | 0.20 | 20 | 0.16 | 6 | 0.05 |
| 20 | 20 | 0.16 | 42 | 0.33 | 44 | 0.34 | 9 | 0.07 | 7 | 0.05 |
| 21 | 14 | 0.11 | 20 | 0.16 | 58 | 0.45 | 26 | 0.20 | 26 | 0.20 |
| 22 | 14 | 0.11 | 18 | 0.14 | 44 | 0.34 | 30 | 0.23 | 29 | 0.23 |
| 23 | 13 | 0.10 | 39 | 0.30 | 48 | 0.38 | 21 | 0.16 | 32 | 0.25 |
| 24 | 13 | 0.10 | 33 | 0.26 | 36 | 0.28 | 22 | 0.17 | 18 | 0.14 |
| 25 | 20 | 0.16 | 38 | 0.30 | 48 | 0.38 | 7 | 0.05 | 1 | 0.01 |
| 26 | 8 | 0.06 | 34 | 0.27 | 41 | 0.32 | 37 | 0.29 | 22 | 0.17 |

Table (4) Sorting of answers of the questions of Kirkuk university Higher Educ.

| No | Kirkuk university | | | | | | | | | |
|----|-------------------|------|-----------|------|-----------|------|------------------|------|-------------------|------|
| | 1- More | | 2- Medium | | 3- Little | | 4- Zero/ nothing | | 5- Not avia-lable | |
| | No | % | No | % | No | % | No | % | No | % |
| 1 | 7 | 0.54 | 10 | 0.77 | 8 | 0.62 | 0 | 0.00 | 8 | 0.62 |
| 2 | 4 | 0.31 | 0 | 0.00 | 10 | 0.77 | 4 | 0.31 | 14 | 1.08 |
| 3 | 16 | 1.23 | 5 | 0.38 | 4 | 0.31 | 8 | 0.62 | 2 | 0.15 |
| 4 | 18 | 1.38 | 8 | 0.62 | 4 | 0.31 | 2 | 0.15 | 2 | 0.15 |
| 5 | 18 | 1.38 | 10 | 0.77 | 2 | 0.15 | 2 | 0.15 | 4 | 0.31 |
| 6 | 18 | 1.38 | 14 | 1.08 | 0 | 0.00 | 2 | 0.15 | 2 | 0.15 |
| 7 | 4 | 0.31 | 4 | 0.31 | 7 | 0.54 | 8 | 0.62 | 14 | 1.08 |
| 8 | 6 | 0.46 | 8 | 0.62 | 8 | 0.62 | 5 | 0.38 | 10 | 0.77 |
| 9 | 0 | 0.00 | 8 | 0.62 | 4 | 0.31 | 8 | 0.62 | 13 | 1.00 |
| 10 | 0 | 0.00 | 22 | 1.69 | 6 | 0.46 | 10 | 0.77 | 16 | 1.23 |
| 11 | 9 | 0.69 | 6 | 0.46 | 6 | 0.46 | 6 | 0.46 | 8 | 0.62 |
| 12 | 0 | 0.00 | 7 | 0.54 | 6 | 0.46 | 18 | 1.38 | 4 | 0.31 |
| 13 | 6 | 0.46 | 2 | 0.15 | 7 | 0.54 | 16 | 1.23 | 2 | 0.15 |
| 14 | 12 | 0.92 | 6 | 0.46 | 14 | 1.08 | 1 | 0.08 | 0 | 0.00 |
| 15 | 0 | 0.00 | 8 | 0.62 | 4 | 0.31 | 19 | 1.46 | 6 | 0.46 |
| 16 | 14 | 1.08 | 12 | 0.92 | 8 | 0.62 | 0 | 0.00 | 0 | 0.00 |
| 17 | 6 | 0.46 | 12 | 0.92 | 14 | 1.08 | 2 | 0.15 | 0 | 0.00 |
| 18 | 5 | 0.38 | 12 | 0.92 | 12 | 0.92 | 4 | 0.31 | 0 | 0.00 |
| 19 | 6 | 0.46 | 15 | 1.15 | 9 | 0.69 | 1 | 0.08 | 0 | 0.00 |
| 20 | 8 | 0.62 | 10 | 0.77 | 12 | 0.92 | 2 | 0.15 | 6 | 0.46 |
| 21 | 2 | 0.15 | 4 | 0.31 | 8 | 0.62 | 10 | 0.77 | 10 | 0.77 |
| 22 | 0 | 0.00 | 9 | 0.69 | 8 | 0.62 | 8 | 0.62 | 10 | 0.77 |
| 23 | 0 | 0.00 | 4 | 0.31 | 11 | 0.85 | 9 | 0.69 | 12 | 0.92 |
| 24 | 2 | 0.15 | 10 | 0.77 | 14 | 1.08 | 6 | 0.46 | 3 | 0.23 |
| 25 | 2 | 0.15 | 24 | 1.85 | 8 | 0.62 | 0 | 0.00 | 0 | 0.00 |
| 26 | 0 | 0.00 | 2 | 0.15 | 8 | 0.62 | 18 | 1.38 | 6 | 0.46 |

Table (5) Sorting of answers of the questions of the three universities.

| No | Sum of all percentages | | | | | | | | | |
|----|------------------------|------|-----------|------|-----------|------|------------------|------|-------------------|------|
| | 1- More | | 2- Medium | | 3- Little | | 4- Zero/ nothing | | 5- Not avia-lable | |
| | No | % | No | % | No | % | No | % | No | % |
| 1 | | 0.90 | | 1.34 | | 1.12 | | 0.21 | | 1.06 |
| 2 | | 0.56 | | 0.34 | | 1.06 | | 0.55 | | 2.06 |
| 3 | | 1.57 | | 0.90 | | 0.74 | | 0.82 | | 0.76 |
| 4 | | 1.88 | | 1.15 | | 0.79 | | 0.40 | | 0.50 |
| 5 | | 2.13 | | 1.34 | | 0.51 | | 0.35 | | 0.55 |
| 6 | | 2.21 | | 1.61 | | 0.40 | | 0.30 | | 0.46 |
| 7 | | 0.45 | | 0.54 | | 0.85 | | 1.09 | | 1.98 |
| 8 | | 0.97 | | 1.13 | | 1.06 | | 0.60 | | 1.19 |
| 9 | | 0.26 | | 1.12 | | 0.63 | | 1.10 | | 1.56 |
| 10 | | 0.13 | | 2.01 | | 0.72 | | 1.23 | | 2.25 |
| 11 | | 1.00 | | 0.94 | | 0.93 | | 0.90 | | 1.12 |
| 12 | | 0.18 | | 0.91 | | 0.98 | | 1.87 | | 0.81 |
| 13 | | 0.76 | | 0.56 | | 1.25 | | 1.56 | | 0.45 |
| 14 | | 1.36 | | 1.22 | | 1.70 | | 0.24 | | 0.11 |
| 15 | | 0.26 | | 0.90 | | 0.79 | | 1.97 | | 1.00 |
| 16 | | 1.55 | | 1.74 | | 1.10 | | 0.19 | | 0.19 |
| 17 | | 0.88 | | 1.53 | | 1.61 | | 0.31 | | 0.24 |
| 18 | | 1.07 | | 1.61 | | 1.55 | | 0.49 | | 0.13 |
| 19 | | 0.77 | | 1.80 | | 1.24 | | 0.38 | | 0.14 |
| 20 | | 0.94 | | 1.42 | | 1.57 | | 0.37 | | 0.59 |
| 21 | | 0.43 | | 0.69 | | 1.44 | | 1.12 | | 1.06 |
| 22 | | 0.30 | | 1.05 | | 1.24 | | 1.06 | | 1.10 |
| 23 | | 0.27 | | 0.99 | | 1.45 | | 0.98 | | 1.28 |
| 24 | | 0.40 | | 1.35 | | 1.64 | | 0.78 | | 0.48 |
| 25 | | 0.51 | | 2.50 | | 1.25 | | 0.16 | | 0.09 |
| 26 | | 0.15 | | 0.75 | | 1.09 | | 1.95 | | 0.78 |

Measuring the factors that contribute to the quality of services in the restaurants in Republic of Macedonia

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Abstract

The study examined the consumer behavior in the restaurant businesses in Macedonia. Aside from the data analyses for the differences of the perceptions of the factors that contribute towards the decision for visiting the restaurants among restaurant's employees and consumers, this paper contains the data about the factors that influence the customer satisfaction. Additionally, the research provides information about the main tools that customers use in order to inform themselves for different offers and services in different restaurants. The research has been based on the measurements for making analyses of the following factors: Quality, Accessibility, Food Decoration, Customer Care, Innovation, Taste of the food, Price, Hygiene, Ambience and Promotion. Based on the findings, the data gives clearer picture for the focus, opportunities and challenges for developing the marketing strategy in the restaurant businesses in Macedonia. Additionally, the conclusions give directions for implementing advanced knowledge, techniques and methods for marketing analyses in the field of restaurant businesses. Finally, the study provides critical evaluation for the current situation of the marketing in restaurant businesses in Macedonia. The findings give further recommendations for the development of the suitable marketing strategy in order to increase the customer satisfaction.

Key words: *bringing decision, customer behavior, customer satisfaction, restaurant businesses*

Introduction

The restaurant service is a complex category that integrates quality of the food, quality of the service, the atmosphere as well as the professional behavior. The restaurant businesses are organizationally, functionally and technically adapted to the food sector and integrate food preparation, food production and serving of the food, drinks and beverages. The restaurant businesses in Macedonia become very popular in the latest years since people start using the restaurant services more often as a result of the dynamic lifestyles and European working time.

It is expected that the today's customers in the restaurants will expect more sophisticated and specific food (Brady & Cronin, 2001). The most of the people have access to many web pages and TV channels where they can educate themselves about the quality of the food as well as the different combinations of nutritive values that should satisfy their specific needs. Therefore they constantly expect different offers and services in order to have new experiences of the healthy and tasteful food (Стаменковска & Јаковски, 2013). Additionally, people travel abroad and visit different international restaurants that are offering food with different specific flavors and use products from different parts of the world. The restaurant businesses have a high market competition from one side and very well educated customers with very specific expectation for the food and restaurant services from the others (Wishna, 2000).

Today's restaurants should pay attention to many aspects of their work in order to satisfy the senses of the customers (Stack et al., 2006; Kotler, 1999; Andaleeb & Conway, 2006). Having a satisfactory customer's experiences is crucial for attracting new customers and having a profitable restaurant business. In order to develop the restaurant business, the owners and managers must follow the global trends and implement the satisfactory standards of quality of the services (Kotler, 2002; Salai & Bozidarevic, 2001). The main goal of this study is to investigate the factors that contribute to the customers decision to visit certain restaurant and use its services. Furthermore, the research provides very important data for the perceptions of the employees and customers regarding the factors that influence the customer satisfaction. The impact and uniqueness of the study rely on the fact that there are only few studies that offer the knowledge and information

about the restaurant businesses in Republic of Macedonia. The research offers in-depth analyses of crucial factors for leading the restaurant businesses evaluated from the employees and customers. The results from the factor analyses confirmed that the Quality of the food, Hygiene, Taste of the food and Customer care are the main components that should be taken into consideration during the process of creating the successful developing strategy.

Literature review

The service is defined as the activity or benefit that one person/group/entity can offer to the others. The service is nonmaterial and it does not offer visible product. The difference in offering services compared to the offering products is that the service cannot be separated, it is produced and consumed in the same time, and it is variable and heterogeneous (Brown at al., 1993; Skallerud at al., 2009; Kotler at al., 2009). The specificity of the services rely on the fact that they are not presented as physical material products which means that the services cannot be valued on any way before the its consumption. Additionally, the production and consumption is conditioned from the personal presents of the customers of the services. The heterogeneity of the services means that there is a big number of the independent subjects in the process of production of the certain service. The variability of the services is presented into the fluctuation of the inquiry in different periods of the day, different days during the week or months as well on the different seasons (Блеквел at al., 2009; Стојковска & Јаковски, 2013).

The restaurant service is a complicated activity since it includes the production of the food, the service of the food and drinks, the organizational activities as well as the trading activities. In order to be able to offer the restaurant services with the high quality, the restaurant should pay a special attention to the personnel, customers and technological support (Kotler, 2009; Laketa, 2000; Howard & Sheth, 1969). The interest for the quality of the restaurant services is rapidly increasing in the latest 30 years. Therefore, today, there are many different definitions and different explanations that contain very subjective point of view. In order to define the quality of the restaurant services, we must take into consideration the fact that what is evaluated as high quality from customer can be considered as average quality by the other (Cobb, 1986; Dhar, 2000; Garvin, 1984). Therefore, the most of the studies that measure the quality of the restaurant services as well as the customer's satisfaction actually measure the customer's perceptions of the quality of the services. In order to be able to provide satisfactory customer experience, different sum of factors should be taken into consideration (Cousins at al., 2002; Ha & Jang, 2010).

Many years, the researchers are trying to identify the suitable models for measuring the quality of the services in the restaurants Brown at al., 1993; Beatty & Ferrell, 1998; Hirschman & Holbrook, 1982). The focus in the most of the studies, is to compare the perception of expected quality with the perception of received quality from the customer's point of view. The restaurant's customers usually combine different visible and invisible factors in order to evaluate the dining experience. The main element is the offer of food and drinks combined with the atmosphere and professional behavior of the employees. The quality of the restaurant services usually includes the quality of the offer, the quality of the ambient and the customer care. It represents the difference between what have been expected and what have been experienced into the selected restaurant. If the customers have an internal feeling of satisfaction from the services offered in the restaurant, they will constantly visit the place and will recommend in to the other customers. To satisfy the customers is the best way to attract new customers. The customers visit the restaurants that are aware about their expectations and are able to satisfy their specific needs (Стојковска, 2014; Сеник & Сеник, 2008; Seth at al., 2005).

The customer satisfaction represents the subjective feeling of the customer's experiences. Even though there are many factors that influence these experiences, the mostly investigated are the quality of the food, the quality of the service and the physical environment (Bitner, 1992). The quality of the food usually is experienced by using all of the senses: taste, smell, visual impression, temperature and sound. The physical environment is crucial for creating the first impression for the restaurant. The customers are expecting to be able to easily access to the restaurant, to have a parking place, than they become aware about the facility aesthetics, ambience, lighting etc. (Bitner, 1992; Babin & Attaway, 2000; Kollat & Willet, 1967). The hygiene is another important factor that contributes towards the decision for visiting certain restaurant and using its services. The safety and security of the food becomes the new base for the perception of the quality of the service in the restaurants (Маринковиќ, 2007). The customer care is another aspect that can increase or decrease the satisfaction of the customers. Taking care for the customers, following their specific needs and caring about their requirements in many cases is more important than the quality of the food and external environment (Namkung & Jang, 2008; Popesku, 2005).

Regarding the results from the previous research studies (Anderson & Mittal, 2000; Bienstock at al., 2003; Dulen, 1999; Garvin, 2984), the high quality of the service is positively correlated with the high customer satisfaction. According to Zeithamal at al. (1996) the perception of the customers regarding the received services is the main factor that increases their satisfaction. The modern marketing literature differentiates two types of customer satisfaction: customer satisfaction based on transactions and overall satisfaction. The first type represents the perception related to the certain service related to the latest experience. The overall satisfaction is based on the overall experience and is not based on the single transaction (Gronroos, 1984; Kacen & Lee, 2002). The process of measuring the customer satisfaction sometimes can be very challenging because of its changing character. Therefore, the most of the studies do not measure the customer satisfaction towards the certain service, nevertheless they measure the satisfaction from the attributes of its service.

The ability of the restaurants to recognize and satisfy the customer need is the main key for long term business development. The satisfied customers are loyal customers that send the positive message to the other potential clients. The factors that contribute towards the satisfaction of the customers may vary from one restaurant to another since the perception of quality is a subjective category and is contributed from the environment, culture and personality (Јовановска & Јаковски, 2009; Косар, 1998; Kotler, 1973). Many times the behavior of the employees have been recognized as the main factor for developing the relational dimension with the customer. According to many studies (Strack at al., 2006), the kindness, friendliness and willingness to help customers are the main skills and competences that restaurant's employees should develop in order to have a satisfied customers.

Research methodology

Taking into consideration the fact that the statistical data and marketing research for consumer behavior in the restaurant business in Macedonia is lacking, the main goal of the this research is the following: Analyzing the factors for bringing decision for visiting the restaurants and using restaurant services, and measuring the employees and customers satisfaction in the restaurants in Tetovo, Republic of Macedonia. The main questions that have been answered in this study are the following:

Which are the main factors for bringing decision for visiting restaurants and using its services?

Which are the key needs of the customers that are using the restaurant services?

Which factors influence the customer satisfaction in the restaurants in Macedonia?

The main subject of the research is to detect the key factors that influence the decision for visiting the restaurants and using the restaurant services, with additional analyses of the restaurants advantages and disadvantages. Additionally, the research is investigating the differences of the perceptions among the employees and customers for the following factors:

Quality

Accessibility

Decoration of the food

Customer care

Innovation

The taste of the food

Price

Hygiene

Ambience

Promotion

Finally, the research contains the statistical data for the perceptions of the employees and customers regarding the factors that contribute to the customer satisfaction.

Participants

This research has been done on the data collected from 94 participants divided in 2 groups: Employees and Customers. The employees work in 10 different restaurants in Tetovo, Macedonia. From them 34 (72,34%) are employees that serve customers while 13 (27,66%) are managers of the restaurants. The most of them (24-54,1%) are on the age of 20-30 years, 12 (25,5%) are on the age of 30-40 years, 8 are on the age of 40-50 years and 3 of them are on the age above 50 years. Only 6 participants from the group of employees are females while 41 are males. The majority (51,1%) have high education while 34% have finished high school. Regarding the working experience, the most of them have 5-10 years working experience (34%), 29,8 are with working experience in the range of 1-5 years, while 25,5 % are with working experience from 10-15 years. The most of the participants are Albanians (89,36%) while 5 of them (10,64%) are Macedonians.

The majority of the customers that participated in this research are on the age of 30-40 years (36,2%), 34% are on the age of 20-30 years and 29,8% are on the age above 40 years. There are 32 male customers and 15 female customers. Only 12,8% have finished the high school while the 87,2% have finished faculty or master degree. The most of the customers are Albanians (89,36%) while 5 of them (10,64%) are Macedonians.

Questionnaires and procedure

The data for this research has been collected by using the combination of questions that have been separately created for the employees and customers. The author created the new questionnaires on Macedonian and Albanian language. The questionnaires for the employees and clients contain 10 questions. By using the scale of 1-5 the participants are evaluating the factors that are crucial for bringing decision for going in the certain restaurant as well as their perceptions for the factors that contribute to the customer satisfaction. The data has been collected in the period of July-September 2017. The questionnaires have been distributed in the hard copies by the researchers. The participants filled in the questionnaires individually. The total number of the distributed questionnaires was 103.

Results and discussion

According to the analyses of the data collected from the employees and customers in the restaurants in Tetovo, Macedonia, the main factors for bringing decision for visiting certain restaurant are the Hygiene, Quality of the food, Customer care and the Taste of the food. From the other side the Promotion and Accessibility have the lowest scores for both of the groups. The scores of the employees for all of the factors for bringing decision for visiting restaurants are higher than the scores of the customers. However, all of the factors have been evaluated with higher scores than the expected average in both of the groups. Based on the results received from the analyses on the mean differences (t-test), the differences in the perception of the factors that contribute towards the decision for visiting restaurants and using its services among employees and customers, are statistically important for the factors Hygiene and Accessibility. Therefore, it can be concluded that employees have a perception that the Hygiene and Accessibility are more important factors for visiting the restaurants and using its services in comparison to the perception of the customers .

Based on the analysis of the answers of the question: Which are the advantages and disadvantages of the restaurants that you are visiting/in which you are working compared to the other restaurants?, the main advantages are Quality of the food and Customer care in both groups the employees and the customers. From the other side, the main disadvantages for the employees are Customer care, Accessibility and Promotion. The customers consider that Innovativeness, Taste of the food, and Hygiene are the main disadvantages of the restaurants that they are visiting.

The additional analyses of perception of the factors that contribute towards customer satisfaction confirmed that both employees and customers consider that the Tasteful food, Professional service and Customer care are crucial factors for customer's satisfaction. However, the employees evaluated all of the factors higher than the customers. The received means of the scores for both groups are higher than the expected mean.

Table 1. Descriptive statistics and t-test for the factors that contribute on the decision for visiting the restaurants and using the restaurant services

| | Group | N | M | ΣM | δ | δD | D | F | df | t | p |
|-------------------|-----------|----|------|------------|----------|------------|-------|------|----|-------|------|
| Quality | Employees | 47 | 4,60 | | 0,83 | 0,12 | | | | -0,48 | 0,35 |
| | Customers | 47 | 4,68 | 4,64 | 0,89 | 0,13 | -0,09 | 0,87 | 92 | -0,48 | |
| Accessibility | Employees | 47 | 4,02 | | 1,03 | 0,15 | | | | 1,31 | 0,04 |
| | Customers | 47 | 3,68 | 3,85 | 1,45 | 0,21 | 0,34 | 4,33 | 92 | 1,31 | |
| Food decoration | Employees | 47 | 4,09 | | 1,04 | 0,15 | | | | 1,86 | 0,10 |
| | Customers | 47 | 3,64 | 3,86 | 1,28 | 0,19 | 0,45 | 2,74 | 92 | 1,86 | |
| Customer care | Employees | 47 | 4,64 | | 0,74 | 0,11 | | | | 0,57 | 0,25 |
| | Customers | 47 | 4,53 | 4,59 | 1,04 | 0,15 | 0,11 | 1,34 | 92 | 0,57 | |
| Innovativeness | Employees | 47 | 4,17 | | 0,96 | 0,14 | | | | 1,86 | 0,08 |
| | Customers | 47 | 3,74 | 3,96 | 1,24 | 0,18 | 0,43 | 3,05 | 92 | 1,86 | |
| Taste of the food | Employees | 47 | 4,62 | | 0,77 | 0,11 | | | | 0,36 | 0,72 |
| | Customers | 47 | 4,55 | 4,59 | 0,95 | 0,14 | 0,06 | 0,13 | 92 | 0,36 | |
| Price | Employees | 47 | 4,21 | | 0,95 | 0,14 | | | | 1,02 | 0,12 |
| | Customers | 47 | 3,98 | 4,10 | 1,26 | 0,18 | 0,23 | 2,41 | 92 | 1,02 | |
| Hygiene | Employees | 47 | 4,77 | | 0,60 | 0,09 | | | | 0,99 | 0,05 |
| | Customers | 47 | 4,60 | 4,68 | 1,01 | 0,15 | 0,17 | 3,89 | 92 | 0,99 | |
| Ambience | Employees | 47 | 4,40 | | 0,92 | 0,13 | | | | 1,03 | 0,40 |
| | Customers | 47 | 4,19 | 4,30 | 1,08 | 0,16 | 0,21 | 0,70 | 92 | 1,03 | |
| Promotion | Employees | 47 | 4,06 | | 1,09 | 0,16 | | | | 3,59 | 0,25 |
| | Customers | 47 | 3,15 | 3,61 | 1,37 | 0,20 | 0,91 | 1,32 | 92 | 3,59 | |

According to the results received from the analyses of the scores of the employees, the main factors for customer satisfaction are Professional service, Tasteful food and Customer care while the lowest scores are given to the factors: Personal parking, Easy access to the restaurant and the Promotional packages. From the other side, according to the perceptions of the customers, the most important factors for customer satisfaction are Tasteful food, Optimal hygiene and Customer care. The lowest scores evaluated by the customers are given to the Personal parking, Different methods of food promotion and Promotional packages.

The analyses of the differences of the means among employees and customers are presenting that there are statistically important results for the factors Tasteful food, Professional service, Quality standards, Eco standards and Price. Hence, it can be concluded that employees consider the Tasteful food, Professional service, Quality standards, Eco standards, and Price as more important factors that influence the customer satisfaction than the customers.

The results from the analyses of the scores for the question: Do you have marketing strategy?, present that 80,9% from the employees have answered that they have their own marketing strategy while 17% have answered that they do not have

the marketing strategy in the restaurant in which they are working. Concerning the most used tools for informing the customers for the offers and services in the restaurant, 23 employees (48,9%) have answered that they use the recommendations (friends) in order to promote their offers and services. Additionally 36,2% use the internet tools while 8,5 use the TV as the main tool for promotion. Only 4.2% use printed materials as the tool for informing the customers about their offers and services. From the other side, the most used tool that customers use in order to inform themselves for the offers and services in the restaurants is the recommendations (friends) 51,1%,. 27,7% from the customers use internet while 6,4% inform themselves from the TV.

Table 2: Descriptive statistics and t-test for the advantages and disadvantages of the restaurants based on the perceptions of the employees and customers

| | Group | N | Advantages | | | | Disadvantages | | | |
|--------------------------|-----------|----|------------|------|------------|-------|---------------|------|------------|-------|
| | | | Frequency | | Percentage | | Frequency | | Percentage | |
| | | | Yes | No | Yes | No | Yes | No | Yes | No |
| Quality | Employees | 47 | 40 | 7 | 85,1 | 14,9 | 9 | 38 | 19,1 | 80,9 |
| | Customers | 47 | 42 | 5 | 89,4 | 10,6 | 17 | 30 | 36,2 | 63,8 |
| | Total | 94 | 41 | 6 | 87,25 | 12,75 | 13 | 34 | 27,65 | 72,35 |
| Accessibility | Employees | 47 | 15 | 32 | 31,9 | 68,1 | 15 | 32 | 31,9 | 68,1 |
| | Customers | 47 | 19 | 28 | 40,4 | 59,6 | 13 | 34 | 27,7 | 72,3 |
| | Total | 94 | 17 | 30 | 36,15 | 63,85 | 14 | 33 | 29,8 | 70,2 |
| Food decoration | Employees | 47 | 20 | 27 | 42,6 | 57,4 | 6 | 41 | 12,8 | 87,2 |
| | Customers | 47 | 14 | 33 | 29,8 | 70,2 | 14 | 33 | 29,8 | 70,2 |
| | Total | 94 | 17 | 30 | 36,2 | 63,8 | 10 | 37 | 21,3 | 78,7 |
| Customer care | Employees | 47 | 11 | 36 | 76,6 | 23,4 | 6 | 41 | 87,2 | 12,8 |
| | Customers | 47 | 36 | 11 | 76,6 | 23,4 | 14 | 33 | 29,8 | 70,2 |
| | Total | 94 | 23,5 | 23,5 | 76,6 | 23,4 | 10 | 37 | 58,5 | 41,5 |
| Innovativeness | Employees | 47 | 19 | 28 | 40,4 | 59,6 | 8 | 39 | 17 | 83 |
| | Customers | 47 | 17 | 30 | 36,2 | 63,8 | 19 | 28 | 40,4 | 59,6 |
| | Total | 94 | 18 | 29 | 38,3 | 61,7 | 13,5 | 33,5 | 28,7 | 71,3 |
| Taste of the food | Employees | 47 | 33 | 14 | 70,2 | 29,8 | 5 | 42 | 10,6 | 89,4 |
| | Customers | 47 | 33 | 14 | 70,2 | 29,8 | 19 | 28 | 40,4 | 59,6 |
| | Total | 94 | 33 | 14 | 70,2 | 29,8 | 12 | 35 | 25,5 | 74,5 |
| Price | Employees | 47 | 20 | 27 | 42,6 | 57,4 | 12 | 35 | 25,5 | 74,5 |
| | Customers | 47 | 17 | 30 | 36,2 | 63,8 | 14 | 33 | 29,8 | 70,2 |
| | Total | 94 | 18,5 | 28,5 | 39,4 | 60,6 | 13 | 34 | 27,65 | 72,35 |
| Hygiene | Employees | 47 | 29 | 18 | 61,7 | 38,3 | 9 | 38 | 19,1 | 80,9 |
| | Customers | 47 | 10 | 37 | 78,7 | 21,3 | 15 | 32 | 31,9 | 68,1 |
| | Total | 94 | 19,5 | 27,5 | 70,2 | 29,8 | 12 | 35 | 25,5 | 74,5 |
| Ambience | Employees | 47 | 30 | 17 | 63,8 | 36,2 | 8 | 39 | 17 | 83 |
| | Customers | 47 | 25 | 22 | 53,2 | 46,8 | 10 | 37 | 21,3 | 78,7 |
| | Total | 94 | 27,5 | 19,5 | 58,5 | 41,5 | 9 | 38 | 19,15 | 80,85 |
| Promotion | Employees | 47 | 14 | 33 | 29,8 | 70,2 | 20 | 26 | 43,5 | 56,5 |
| | Customers | 47 | 37 | 10 | 21,3 | 78,7 | 16 | 31 | 34 | 66 |

| | | | | | | | | | |
|-------|----|------|------|-------|-------|----|------|-------|-------|
| Total | 94 | 25,5 | 21,5 | 25,55 | 74,45 | 18 | 28,5 | 38,75 | 61,25 |
|-------|----|------|------|-------|-------|----|------|-------|-------|

| Table 3 Descriptive statistics and t-test for the perception of the factors that contribute towards customer satisfaction | | | | | | | | | | |
|---------------------------------------------------------------------------------------------------------------------------|-----------|----|------|----------|------------|------|-------|----|------|--------|
| | Group | N | M | δ | δD | D | F | df | t | p |
| Tasteful food | Employees | 47 | 4,70 | 0,69 | 0,10 | 0,27 | 6,04 | 92 | 1,61 | 0,01** |
| | Customers | 47 | 4,43 | 0,95 | 0,14 | | | | | |
| | Total | 94 | 4,57 | | | | | | | |
| Professional service | Employees | 47 | 4,74 | 0,61 | 0,09 | 0,57 | 22,21 | 92 | 3,29 | 0** |
| | Customers | 47 | 4,17 | 1,03 | 0,15 | | | | | |
| | Total | 94 | 4,46 | | | | | | | |
| Rich offer of food and drinks | Employees | 47 | 4,34 | 0,84 | 0,12 | 0,34 | 0,33 | 92 | 1,83 | 0,57 |
| | Customers | 47 | 4,00 | 0,96 | 0,14 | | | | | |
| | Total | 94 | 4,17 | | | | | | | |
| Personal parking | Employees | 47 | 3,83 | 1,37 | 0,20 | 0,43 | 0,18 | 92 | 1,50 | 0,67 |
| | Customers | 47 | 3,40 | 1,38 | 0,20 | | | | | |
| | Total | 94 | 3,62 | | | | | | | |
| Easy access to the restaurant | Employees | 47 | 4,04 | 1,08 | 0,16 | 0,34 | 2,36 | 92 | 1,40 | 0,13 |
| | Customers | 47 | 3,70 | 1,27 | 0,18 | | | | | |
| | Total | 94 | 3,87 | | | | | | | |
| Optimal hygiene | Employees | 47 | 4,47 | 0,80 | 0,12 | 0,07 | 0,81 | 92 | 0,35 | 0,37 |
| | Customers | 47 | 4,40 | 0,95 | 0,14 | | | | | |
| | Total | 94 | 4,44 | | | | | | | |
| Sophisticated internal design and lightening | Employees | 47 | 4,53 | 0,80 | 0,12 | 0,47 | 1,72 | 92 | 2,52 | 0,19 |
| | Customers | 47 | 4,06 | 0,99 | 0,14 | | | | | |
| | Total | 94 | 4,30 | | | | | | | |
| Food serving innovativeness | Employees | 47 | 4,38 | 0,97 | 0,14 | 0,49 | 1,26 | 92 | 2,30 | 0,26 |
| | Customers | 47 | 3,89 | 1,09 | 0,16 | | | | | |
| | Total | 94 | 4,14 | | | | | | | |
| Suitable equipment | Employees | 47 | 4,40 | 0,83 | 0,12 | 0,38 | 3,31 | 92 | 1,92 | 0,07 |
| | Customers | 47 | 4,02 | 1,09 | 0,16 | | | | | |
| | Total | 94 | 4,21 | | | | | | | |
| Customer care/Client service | Employees | 47 | 4,62 | 0,87 | 0,13 | 0,26 | 2,29 | 92 | 1,38 | 0,13 |
| | Customers | 47 | 4,36 | 0,92 | 0,13 | | | | | |
| | Total | 94 | 4,49 | | | | | | | |
| Quality standards | Employees | 47 | 4,43 | 0,83 | 0,12 | 0,39 | 4,30 | 92 | 1,90 | 0,04* |
| | Customers | 47 | 4,04 | 1,10 | 0,16 | | | | | |
| | Total | 94 | 4,23 | | | | | | | |
| New innovative offers | Employees | 47 | 4,19 | 0,97 | 0,14 | 0,62 | 2,40 | 92 | 2,72 | 0,12 |
| | Customers | 47 | 3,57 | 1,21 | 0,18 | | | | | |
| | Total | 94 | 3,88 | | | | | | | |
| Modern models of equipment | Employees | 47 | 4,19 | 0,99 | 0,14 | 0,47 | 0,07 | 92 | 2,21 | 0,78 |
| | Customers | 47 | 3,72 | 1,06 | 0,15 | | | | | |
| | Total | 94 | 3,96 | | | | | | | |
| Modern techniques of food preparation | Employees | 47 | 4,23 | 0,87 | 0,13 | 0,59 | 1,51 | 92 | 3,03 | 0,22 |
| | Customers | 47 | 3,64 | 1,03 | 0,15 | | | | | |
| | Total | 94 | 3,94 | | | | | | | |
| Different tastes of the food | Employees | 47 | 4,38 | 0,92 | 0,13 | 0,55 | 0,05 | 92 | 2,84 | 0,83 |
| | Customers | 47 | 3,83 | 0,96 | 0,14 | | | | | |
| | Total | 94 | 4,11 | | | | | | | |
| Eco standards of food | Employees | 47 | 4,55 | 0,77 | 0,11 | 0,51 | 10,99 | 92 | 2,70 | 0** |

| | | | | | | | | | | |
|--------------------------------------------------|-----------|----|------|------|------|------|-------|----|------|------|
| preparation | Customers | 47 | 4,04 | 1,04 | 0,15 | | | | | |
| | Total | 94 | 4,30 | | | | | | | |
| Different offers for different client's needs | Employees | 47 | 4,36 | 0,79 | 0,12 | 0,36 | 1,21 | 92 | 1,97 | 0,27 |
| | Customers | 47 | 4,00 | 0,98 | 0,14 | | | | | |
| | Total | 94 | 4,18 | | | | | | | |
| Price correspond to quality of the food | Employees | 47 | 4,47 | 0,75 | 0,11 | 0,6 | 13,61 | 92 | 2,81 | 0** |
| | Customers | 47 | 3,87 | 1,24 | 0,18 | | | | | |
| | Total | 94 | 4,17 | | | | | | | |
| Different methods of food promotion | Employees | 47 | 4,23 | 0,84 | 0,12 | 1 | 0,21 | 92 | 5,45 | 0,64 |
| | Customers | 47 | 3,23 | 0,94 | 0,14 | | | | | |
| | Total | 94 | 3,73 | | | | | | | |
| Interesting promotional packages | Employees | 47 | 4,00 | | | 0,81 | 0,07 | 92 | 3,56 | 0,78 |
| | Customers | 47 | 3,19 | 1,10 | 0,16 | | | | | |
| | Total | 94 | 3,60 | 1,10 | 0,16 | | | | | |

Taking into consideration that the most of the participants still use the recommendations (friends) as the main tool for informing themselves and there are still restaurants that do not have their own marketing strategy, it can be concluded that the awareness for using different marketing tools is on the very low level. Only 36,2% from the employees are using the internet as a tool for informing their customers regarding their offers and services. It can be concluded that in the future, there should be a further research regarding the functionality of the web portals as well as the presence of the Macedonian restaurants on the social network. Additionally, the focus of the managerial teams into the restaurants should be on strengthening the capacities of the human resources through training and education for using social media as the tool for marketing and sales.

Furthermore, it is very important to invest into the infrastructure of the restaurants. According to the results, the most of them may increase their potential for development if they invest in personal parking and if it is easier to access to them (Bitner, 1992; Babin & Attaway, 2000; Kollat& Willet, 1967). Additional aspects that should be developed in the future are the Eco standards as well as the standards for Professional behavior (Kotler, 2002; Salai & Bozidarevic, 2001). The restaurants should offer the tasteful food with high quality adapted to the needs of the clients. The customer care has been detected as one of the most important factors for bringing decision for visiting the restaurants as well as for the customer satisfaction. The restaurant personnel should be proactive and able to constantly recognize the needs of the customers in order to be able to offer the most suitable offer and service (Namkung& Jang, 2008; Popesku, 2005).

The management of the restaurant should constantly investigate the level of satisfaction of the customers. The main focus should be the customers that are loyal and are coming often into the restaurant. The obtained results can be solid information for bringing better decisions and creating marketing strategy that is adapted to the needs of the customers. In order to create the marketing strategy adapted to the needs of the customers it is very important to take into consideration that the same message will be accepted differently from different groups of customers. The customers will be selective and their perception will be in line with their expectations based on the previous experiences (Brown at al., 1993; Beatty& Ferrell, 1998; Hirschman& Holbrook, 1982). Therefore, they will refuse and forget all of the messages that do not correspond to their personal beliefs. Hence, it is very important to create the marketing strategy that will offer an opportunity to educate the customers during the process of consumption that will create new perceptions for the needs of certain services. During this process, the restaurant's employees should be skilled for customer relation management in order to be able to interactively communicate with the clients and continuously educate them. The educated customer is aware about the new trends of the food consumption and its effects on the eating habits and environment. The key influences in this process have the media especially the internet (Стојовска, 2014; Сениќ & Сениќ, 2008; Seth at al., 2005).

The questionnaires used in this research study are measuring 10 factors; however it does not cover all of the factors that are crucial for the success of the restaurant business. The future research should include new constellations in order to provide more detailed results for different aspects of the customer satisfaction. Furthermore, more restaurants from different parts of Macedonia should be taken into consideration in order to be able to provide results for the whole country. Finally, the sample of participants should include more participants with different demographic characteristics (gender, age, ethnicity, education, experience etc.), in order to be able to create more different groups and make further in-depth analyses.

Conclusion

Based on the founding's, the following can be concluded:

The awareness for the marketing strategy adapted to the needs of the clients as well as the investment in developing and using different marketing tools is still on the low level and requires additional research in the future.

The managerial teams in the restaurant businesses in Macedonia should strengthen the capacities of human resources through increasing the knowledge for consumer behavior as well the skills for professional service and customer care.

The employees in the restaurants in Macedonia should be encouraged to use modern marketing tools (online marketing and social media) for informing the customers.

The employees in the restaurants in Macedonia should be trained and educated for the newest trends in the food industry, they should develop their capacities for implementing creative technologies of food preparation and to use the innovative approaches or serving the food.

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Presheva Valley - 105 Years After the Declaration of Independence of Albania

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Abstract

Presheva Valley, Albanian region that is currently in the south of Serbia, has again become the subject of national and international debate. This debate was reopened after the beginning of dialogue between Kosovo and Serbia, which is relevant to the future of the Valley. Proposals are numerous, ranging from decentralization, separation from Serbia, and unification with Kosovo, within Serbia's regionalization, reciprocity rights of Kosovo Serbs to the exchange of territories in northern Kosovo. So, the 105 -th anniversary of the proclamation of independence of Albania finds Presheva Valley, as at the beginning of the Albanian state, neglected and having no care of both Albanian states. The position of Albanians, who make up the vast majority, remain the same, and all the inherited problems last until today. As the armed struggle, which took place between Serbian government forces and Albanians organized around UÇPMB, resulted in significant changes, as a result of which was achieved the peace agreement known as the "Konçul Agreement", which is guaranteed by the International Community. But although the peace agreement has been reached, the situation remains the same even 15 years after, wherein the Albanians are still facing the same problems and with a difference, because problems were added to the phenomenon of mass migration as in Kosovo, as well as in Western Europe which gained momentum especially after the liberalization of the visa regime for the EU set for Serbia.

Keywords: Presheva Valley, independence of Albania, war, Konçul Agreement

Introduction

Presheva Valley is currently in southern Serbia, along the border with Kosovo and the former Yugoslav Republic of Macedonia in a ground area of 1249 km² and 138 settlements included in the three municipalities of Preshevo, Bujanovac and Medveđa. Statistical data according to the 1991¹ census in the Albanian -majority municipalities, Preshevo, Bujanovac and Medveđa, show that 100,000 people lived in, 67% of them Albanians.

According to the 2002² registration, in this region lived near 90,000 inhabitants and Albanians constituted 65 % of the population. Presheva is mostly with Albanian in Serbia³. While, according to estimates of independent Kosovo and Western Europe, live on the 25,000 citizens from the valley, which means about 25 % of the total population. Presheva Valley has a very good geo -strategic position because it passes through the corridor that connects the Mediterranean Sea region. It can be said that the very important fact that served during the Yugoslav Federation, Tito Federal Government divided Valley Albanians from Kosovo intentionally with a decision of 1946. The division was made by exchanging two Serbian municipalities: Leposavic and Zubin Potok⁴.

These statistics are disturbing because the trends of the decreasing negative Albanian population which in the absence of prospects are migrating en masse in search of a better life. Process of visa liberalization that the EU set for Serbia, greatly affects the evacuation of the Presheva Valley whose citizens were placed in European countries.

¹ Попис становништва 1991. у СФРЈ

² Попис становништва 2002. у Србији

³ <http://www.kt.gov.rs/lt/articles/presheva/>

⁴ Lisen Bashkurti, Krizat ndërkombëtare, f-171, Tiranë



Map of Presheva Valley¹

Political developments at the time of the breakup of Yugoslavia

Since the fall of the Berlin Wall and the collapse of the communist bloc and the definitive establishment of multiparty systems in Eastern European countries of the former Yugoslavia or its constituent republics decided pluralist system. These changes affected countries except that they reflected the people seeking freedom and equal rights. Even in the Presheva Valley were two subjects after the introduction of political pluralism in Serbia in July 1990 and later political scene was enriched with other political entities. Currently there are nine political parties and a number of non-governmental organizations that enrich even more this stage. In the first multi-party elections held in Serbia this organization of Albanians led to their representation in Parliament by an MP of Serbia and getting local government in the municipality of Presheva .

The main shortcoming of this organization is that Albanians never managed to emerge as a subject only in Serbian elections except in one case and it was represented by two deputies in the Serbian Parliament, while in some elections held in recent years a party Serbian Parliament election boycott by participating only in local while another portion continually participate in Serbian elections at any level whatsoever.

Since in the meantime the people of the former Yugoslavia began to hold referendums on secession from Yugoslavia and the Serbs began their wars with other nations for domination and hegemony, the future of Albanians became increasingly unclear after the configuration of the former federation of Yugoslavia, the Albanians of the Presheva Valley organized a referendum in order to express their political will. That was exactly on March 1 and 2, 1992, where Albanians pleaded for political and territorial autonomy with the right of union with Kosovo² where also established the Assembly for Autonomy. Results of the referendum were voted by plebiscite and over 99 %Albanians favored a ballot question posed. It is important to note that political parties in the Valley have been part of the Coordination Council of the Albanian parties in Yugoslavia.

A photograph of a document titled 'KOSOVA REFERENDE' (Kosovo Referendum). The document contains a table with columns for various categories and rows of data. The text is in Albanian. At the bottom, there is a signature and a date: '1992.03.01'.

Foto 1- The referendum results

¹ [http://ajme.dervina.com/foto/0502244811716e693be8c0228daddd3/hartaluginapreshevbujanovc1A\[1\].jpg](http://ajme.dervina.com/foto/0502244811716e693be8c0228daddd3/hartaluginapreshevbujanovc1A[1].jpg)

² Skender Latifi, Rrugëtimi nëpër Luginë të Preshevës, Preshevë 2006

After the loss suffered in the Kosovo war and leaving forever from Kosovo in 1999, most of the Serb forces were deployed in the Presheva Valley, further aggravating the situation, which was already aggravated. This concentration of government forces and Serb paramilitary were followed by violence and terror against the local Albanian population. As a result, many Albanian villages in the Highlands of Bujanovac and Presheva were emptied by residents while in Medvegja by over 7,500 Albanian inhabitants can now count around 400. This situation in Medvegja exactly matches the Vasa Serbian academician since 1937 when Çubrilović said " it remains to be used a method which practically Serbia has used after 1878, to secretly extrude villages and parts of the city where Albanians live ."¹

This situation became unbearable and the population began to organize itself in self-defense by forming UÇPMB which is the abbreviation for the Liberation Army of Presheva , Medvegja and Bujanovac. The first public appearance of UÇPMB was on 30 January 2000 in the funeral of two brothers Saqipi in Dobrosin, who were killed by Serbian police, and was a response to all actions by the former Serbian regime that did not fulfill the demands of the Albanians from the Presheva Valley, but instead, responded with violence and state terror.

As the presentation, organizational structures as well as actions carried out by the UÇPMB left to understand that an army is well organized, disciplined and determined to comply with the Geneva Convention. UÇPMB had broad geographical coverage extending throughout the territory of the Presheva Valley also having control of strategic points and just main roads linking Presheva and Bujanovac on one side to the other side in the town of Gjilan in Kosovo. During the period of war, they were developed between fighters fighting large Albanian and Serb forces having many killed and wounded on both sides.

The impact of UÇPMB war was great, because the Presheva Valley was now a subject of discussion of all the most important chancelleries and decision making factors such as: UN, NATO and EU. UN Secretary General Mr. Kofi Annan's report on the situation in the region sent by the UN Security Council on the current situation stated that " UÇPMB is active in Dobrosin and surroundings"² with what was indicated also that the international factor see UÇPMB as the main factor for achieving peace in the region.

UÇPMB reached what the political spectrum could do not reach until then, to introduce the issue of the Presheva Valley in all international organizations and as a result of UÇPMB war , the Secretary General of NATO appointed its envoy Valley in the Presheva Mr .Pieter

Feith. Previously in Gjilan, Kosovo, on 24 March 2000, a nine-hour meeting was held in between Headquarters UÇPMB, Hashim Thaqi PDK President and Head of US Office in Kosovo Mr. Christopher Dell, wherein was approved a political declaration for a political agreement in order to reduce tension and create space for international support in order to establish lasting peace and stabilize the situation.

After many consultations as with the Albanian side as well as the Serbian headed by Nebojsa Covic, deputy prime minister of the Serbian government and president of the Coordination Centre for South Serbia - a body specially created by the Government of Serbia for resolving the problems in the Presheva Valley, Peter Feith managed to reduce the negotiating table Serb and Albanian sides. Two meetings were held in Merdare border area between Kosovo and Serbia near Podujevo and Luçane a village in the municipality of Bujanovac. Negotiating Group was formed hand of the Presevo valley that was headed by the representative of Ridvan Qazim UÇPMB nick name that the war was known as Commander Leshi. The team prepare i platform for negotiations. Platforms based on eight main points as in many sub stating in detail how the requirements as well as proposals to the Government on all issues ranging from security issues to the use of language and national symbols.

After many meetings held, finally on 13 February 2001 in the village Konçul the Municipality of Bujanovac, where it was determined the General Staff of the UCPMB was agreed eight points known as "Agreement Konçul" between Commander General UÇPMB Shefqet Musliu³ and envoys of the Secretary General of NATO, Mr. Peter Feith,⁴an agreement which entered into force on 13 March 2001. This agreement ended the war in the Presheva Valley. It is noteworthy mentioning

¹ Srbija i Albanci, knjiga prva, Ljubljana, 1989

² Gazeta Bota sot 25.08.2000.fq.4

³Shefqet Musliu born in Konçul the municipality of Bujanovac, Commander of the General Staff of the UÇPMB

⁴ Pieter Feith, a dutch diplomat, former envoy of the Secretary General of NATO, former head of the ICO office in Kosovo

that just a day before, the Serbian forces have entered the buffer zone, imposed by NATO, under the Kumanovo Agreement, and Serbian snipers have killed the leader of the Albanian negotiating delegation Ridvan Qazimi.

Even after more than ten years, since the signature of this agreement remains a lot to be desired in terms of its performance, and we can freely say that the situation has remained exactly the same as before the agreement.

Postwar political developments and proposals for the Presheva Valley

After the war, local elections were held in Serbia, while the Albanian town of Bujanovac, came up with a single candidate and for the first time as mayor were elected by an Albanian. How important was the victory in Bujanovac and unification of Albanian it shows that local Serbs for days had organized protests against the victory of the Albanian candidate not being able to share power with the Albanians, that the fact they were highly favored over past regimes where minority although in different ways to achieve win in Bujanovac. So Bujanovac automatically become a very important center for both sides.

The importance of Bujanovac also adds more because its geographical position precisely located in the heart of the region and even in this city cross roads of major importance such as the E-10 corridor¹. Seeing that they could not possibly win votes for a minority in Bujanovac Serbs had floated the idea of decentralization and the creation of small municipalities where Albanians automatically lose their majority in Bujanovac given the fact that most of the Albanian electorate is concentrated villages ethnically clean and large enough for the number of voters. Thus promoting the idea of mixed environments Serbian government tries to catch up to decentralization and then propagates all this supposedly how to achieve democratic. The Law regulating Local Government in the Republic of Serbia, "Environment mixed

considered as an ethnic community has a composition by more than 5% of the population of the municipality or all communities exceed 10% of the population.² On the other hand much more favorable and more convenient for solving long-term problems would Regionalism Valley within the Republic of Serbia, a position which would improve the situation of Albanians in general, the draft of which was given by delegates of the three Albanian municipalities³.

When it comes to proposals for solving problems, especially after the start of talks between Kosovo and Serbia led by the European Union, they mentioned several options for solving the problem, ranging from regionalization within Serbia, reciprocity rights to Kosovo Serbs, Valley secession from Serbia and Kosovo (based on the referendum held in 1992) and a change of territories between Kosovo and Serbia that would include North Kosovo and the Presheva Valley.



Map of changing the territories north of Kosovo - Presheva Valley⁴

¹ Lisen Bashkurti, Krizat Ndërkombëtare, Geer, Tiranë, 2008

² Zakon o Lokalnoj Samoupravi Republike Srbije: neni 63, paragrafi 2

³ http://www.europeanforum.net/news/701/ethnic_albanian_rsquo_s_propose_regionalisation_of_pre_scaron_evo_valley_region

⁴ <http://misha.blog.rs/blog/misha/resurs/kosovo/48273>

Conclusions

Even 105 years after the declaration of independence of Albania, the Valley continues to face the same problems and the legacy of the Albanians past. Arrangements for achieving the rights were in various forms ranging from hushed it up to war armed imposed. The main shortcoming which is highlighted disunity factor armed Albanians War sent Presheva Valley to the most important international organizations like the UN, EU, NATO and regional sparked alarm that the situation is not good. It is important to note that two Albanian states are doing little or nothing in the internationalization of the issue. Presheva Valley Albanians still facing basic problems dealing with human and national rights. Region remained without perspective ,although there is a tremendous geo-strategic position, consequence of population migration has taken on worrying proportions and it is feared reasonable that if the trend continues for some years the region will be left without its youth which in turn educated in Tirana, Prishtina, Tetovo and Western countries for the lack of prospects remain there to live and did not return home. This migration of population is very worrying and remains a political entity there and governments of the two Albanian states to do their utmost through investment in the economy, education and other areas to stimulate the attitude of citizens to their homes but also the return of those who they have moved from there.

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Identifying the Drivers of Food Security Based on Perception among Households in South Western Nigeria

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Abstract

Food insecurity has been considered lately as one of the developmental challenges facing developing nations particularly the sub-Saharan Africa that if not curtailed may have embarrassing consequences not only to the affected area but to humanity in general due to instability that may occur. This study aimed to identify those factors that influence food security and how they did to guide the relevant stakeholders in the design and implementation of food programmes. The study assessed food security of the households based on perception of heads/appointed representatives and logistic regression model to identify its drivers in respective households. The findings of the study revealed that majority of households investigated (60.2 percent) showed varying degrees of food insecurity and hunger while those living with moderate hunger were leading by 31.6 percent. Furthermore, logistic regression analysis results showed that eight of the ten explanatory variables such as income, access to credit and public health facilities among others as specified in the model significantly influenced the food security of the sampled households.

Keywords: identifying, drivers of food security, perception, households, South Western Nigeria

Introduction

Food security has been variously defined by various studies and stakeholders alike the latest of which was defined as “a situation that exists when all people, at all times, have physical, social and economic access to sufficient, safe and nutritious food that meets their dietary needs and food preferences for an active and healthy life” (FAO 2002). Also, FAO (2008) categorized food security into four dimensions; availability, accessibility, utilization and sustainability. Each of these dimensions are independent of each other suggesting that achievement of one does not guarantee the achievement another but the achievement of all dimensions are required to attain a state of food security within a population group. However, food insecurity in recent times has been identified as one of the key developmental challenges bedeviling the developing nations particularly the sub-Sahara African countries which could be attributed to many factors some of which the study is trying to examine using south western Nigeria as a reference group and taking into consideration the peculiarities of the affected population. According to the chairperson of World Food Summit held in 2002 and quote “...together with terrorism, hunger is one of the greatest problems the international community is facing...” (Clover 2003). Corroborating this assertion, James Morris, the then executive director of World Food Programme (WFP) in his address to the UN Security Council in December 2002 about Africa’s food crisis and equally asserted that in addition to the problems of AIDS/HIV faced by people is another danger posed by food insecurity and hunger where about 38 million people in Africa alone faced imminent threat to their peace, security and stability which has since surged (WFP 2002). According to the latest reports published by the Food and Agricultural Organization (FAO) of the United Nations, food insecurity in the world had risen from 777 million in 2015 to 815 million in 2016 (FAO, 2017).

It is pertinent to note that every food programme requires the full assessment of the prevailing food insecurity among the target vulnerable group before meaningful interventions could take place. For example, food security can be achieved at national level by either self-production or sufficient import in case of lack of resources for self-production like land, climate and other environmental factors that may prevent growing of food crops and rearing of animals for animal protein while it can also be achieved by either self-production on family farms or purchase from the market (Fawole 2017). Several studies

and investigations have been carried out in respect of determinants of food security in terms of socioeconomic and political characteristics with some coming up with several factors that were seen to influence the food security of groups of people. In the case of Nigeria, declining food production occasioned by neglect of agriculture in the face of growing population has grossly affected the fortunes of food security at national level in the country as a whole with spiral effects on the households who were always the most hit of the effects of food insecurity being the consuming units and are vulnerable to food shocks due to socioeconomic imbalances. For instance, the Nigerian population annual growth rate is estimated as 3.5 percent with accompanying 2.7 percent growth rate or less in agriculture which is largely insufficient to meet food needs of the entire population (NBS 2017).

This study became necessary in view of the fact that most food intervention programmes have not yielded the desired results in most African countries including Nigeria because they have failed to study what drive the food security among different population groups but have majorly relied on templates from other climes with different scenarios. In some cases, most of the implementing partners have been using what obtained in other regions to tackle the problem of food insecurity in Nigeria which has not been working at desired level. For instance, food programmes in the north eastern parts of the country where there have been humanitarian crises triggered by boko haram insurgency have exposed these lapses and confirmed that indeed majority of the implementing partners from international NGOs to UN agencies lacked clear knowledge and information on what drive the food security status of people particularly the vulnerable groups in a country as big as Nigeria with diverse sociopolitical and economic characteristics based on their own convictions and perceptions thus making it difficult to design appropriate food programmes of intervention.

Material and methods

This study was conducted in south western Nigeria by sampling 161 households using multistage random sampling technique. Primary data collected with the aid of structured questionnaires were used for this study. South West Nigeria was selected based on its strategic importance to food production in Nigeria and at a time all talks on food insecurity in Nigeria have been centered on North East due to insurgency problems there. Furthermore, food security status of the sampled households in the study area were computed based on perception of heads or other appointed representatives on prevailing food security situation in their respective households. This method is innovative in assessing food security of the households to avoid the criticisms based on shortcomings that have always associated with the traditional food indicators that have been used for the same purpose by different authors using various indicators.

Food security based on perception of household heads/appointed representatives

In assessing food security of the households based on this technique, the following questions were asked from the representatives of the households who were heads or designated individuals familiar with the food supplies and consumption in the households in each case and the responses were recorded and analyzed as follows;

How best can you describe the food security situation in this household based on your perception?

- | | | |
|--------|--------------------------------------------|-----|
| (i.) | Food secure, FS | [] |
| (ii.) | Food insecure (without hunger), FIWH | [] |
| (iii.) | Food insecure (with moderate hunger), FIMH | [] |
| (iv.) | Food insecure (with severe hunger), FISH | [] |

Factors affecting food security in the study area

After getting the food security situation among households as described above, the drivers of food security among households were examined by using binary logistic regression model as specified subsequently. For the purpose of analysis, the dependent variable was household food security based on perception of household heads or other appointed representatives on food security situation in their respective households. In doing this, households who were food secure were marked 1 while those who showed varying degrees of food insecurity like food insecurity without hunger (FIWH), food insecurity with moderate hunger (FIMH) and food insecurity with severe hunger (FISH) were categorized as 0 for the sake of binary logistic regression analysis. This study followed the works of Gujarati and Porter (2009) and Abbas et al (2017).

Specification of the logistic regression model

$$L_i = \ln\left(\frac{P_i}{1-P_i}\right) = Z_i \tag{1}$$

From the general model as specified in (1) above,

$$Z_i = \beta_0 + \beta_i X_i + \mu_i$$

Where $i = 1, 2, 3 \dots 10$. The equation (1) above can thus be rewritten as;

$$L_i = \ln\left(\frac{P_i}{1-P_i}\right) = \beta_0 + \beta_i X_i + \mu_i \tag{2}$$

(Gujarati and Porter 2009 and Abbas et al 2017)

Dependent variable = food security (food secure = 1, food insecure = 0)

X_i = explanatory variables as stated below;

Access to credit facilities (access = 1, no access = 0), access to public health facilities (access = 1, no access = 0), coping strategies (number of coping strategies used by household; 0 – 9), gender status of the household head (Male = 1, female = 0), age of the household head (in years), marital status of the household head (married = 1, otherwise = 0), major occupation of the household head (farming = 1, non-farming = 0), non-food expenditure (in naira), household total monthly income (in naira), state of location of the household (Osun = 1, Oyo = 0).

Results and Discussions

Results

The major findings of the study revealed that majority of the households investigated showed varying degrees of food insecurity and hunger in some cases. However, 39.8 percent of the households were food secure based on perception of the household heads or other appointed representatives who answered questions on prevailing food security situation of the households in the study area. Also, in terms of what drive the food security among households in the study area, eight of the ten explanatory variables specified in the logistic regression model significantly influenced the food security of the households.

Discussions

The results of the analysis of food security status of households in the study area as shown on Table 1 reveal that food insecurity in the study area is not only high but approaching a dangerous dimension considering the percentage of households that still live with varying degrees of hunger despite previous interventions aimed at halting the trend among the vulnerable population. The implication of these findings as shown on Table 1 is that based on the perception of the household heads and other appointed representatives of the households, majority of the households agree that they are consuming less than required quantity and quality of their preferred food items necessary for their active and healthy living and as such will require external interventions that could ensure provision of foods for immediate consumption or actions that could boost their income generation through sustainable livelihoods that would enable them to acquire their preferred foods for active and healthy living as recommended by United Nations.

Table 1: Classification of households into food security statuses

| Food security status | Number of households | Percentage |
|----------------------|----------------------|------------|
| FS | 64 | 39.8 |
| FIWH | 43 | 26.7 |
| FIMH | 51 | 31.6 |
| FISH | 3 | 1.9 |
| Total | 161 | 100 |

Field survey, 2016; FS = Food secure, FIWH = Food insecure without hunger, FIMH = Food insecure with moderate hunger, FISH = Food insecure with severe hunger

Furthermore, this study as earlier hinted sought to identify those factors that influenced the food security situation of the households and these findings are as shown on Table 2 subsequently. Also, the respective influences of the specified explanatory variables on the food security status of households are as highlighted shortly;

Accessibility to credit facilities by household head

The slope of coefficient of access to credit facilities by household head is 1.475 with positive sign and significant ($p < 0.1$) suggesting that having access to credit facilities by household head increases the weighted log of odds in favour of food security in the household by 1.475. Again, based on the odds ratio as depicted on Table 2 subsequently, the results implied that when a household head had access to credit facilities, the odds of being food secure is 4.37 times more than when otherwise. In other words, when a household head had access to credit facilities, the probability of being food secure is 0.29 (29 percent) more than when otherwise when other factors are held constant. These findings are consistent with findings of Amaza et al (2008), Muhe et al (2014) and Arene and Anyaeji (2010) but in contrast with those of Babatunde et al (2007a) and Babatunde et al (2007b).

Accessibility to public health facilities

The slope of coefficient of accessibility to public health facilities by household members is 1.311 with positive sign and significant ($p < 0.05$) suggesting that having access to public health facilities increases the weighted log of odds in favour of food security in the household by 1.311. Again, based on the odds ratio as depicted on Table 2 subsequently, the results implied that when a household had access to public healthcare facilities, the odds of being food secure is 3.71 times more than when the situation is otherwise. In other words, when the household had access to public healthcare facilities, the probability of being food secure is 0.19 (19 percent) more than when the situation is contrary. These findings are well in line with a priori expectation especially considering the utilization dimension of food security but in contrast with the findings of Obayelu (2012) that reported contrary.

Coping strategies utilized by households during food shortages

The coping strategies (0 – 9) employed by households during food shortage gave a slope of coefficient of -1.312, a negative sign and highly significant ($p < 0.01$) suggesting that with every one-unit increase in the number of coping strategies adopted by household, the weighted log of odds in favour of food security decreases by 1.312. Again, based on the odds ratio as depicted on Table 2 subsequently, the results implied that when the number of adopted coping strategies increased by 1, the odds of being food secure decreased by a factor of 0.27. In other words, when the number of adopted coping strategies by household during food shortage increased by one-unit, the probability of being food secure decreased by 0.20 (20 percent) when other factors are held constant. These findings are in line with a priori expectation which stated that food security level decreases with increasing number of adopted coping strategies employed by household just as a household that is completely food secure does not use any coping strategy due to food sufficiency being experienced in such household. These results are in congruence with Okwoche and Benjamin (2012).

Age of the household head

The slope of coefficient of age household head is 0.063, with a positive sign and significant ($p < 0.05$) suggesting that for every one-year increase in the age of household head, the weighted log of odds in favour of food security increases by 0.063. Again, based on the odds ratio as depicted on Table 2 subsequently, the results implied that when the age of the household head increases by a year, the odds of being food secure also increases by a factor of 1.06 (107 percent). In other word, when the age of a household head increases by a year, the probability of being food secure increases by 0.0096 (0.1 percent) when other factors are held constant. These findings are in line with a priori expectation that household headed by old person tends to show higher degree of food security because they have among other things relatively more years of working experience especially those who are working with government and other paid jobs and this in most cases translates to more income accruable to the household on one hand and food security on the other hand. These findings are in congruence with those of Iorlamen et al (2013), Obayelu (2012) and Mitiku et al (2012) which reported similar findings but however in contrast with Babatunde et al (2007a) and Babatunde et al (2007b) that reported contrary findings.

Marital status of the household head

The slope of coefficient of marital status of household head is -3.643, with a negative sign and highly significant ($p < 0.01$) suggesting that with a household being headed by a married person, the weighted log of odds in favour of food security decreases by 3.643. Again, based on the odds ratio as depicted on Table 2, the results implied that when a household is

headed by a married person, the odds of being food secure 0.03 (3 percent) lesser than when otherwise. In other word, when a household is headed by a married person, the probability of being food secured is 0.72 (72 percent) lesser than when otherwise when other factors are held constant. These results are in congruent with the findings of Obayelu (2012) which reported that household headed by married persons showed less food security than when the situation is contrary which might have been as a result of fewer people or in some cases only one person in a household when the head is not married.

Major occupation of the household head

The slope of coefficient of major occupation of household head is -1.051. The negative sign is significant ($p < 0.1$) suggesting that having farming as major occupation of household head decreases the weighted log of odds in favour of food security in the household by 1.051. Again, based on the odds ratio as depicted on Table 2 subsequently, the results implied that when the major occupation of a household head is farming, the odds of being food secure is 0.35 times less than when the major occupation of household head is non-farming. In other word, when the major occupation of a household head is farming, the probability of being food secure is 0.16 (16 percent) less than when the major occupation is non-farming when other factors are held constant. These findings are in agreement with Okwoche and Benjamin (2012) which reported similar findings but however in contrast with the findings of Omotesho et al (2006) and Obayelu (2012) which held that farming as major occupation headed households were more food secure. Households headed by someone with non-farming as major occupation could possibly have shown more food security than ones headed by someone with farming as major occupation due to disparity in income as those with non-farming major occupation might have had access to different varieties of food items for his households unlike the one headed by farmer who relied solely on seasonal and unsustainable food supplies from family farm.

Total monthly income of household head (Naira)

The slope of coefficient of total monthly income of the household head is $5.5e-06$, with a positive sign and significant ($p < 0.05$) suggesting that with every one-naira increase in total household monthly income, the weighted log of odds in favour of food security increases by $5.5e-06$. Again, based on the odds ratio as depicted on Table 2 subsequently, the results implied that when the total household income increased by 1 naira, the odds of being food secure also increased by a factor of 1 meaning that the household food security and total household income change in the same proportion and positive direction. Similarly, when the income of a household increased by 1 naira, the probability of household being food secure also increased by 0.000085 percent when other factors are held constant. These findings are consistent with those of Mitiku et al (2012) and Arene and Anyaeji (2010) which also reported significant and positive relationship between household income and food security in their respective studies but in contrast with the findings of Kuwenyi et al (2014) and Ndhleve et al (2013) which reported otherwise.

State of location of the household (Osun or Oyo)

The slope of coefficient of state of location of household is -1.28, with a negative sign and significant ($p < 0.05$) suggesting that with household located in Osun, the weighted log of odds in favour of food security decreases by 1.28. This is in contrast to what obtained in food security according based on food expenditure. This is unconnected with lower cost of living in Osun state as compared with what obtained in Oyo state. This is however not the case as seen here with food security based on self-report. Again, based on the odds ratio as depicted on Table 2 subsequently, the results implied that that when a household is located at Osun, the odds of being food secure is 0.278 less than when the household is located in Oyo. In other word, when a household is located in Osun, the probability of being food secure is 0.19 less than when located in Oyo.

Generally, the results showed that all the explanatory variables had marginal effects on the food security status of the households considering their relatively low p – value ($p < 0.001$). The model is considerably fit going by the values of Pseudo R^2 and percentage of correct predictions (count R^2) of 0.560 and 86.3 respectively as shown on Table 2. The Hosmer-Lemeshow χ^2 (8) value is 9.81 which showed that the model correctly fits the data.

Table 2: Results of Logit analysis identifying drivers of food security

| Variables | Coefficient | SE | z – stat | p > z | Odds ratio | ME |
|--------------------------------------|-------------|------------------------------------|----------|-------------|------------|---------|
| Constant | 0.2476 | 1.6615 | 0.15 | 0.882 | - | - |
| *Access to credit facilities | 1.4749* | 0.8660 | 1.70 | 0.089 | 4.3706 | 0.2850 |
| *Access to public health facilities | 1.3112** | 0.6202 | 2.11 | 0.035 | 3.7106 | 0.1949 |
| Coping strategies utilized | -1.3117*** | 0.2162 | -6.07 | 0.000 | 0.2694 | -0.2002 |
| *Gender | 2.2734 | 1.4464 | 1.57 | 0.116 | 9.7123 | 0.1818 |
| Age of the household head | 0.0627** | 0.0309 | 2.03 | 0.042 | 1.0647 | 0.0096 |
| *Marital status of household head | -3.6433*** | 1.3962 | -2.61 | 0.009 | 0.0262 | -0.7195 |
| *Major occupation of H/head | -1.0505* | 0.6298 | -1.67 | 0.095 | 0.3498 | -0.1612 |
| Non-food expenditure shares | 0.00001 | 8E-06 | 1.37 | 0.172 | 1.0000 | 1.7E-06 |
| Total household monthly income | 5.5E-06** | 2.8E-06 | 1.97 | 0.049 | 1.0000 | 8.5E-07 |
| *State of location of the household | -1.2800** | 0.5911 | -2.17 | 0.030 | 0.2780 | -0.1922 |
| Log likelihood | -47.58 | No of observations | 161 | Akaike info | 0.728 | |
| LR chi ² (10) | 121.22 | Mean marginal effects | 0.188 | Schwarz | 0.938 | |
| Hosmer-Lemeshow chi ² (8) | 9.81 | Prob. > chi ² (p-value) | 0.0000 | | | |
| Percentage of correct predictions | 86.3 | Pseudo R ² | 0.5602 | | | |

Source: Estimates of the Logit analysis results for field survey, 2016; **SE:** Standard Error; **ME:** Marginal effects; **(+)** represents dummy variables (0 or 1); **Dependent variable:** Food security; ***Significant at 1% level, *Significant at 10% level.

Conclusions and recommendations

From the findings of this study, it can be concluded that food insecurity in the study area is a growing concern as revealed by findings of similar studies conducted previously in the study area. The methodology used was an innovative assessment technique that is gaining ground in the assessment of food security in developing countries going by its relative simplicity particularly in terms of affordability as most developing countries lack accurate and reliable data for assessing food security. In order to overcome the problem of food insecurity and hunger in Nigeria, all hands must be on deck to addressing various factors that significantly affect the food security among households as identified by these findings by taking into consideration how each variable affects food security of the households. As an illustration to guide the stakeholders in food-sub sector, there must be policies and programmes that guarantee economic access to resources of production like credit facilities to enable the households have unhindered access to their preferred foods for their active and healthy living. Also, provision must be made for qualitative healthcare facilities that will be accessible and affordable considering the role it plays in maintaining food security particularly the utilization dimension of it which also requires good sanitation and hygiene. Furthermore, there must be adequate provision for the married and those households with more members to feed on through some social protection programmes as it is done in developed countries which could be in form of creation of employment opportunities for the young members with a view to ensuring additional income to the households to guarantee economic access to food items of their choice. Again, the major occupation of households was seen to influence food security of households negatively with households headed by someone whose major occupation is non-farming showing more food security. What this implies is that there should be policies that will encourage diversification of livelihoods among households particularly farming households whose major source of income is farming which is largely rain-fed in most African countries and mostly at subsistence level thus may not be able to sustain those who depend on it for their source of income and food round the year owing to post-harvest loss due to lack of storage facilities and other factors alike. The income as expected influenced food security of the households positively with food security increasing with income among households which could be sustained by recommendations earlier made with regards to diverse and sustained livelihoods. Finally on the state of location of households either in Osun or Oyo, it is suggested that a comprehensive and holistic assessment of food security is carried out across the geopolitical zones particularly in the whole of south west with a view to compare and contrast the food security across states and come up with policy integration that will enable the states compare notes particularly on agriculture or other income generating activities to enable the most food insecure states

embrace policies and programmes of most food secure states especially in the area of agricultural policy that deals with food production and distribution systems.

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Stock Allocation in Turkish Capital Markets: Industry and Firm Level Perspectives

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Abstract

Investors' trading patterns has been an intensively researched topic in emerging markets depending on their significant role and power in the capital markets. This paper provides what global and domestic factors have driven the stock allocation of investors in Turkey and how has the crisis changed investors' attitude toward stock allocation between the years 2006 and 2016. Year-end stock allocation data are obtained from the Central Securities Depository Institution of Turkey. Stock allocation has been investigated mainly in terms of the domestic and foreign stock investments. A detailed classification of investors as individual and institutional investors in terms of investment funds, corporate and investment trusts with firm and industry levels has also been evaluated. The variations on stock allocation has been examined in BIST Industrials, Financials and Services Industries. Additionally, this paper gives an insight about the firm and industry level stock allocation in Turkish Capital Markets considering the responsible stockholders. Corporate governance practices are considered to be strengthened with the growing role of institutional investors in the financial system, which provide insights about the investor profile of BIST Corporate Governance Index in the related period.

Keywords: stock allocation, institutional investors, industrial classification, corporate governance, responsible stockholder, Turkey

Introduction

The last two decades have witnessed an enormous trend allowing foreign investors to invest in the stock securities of domestic firms in many emerging countries and there have been various studies undertaken to investigate this hot topic. Turkey has become one of the focuses of these inquiries. Turkish government has made several amendments on that respect. Turkey has introduced auto enrolment in private pension system beginning from 1 January 2017 and another attempt for Turkey is the Turkish Wealth Fund which has been established in 2016 for effectively managing the selected assets. This fund is expected to contribute to the development of the domestic capital markets. All these initiatives have a significant role to gain attendance of foreign investors.

According to Turkish Capital Markets Association Report (TCMA Report, 2017), financial savings in Turkey decreased by 6 % to US\$ 644 billion from US\$ 685 billion in 2016. Although the total savings increased by 13.8 % in Turkish Lira terms, the deterioration of the Turkish Lira versus the US Dollar depressed the financial savings. Share of stocks in investors' portfolio constitute only 9 % of financial savings. In that respect, total number of identified and active accounts have declined from 1,059,313 units in 2015 to over 1,040,794 units as of the end of 2016 with a decrease of 1.7 %. The portfolio size of active accounts has declined from US\$ 78 million in 2015 to US\$ 70 million as of the end of December, 2016 with a decrease of 11 %. In the same report investors are first segregated as domestic and foreign investors. The portfolio size of stocks allocated by foreign investors are US\$ 48 million in 2015; the portfolio size of this decrease to US\$ 40 million in December, 2016 with a 17 % (TCMA 2017, p.38). Second portfolio segregation shed light on the individual and institutional stock holders. While the domestic individual investors constitutes nearly the half of all individual stockholders, as a result of the low amount of foreign individual investors, total individual investors constitutes only 19 % of total investors. This gives the dominance of institutional investors 81 % of total portfolio in 2016. These numerical expressions indicate that in emerging markets, foreign institutional investors are more sophisticated and have an information advantage of global information (Kim and Yi, 2015).

As financial development is strongly correlated with the capital allocation (Levine and King, 1993), through long-term view of institutional investors may make a significant contribution to the growth of capital markets. Ferreira and Matos (2008) study the role of investors' profile around the world using a detailed data set of stock holdings from 27 countries between the years 2000 and 2005. They state that all institutional investors eager to hold share a preference for the stock of large firms in countries with strong disclosure standards. However, while foreign institutional investors prefer to invest in firms that are cross-listed on a U.S. exchange, domestic institutions underweight these same stocks.

As in the previous studies, domestic and foreign investors typically include institutions, corporations, investment trusts, other institutions and individual investors. That segregation points out the distinction between the sophisticated and informed institutional investors and the less sophisticated and less informed non-institutional investors, like individual stockholders (Covrig et al., 2006).

Industry characteristics may also effect the stock preferences of the investors. Zou et al. (2016) study the stock preferences of domestic and foreign investors and exhibit that foreign institutional investors prefer to invest in sectors such as financial, transportation, professional services, and technology in Chinese capital markets. This paper gives insights about firm and industry level perspectives since the effects of institutional investors can be observed both in capital markets and directly the growth of the firm and hence the growth of industry incorporating in the economy (Railo, 2000).

Brancato (1997) indicates for maximizing shareholder value, corporate governance is essential for institutional investors. Additionally, these investors have to take responsibility not as a trader but as a firm owner. From that point of view, this paper gives a view of what attracts foreign - domestic and individual - institutional investors to hold stocks in Turkish capital markets. What extent the industrial breakdown, strong governance indicators and sustainable firms have been preferred for the stockholders in Turkish Capital Markets? Stockholders are eager to focus on investing in specific industries which accomplish their ultimate goal of shareholders' wealth maximization. This paper also gives an insight about the domestic, foreign, individual and several types of institutional investors' attitudes on investing strategies on industry.

The following section provides the yearly breakdown of stockholders in Turkey, followed by a section describing the database employed. The following sections contains interrelationship among stock allocation, industrial characteristics and responsible investments in Turkish capital markets. The final section concludes the paper.

Breakdown of Stockholders in Turkish Capital Markets

Data has been taken from Turkish Capital Markets Association (TCMA) and Central Securities Depository of Turkey (MKK). Additionally, the database of Borsa Istanbul (BIST) and BIST Public Disclosure Platform (KAP) are used for the determination of industry breakdown. Since the stockholders allocation data can be obtained only in the form of yearly end, the sample is comprised of all stocks listed on BIST between the years 2006 and 2016. The final sample is made up of 252 stocks resulting in a total of 2.772 stock-year observations during eleven years.

In line with investor classification of MKK, which provide categories of domestic and foreign stockholders in addition to the individual and institutional stockholders. Institutional stockholders are classified as investment funds, corporates, investment trusts and others. Table 1 exhibits the breakdown of the data and variables used in that study. Fractional institutional ownership represents the ratio of number of shares held by institutional investors to the numbers of shares outstanding following the studies of (Falkenstein 1996, Nofsinger and Sias, 1999).

Table 1: Breakdown of Stockholders

| | |
|----------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Domestic Investment Fund | The ratio of the number of shares that are held by domestic investment funds in terms of mutual funds and private pension plans to total shares outstanding at year t for stock i |
| Domestic Corporate | The ratio of the number of shares that are held by domestic corporates in terms of banks, financial intermediaries and corporations to total shares outstanding at year t for stock i |
| Domestic Investment Trusts | The ratio of the number of shares that are held by investment trusts to total shares outstanding at year t for stock i |

| | |
|-----------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Domestic Other Institutions | The ratio of the number of shares that are held by domestic other institutions in terms of charities, associations and cooperatives to total shares outstanding at year t for stock i |
| Foreign Investment Fund | The ratio of the number of shares that are held by foreign investment funds in terms of mutual funds and private pension plans to total shares outstanding at year t for stock i |
| Foreign Corporate | The ratio of the number of shares that are held by foreign corporates in terms of banks, financial intermediaries and corporations to total shares outstanding at year t for stock i |
| Foreign Other Institutions | The ratio of the number of shares that are held by foreign other institutions in terms of charities, associations and cooperatives to total shares outstanding at year t for stock i |
| Institutional | The ratio of the number of shares that are held by institutional investors to total shares outstanding at year t for stock i |
| Individual | The ratio of the number of shares that are held by individual investors to total shares outstanding at year t for stock i |

Table 2 exhibits yearly stock allocation in terms of fractional domestic, foreign, individual and institutional investors' ownership. As foreign and institutional investors have a predominant share in the total stock portfolio, movements of the BIST index are mainly driven by stock transactions on behalf of the foreign institutional investors.

On the other hand, the share of individual investors in the stock market is very limited in comparison to the other stock holders. These results evidence that the stock ownership is not the preferred way of domestic investors in Turkey and Turkish individual investors seem to be reluctant to invest in capital markets.

Table 2: Yearly Stock Allocation of Investors in Turkish Capital Markets (%)

| Year | Domestic | Foreign | Individual | Institutional | | | | Total |
|---------|----------|---------|------------|---------------|--------|--------|--------|--------|
| | | | | Fund | Corp | Trust | Other | |
| 2006 | 0.3037 | 0.6963 | 0.1978 | 0.3108 | 0.4664 | 0.0036 | 0.0214 | 0.8022 |
| 2007 | 0.2648 | 0.7352 | 0.1516 | 0.3453 | 0.4803 | 0.0000 | 0.0228 | 0.8484 |
| 2008 | 0.3105 | 0.6895 | 0.1727 | 0.4900 | 0.3147 | 0.0030 | 0.0197 | 0.8273 |
| 2009 | 0.3101 | 0.6899 | 0.1961 | 0.5080 | 0.2733 | 0.0021 | 0.0205 | 0.8039 |
| 2010 | 0.3169 | 0.6831 | 0.1926 | 0.4897 | 0.3013 | 0.0016 | 0.0148 | 0.8074 |
| 2011 | 0.3387 | 0.6613 | 0.2079 | 0.4871 | 0.2857 | 0.0023 | 0.0170 | 0.7921 |
| 2012 | 0.3048 | 0.6952 | 0.1692 | 0.5111 | 0.3028 | 0.0015 | 0.0154 | 0.8308 |
| 2013 | 0.3360 | 0.6640 | 0.1777 | 0.5097 | 0.2851 | 0.0013 | 0.0262 | 0.8223 |
| 2014 | 0.3258 | 0.6742 | 0.1649 | 0.5070 | 0.3095 | 0.0011 | 0.0175 | 0.8351 |
| 2015 | 0.3529 | 0.6471 | 0.1798 | 0.4573 | 0.3460 | 0.0010 | 0.0158 | 0.8202 |
| 2016 | 0.3457 | 0.6543 | 0.1791 | 0.4472 | 0.3593 | 0.0016 | 0.0128 | 0.8209 |
| Average | 0.3191 | 0.6809 | 0.1808 | 0.4603 | 0.3386 | 0.0017 | 0.0185 | 0.8191 |

After 2008 global financial crises, a decline has been observed in terms of the foreign stockholders with the average falling to 68.95 %. Additionally, this variable have declined to 65.43 %. This exhibits that more robust policies should be formulated to attract foreign portfolio investors for attaining a suitable investment climate in the following years. Furthermore, Huang and Shiu (2005) posit that foreign investors can actually be better informed than domestic investors.

A current work belongs to Ferreira et al. (2017) who investigate a list of all firms covered in the Datastream and WorldScope database for 32 countries between the years 2000 and 2010. They state that domestic investors on average seem to trade in countries with high levels of corruption, weak investor protection and less efficient stock markets. They interpret that finding as where information asymmetry is likely to be more severe, increases in the holdings of domestic investors are followed by higher future returns, while increases in holdings of foreign investors are followed by lower stock returns. From this perspective, after 2008 global financial turmoil, an increase has been observed in domestic and individual investors' stockholders in Turkish capital markets.

The average values of institutional stockholders which is documented to be the dominant investment style in terms of investment horizon is reported to be an average of 81.91 % for the eleven year period between 2006 and 2016. Yearly institutional stockholders follow the same pattern, the average values have been declined in recent years.

Industry Characteristics and Stock Allocation

Apart from the macroeconomic factors, firm specific determinants and additionally industry characteristics may influence the investment opportunities and their expected returns closely add value the investment strategies of stockholders. Table 3 gives an insight about whether the industrial breakdown differ in stock allocation decisions in Turkish capital markets in the related period.

Foreign and institutional stockholders have also seen a predominant effect rather than domestic and individual stockholders for all types of industries. Moreover, BIST Services industry and Retail Service sub industry seem to have the highest average institutional stockholders as well. This may be the result of having more growth prospects in Turkey in the related industries. This similar pattern has also seen in that same industry and sub-industry having the highest foreign stockholders.

Following the BIST Services industry, BIST Financials industry and Banks sub industry have the second highest average foreign and institutional stockholders ownership. Stock allocation has followed a different trend in sub industries of that industry. For instance, in Textile and Other sub industries have the highest average domestic and individual stockholders rather than the all sub industries.

Real Estate Investment Trusts (REITs) have been more popular in Turkey and attract several investors in recent years. As an emerging economy, Technology industry has been still in the relatively early stage in Turkey which is expected to drive future growth.

Food, Beverage and Tobacco sub industry can be considered to be non-cyclical and regardless of the economic conditions, products and services may have a constant demand. Therefore, this industry may be considered as less volatile for investors. It is well known that Materials sub industry may be deeply cyclical closely tying with the low cost and high cost producers. In robust macro-economic conditions, investors can earn money however in downturns, the stocks can immediately fall.

Zou et al. (2016) state that domestic funds tend to over-invest in the following industries; Food Beverage and Tobacco, Household and Personal Products, Retailing, Pharmaceuticals, Biotechnology and Life Science, Health Care Equipment and Services, Software and Services, Commercial and Professional Services, and Consumer Services respectively

Table 3: Industry based average Stock Allocation in Turkish Capital Markets

| Industry Categories | Domestic | Foreign | Individual | Institutional |
|---------------------|----------|---------|------------|---------------|
| BIST Financials | 0.2956 | 0.7044 | 0.1483 | 0.8517 |
| REITs | 0.4213 | 0.5787 | 0.2379 | 0.7621 |
| Holdings | 0.3063 | 0.6937 | 0.2080 | 0.7920 |
| Banks | 0.2466 | 0.7534 | 0.1128 | 0.8872 |
| BIST Industrials | 0.4204 | 0.5796 | 0.2569 | 0.7431 |

| | | | | |
|----------------------------|--------|--------|--------|--------|
| Construction | 0.6632 | 0.3368 | 0.4249 | 0.5751 |
| Food, Beverage & Tobacco | 0.3304 | 0.6696 | 0.1661 | 0.8339 |
| Chemicals | 0.3411 | 0.6589 | 0.2356 | 0.7644 |
| Materials | 0.3687 | 0.6313 | 0.2231 | 0.7769 |
| Paper Industry | 0.7273 | 0.2727 | 0.2813 | 0.7187 |
| Textile | 0.8921 | 0.1079 | 0.6961 | 0.3039 |
| Other Industrials | 0.8693 | 0.1307 | 0.6975 | 0.3025 |
| BIST Services | 0.2517 | 0.7483 | 0.1475 | 0.8525 |
| Electricity, Gas and Water | 0.8535 | 0.1465 | 0.4114 | 0.5886 |
| Technology | 0.5809 | 0.4191 | 0.4920 | 0.5080 |
| Retail Service | 0.1580 | 0.8420 | 0.0826 | 0.9174 |
| Construction Service | 0.2519 | 0.7481 | 0.1435 | 0.8565 |
| Hotels | 0.9471 | 0.0529 | 0.5896 | 0.4104 |
| Wholesale | 0.4653 | 0.5347 | 0.1562 | 0.8438 |
| Mining | 0.5202 | 0.4798 | 0.4882 | 0.5118 |
| Sports Services | 0.8751 | 0.1249 | 0.6192 | 0.3808 |

Institutional investments heavily belong to BIST Financials and BIST Services industry. Taking everything into account, stock allocation on BIST is characterized by the dominance of the foreign institutional investors in the total equity portfolio. Domestic investors are characterized by the dominance of domestic individual investors but the share of them is very limited comparing with the other countries.

Responsible Stockholders in Turkish Capital Markets

European Fund Asset Management Organization (EFAMA Report, 2016) defines Responsible Investing as *it is any method of selecting investments where both financial and non-financial considerations, such as standards, ethical or social norms are taken into consideration*. From that respect, responsible stockholders have a tendency of the firms' social, environmental, governance considering the financial and economic issues. This term has become a significant part in the agenda in the last decade and BIST has made several amendments on that respect. Launching BIST Corporate Governance Index and BIST Sustainability Index has changed the way executives do business in Turkey and the attitudes of investors on that corporations.

BIST Corporate Governance Index has been launched in 2007 and aims to measure the price and return performances of companies traded on BIST with a corporate governance rating of minimum 7 over 10 as a whole and minimum of 6.5 for each main section. The score includes four main sections: Shareholders, Public Disclosure and Transparency, Stakeholders, Board of Directors. The corporate governance rating is determined by the rating institutions incorporated by CMB in its list of rating agencies as a result of their assessment of the company's compliance with the corporate governance principles as a whole. As at the end of 2016, there has been 50 firms listed on that index with six of them unlisted and one of them is nongovernmental organization.

BIST Sustainability Index has been launched which is comprised of the firms that are traded in BIST and have high sustainability performances in 2014 with 15 listed firms, 29 firms in 2015 and increasing to 43 firms in 2016.

Table 4: Stock Allocation on behalf of BIST Governance Index and BIST Sustainability Index

Panel A: BIST Governance Index

| Year | # stock | Foreign | Institutional |
|------|---------|---------|---------------|
| 2007 | 7 | 0.8037 | 0.8403 |
| 2008 | 8 | 0.6799 | 0.8200 |
| 2009 | 18 | 0.6732 | 0.8231 |

| | | | |
|---------|----|--------|--------|
| 2010 | 22 | 0.6938 | 0.8230 |
| 2011 | 26 | 0.7226 | 0.8334 |
| 2012 | 31 | 0.8017 | 0.9082 |
| 2013 | 35 | 0.7275 | 0.8562 |
| 2014 | 38 | 0.7144 | 0.8699 |
| 2015 | 40 | 0.6935 | 0.8650 |
| 2016 | 40 | 0.6903 | 0.8712 |
| Average | | 0.7201 | 0.8510 |

Panel B: BIST Sustainability Index

| Year | # stock | Foreign | Institutional |
|---------|---------|---------|---------------|
| 2014 | 9 | 0.7668 | 0.8778 |
| 2015 | 15 | 0.6934 | 0.8496 |
| 2016 | 19 | 0.7042 | 0.8478 |
| Average | | 0.7215 | 0.8584 |

Table 4 states stock allocation on behalf of BIST Governance Index and BIST Sustainability Index and gives an insight on the effect of responsible investments of firms on the investor portfolio in the related period. While the average of foreign stockholders is 68.09 % that have been reported in Table 2, this variable has been increased to 72.01 % in BIST well governed firms and 72.15 % in firms listed on sustainability index. Findings reveal that foreign and institutional investors are eager to invest on stocks with better corporate governance and sustainability efforts.

According to McKinsey Company 2016 Global Investor Survey, institutional investors are found to prefer investing in firms with robust corporate governance practices. This paper try to provide additional insight by analyzing the percentage of foreign and institutional stockholders that are listed on the Corporate Governance Index and Sustainability Index.

It has to be stated that foreign institutional investors play crucial roles in bringing about change in corporate governance systems (Gillan and Starks, 2003) and sustainable firms attract more foreign investments than the others. Aggarwal et al. (2011) also evidence the significant role foreign institutions play in attaining the improvement of corporate governance practices as well. Furthermore, for Turkey Gurbuz et al. (2010) state that the impact of institutional investors has been more strongly pronounced on firms listed on the BIST corporate governance index than non-listed firms between the years 2005 and 2008.

Conclusions

Investors' place in the pattern of capital markets development has been a crucial debate in contemporary economics. This study gives an understanding of the interrelationship among stock allocation, industrial characteristics and responsible investments in Turkish capital markets. The investor profile on the BIST is characterized by the dominance of the domestic and institutional investors in the total equity portfolio. The share of domestic individual investors in the stock market is very limited in comparison to the other capital markets. Additionally, domestic investors are mainly composed of individuals with small portfolio holdings.

Industrial breakdown indicates that industry characteristics matter on the stock allocation and seem to be important drivers of investments in Turkish capital markets. Results suggest that there are significant differences in industry allocations between the domestic and foreign and individual and institutional stockholders in Turkey. Specifically, investments into the services industry and retail service sub industry seem to have the highest average institutional and foreign stockholders.

Findings reveal that foreign and institutional investors are eager to invest on stocks with better corporate governance and sustainability efforts. The stock allocation on responsible investments demonstrate that international portfolio investments by institutional investors is associated with enhanced monitoring leading to more effective corporate governance practices and sustainability efforts.

This paper gives an insight about the firm and industry level stock allocation in Turkish Capital Markets considering the responsible stockholders. The extent to what firm characteristics that the foreign and institutional investors preferred, will have significant implications for the ability of firms in emerging markets to raise capital and hence impact the growth of capital markets. Institutional Investors have an impulsive effect on the development of capital markets with professional portfolio management and with their ability of creating long term resources. Thus, policy makers have to take into account the dominance of these types of investors in the financial markets as they develop rules and regulations. Consequently, it would be interesting to explore the interrelatedness of investment characteristics and stock characteristics in terms of market value, profitability, and capital structure considering the governance and sustainability efforts of the firm around the emerging markets with a large dataset as a further study.

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Participatory Approach in Project Management and Development in Developing Countries

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Abstract

Community development and management in most developing countries especially in Africa has been retarded because the main participants which are the local people have been left out or neglected in the implementation of developmental projects by either governments or some developmental agencies Whereas, participatory approach is a method of conceiving projects in which all the stake holders have a say in decision making which has greatly been the canker-worm of developing countries. They are various types of participatory approaches which may include Rapid Rural Appraisal (RRA), Participatory Rural Appraisal (PRA) and Participatory Assessment Monitoring and Evaluation (PAME) which could be analyzed as appropriate approach in realizing Community's effort in developing countries and stresses the need for integration, participation and empowerment. With the application of these principles, the integration of various stake holders will enhances cross 'sectoral' harmonization of developmental objectives as well as increased coordination between agencies involved in the developmental process. Participation on its part gives the opportunity for consultation with those most directly affected which most at times are rural dwellers in developing countries; hence increasing the level of involvement of local people in the development process (Storey, 1999) and gives community members to take part in identifying priority areas, decision making and vulnerable groups to participate effectively in community development.

Keywords: Participation, Management, Project, Approach, Developing, Development, Community

1. Introduction

Community development and management in most developing countries in Africa has been retarded because the main participants which are the local people have been left out or neglected in the implementation of developmental projects by either governments or some developmental agencies; in order to empowering the community, members suggest a greater degree of influence being wielded by local residents and this shift in the power balance between "Centre" and "Periphery" and between "Professionals" and "Amateurs" (Storey, 1999). In practice this has resulted to the plethora of initiative which to a greater or lesser extent espouses the idea of a more locally attuned "bottom up" approach to community development stressing the importance of involving local community associations. Thus in order to understand how this participatory approach is important to speed local community development, we will examine the strategies used by SHUMAS. SHUMAS is an African development non Governmental Organization (NGO) based in Bamenda, North West Region of the Republic of Cameroon. This organization started as an informal initiative in 1993 helping to educate deprived children passed to premature adulthood. By June 1996 she formalized her activities focusing on enhancing and promoting sustainable rural development and assisting urban poor. Their policies promotes integrated sustainable rural development and its aim is to improve the overall living standards of poor disadvantaged people in particular women and children and also establishing some basic facilities like schools, social welfare, agriculture, health care, women's issues, forestry and organic farming, adult literacy and many other social amenities .

a) Problem Statement

Participatory approach is a more sustainable approach in project management because all the stake holder are usually taken into consideration and they participate in all the various phases of the project unlike in the other approaches such as the "Traditional planning approach" whereby professionals carryout almost all activities starting from Needs assessment right up to Evaluation by themselves with very little or no consideration of the views of the beneficiaries and other stake holders. On the other hand in a participatory approach, regardless of the methods of actual participation a large volume of qualitative data in plain text format as well as numeric or quantitative data can be generated which tell about people's view,

desires, priorities and can also provide much deeper insights into complexities involved. Some of the flaws of the traditional planning approach have been that analyses of some numeric values itself may not be sufficient to identify problems or desired actions to address them. Professionals normally apply their own value judgments in interpreting the results to identified problems which may not necessarily be the ones perceived by the real beneficiaries.

2. Literature Review

The concept of project management is a methodical approach to planning and guiding project process from start to finish. According to project management institutes, the processes are guided through five stages; Initiation, Planning, Executing, Controlling and Closing. Project management can be applied to almost any type of project and is widely used to control the complex processes of software development projects. The System Development Life Cycle (SDLC) is one example of a methodology for guiding the project management process from an initial feasibility study through maintenance of the completed application. Various SDLC approaches include the waterfall model which was the original SDLC method followed by Rapid Application Development (RAD), Joint Application Development (JAD), the Fountain model, the Spiral model; build, fixes and synchronize and stabilized a number of charting methods such as Gantt Chart and Pert Chart and have been developed as tools to create a graphic representation of a project plan and its current status.

3. Methodology

The concept of community development derives its strength from two fundamental words namely "community" and "development". The former according to Oduaran (1994:2) implies a group of people or persons in a prescribed locality. The later "denotes an unending improvement in the capacity of groups of individual and societies to control and manipulate the forces of nature as well as themselves for their own material benefits and ultimately for the benefits of the community at large" (Garigiri, 2009:11). Sander (1970:46) identified four ways of conceptualizing community development namely; community development as a process, as a method, as a program and a movement. As a process, community development is viewed as something dealing with the sequences through which communities and their segments go as they advance from traditional to modern forms. In this sense community development advances in stages from one state or condition to the next. It connotes a progression of changes that could be measure using certain specific criteria. For instance it stresses the social relations of the people and the changes that exist in the behavior, attitude and aptitude of such people. Community development has also been viewed as a method that is to say it may be supplemented by such other methods as change by decree of fiat, by the use of different rewards and by formal education. To this end Osuji (1984) advocated for the induction and educational management of that kind of interaction between the community and its people which leads to the improvement of both.

Furthermore, community development has been conceptualized as a program. This has to do with something involving the enacting of a set of procedures in a given goal. Biddle and Biddle (1965) proffered a broader meaning to this when both submitted that emphasis is shifted to how subject specialties like health, welfare, agriculture, industry, recreation etc could be integrated in an effort to promote the development of the people and their communities. The crux of the matter here is on how different sets of activities could be accomplished within a given social milieu.

4. Findings

Community development significantly takes the posture of a crusade determined efforts or course to which the people of a community are whole-heartedly committed. Ezeh (1999) conceived community development as a movement designed to produce better living for the whole community with their active involvement and possibly on the initiative of the community members. In the same vein UN (1957) maintained that community development connotes the process by which the efforts of the people themselves are united with those of the governmental authorities to improve the economic, social and cultural life of the people to integrate the community into the life of the nation and to enable them contribute fully in the national progress; in this light, the question of neutrality is ruled out and all members are expected to be actively involved to enhance the quality of living through voluntary efforts and through the participation of individuals and groups in the development proves for the achievement of some definite goals (Ezeh, 1999). Community development is also an effort through which resources could be mobilized and redistributed. It also utilizes an educational process to increase social and political awareness of the causes of their problems, thus empowering them to effectively address those problems. Speight (1973) noted that community development tends to become institutionalized building up its own organizational structures, accepted procedures and professional practitioners. He advanced that the goals of community development are essentially broad based focusing on needs like the construction of roads, bridges, markets, stalls, dispensaries etc to non-material needs like making the illiterate people in the community literate, bringing about attitudinal change, reducing maternal and infant

mortality rates and averting the incidence of cholera or malnutrition in the community; development project can be measured by examining the extent to which the project has been integrated into national life. Speight was also of the view that we look at other things like increase in per capita income, a decrease in mortality rate, increase in literacy rate, increase in progression of person through the institution of formal education, a lower birth rates, increase in political awareness are empowerment at all levels in the government, increase in rationality of decisions made at the community and national level, rejection of fatalism and defeatism as part of a common existence and an increase rate of voluntary participation in the community and national affairs. Hence, community development is essential in the concept of self-help because it mobilizes the individuals in the community to fully integrate and engage them in the community development projects for a better standard of living and that can sustain the future generation socially and economically in the long run.

5. Summary and Conclusion

This sustainable integrated participatory approach has been used by SHUMAS and has been involved in sustainable rural development but believes strongly that isolated actions cannot lead to any meaningful development in the community. In consequence, they adopted the "Integrated Rural Development Approach". This approach is to ensure that beneficiaries contribute in the projects; this participation will ensure project realization and completion and sustainability will be assured as the beneficiaries will acquire some skills during their participation in the project which will help and enable them to manage and maintain the projects after completion and also to help them take development initiatives on their own. Through the participatory approach, SHUMAS has constructed and equipped more than a hundred classrooms in both rural primary and secondary schools in the Far North West, Western and Adamawa Regions of Cameroon. This includes inter-alia government schools like "Kitchu, Ntesimbang, Mejung, Quebessi, Mbokija, Roh Meluf etc etc", Catholic Schools such as "Bamali, Golongui" etc and even Islamic schools like "IPS Bamali" and a host of many other schools. In the sector of Agriculture they have set up integrated Organic Farming training and Demonstration Centers in Kumbo and are training leaders of farming communities and unemployed youths in sustainable agriculture and organic farming which is cost effective and environmentally friendly methods. In the health, water and sanitation domain they have provided portable water to fifteen (15) communities in the thirty (30) village schools in Cameroon over the last two years. She has also continued to make accessible micro credit and micro enterprise to women cooperatives in Cameroon and about Forty (40) women cooperatives are current beneficiaries, with each cooperative made up of an average number of fifty (50) women making a total of 2,250 women.

Furthermore they have collaborated with local councils in replacing eucalyptus trees (detrimental to the soils and water sources) with indigenous and environmental friendly trees species in parts of Bui and Donga Mantung Divisions of the North West Region of Cameroon and protection of water catchments by replacing the 2 million eucalyptus trees with 2.5 million indigenous and water shade trees i.e. agro forestry trees.

End Notes

Some major difficulties in the implementation of these policies in the various regions amounts to the fact that most of the projects are in rural areas thus follow ups, monitoring is quite ineffective because of accessibility and hampered mobility due to bad or no roads; Delayed or incomplete reports sent by beneficiaries for monitoring. Most at times in a community with people having diversified ideas on ancestral cultures and development has made some to be recalcitrant and they don't want to accept change and development. While some participants will indicate their readiness to participate in the projects while they still remain negligent of the roles they have to play; that is why protocol agreements are signed with beneficiaries defining the role they have to play in the project realization. Thus it has been concluded as at now that there are no any other future approaches to be used in community development other than Sustainable integrated participatory approach which has proven to maintain and guarantee sustainability of projects, community participation is ensured and they strongly believe that isolated actions cannot lead to any meaningful development in a less developed and developing communities.

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Languages, Symbolic Power and Multidimensional Poverty in the Context of Pakistan

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Abstract

This paper engages with the question of languages in education and language policy in the multilingual context of Pakistan, from the perspective of its impact on multidimensional poverty. Poverty is interpreted as 'capability deprivation' following Amartya Sen's capability approach, while Bourdieu's social critical theory inform the analysis. The paper is based on findings from a 3-year qualitative study, funded by Research Consortium on Educational Outcomes and Poverty (RECOUP). The methods of data collection included participant observation, documentary analysis and interview data from 16 cases of private and government school graduates, in two provinces. Each case comprised of a final-year secondary school student and his/ her same sex 5-6 year older sibling. The findings reveal that the symbolic power of English in the country, in contrast to its restricted access, and the concurrent devaluation of the local linguistic capital reinforced the structures that nest inequality and poverty. This restrained the agency and of the already socioeconomically disadvantaged government school participants to achieve valued goals as inequality was unleashed in the multiple dimensions of their lives: cognitive, social, affective, economic, and physical. The paper argues for more inclusive language policies and languages in education.

Keywords: Languages; Symbolic power; Education; Inequality and Poverty; Bourdieu; Capability approach

Introduction

The question of languages in education and language policy has been a subject of much debate among policy makers and academics given the paradoxical tensions inherent in the decision, specifically in postcolonial multilingual country contexts. On the hand are the pragmatic concerns of efficiency that favour continued the use of colonial language; On the other hand are the political exigencies of emphasizing national identity, or addressing ethnic rivalries. This is not to mention the complexity such decisions carry because of its juxtaposition between meeting local vs. global communication needs.

Language not only mediates education, as a medium of subject study and the appropriation of knowledge as emphasized by sociocultural theory (Lantolf, 2001) but delimits wider access and participation. The choice of languages to be taught in schools and language related practices are charged with social, cultural and historical context 'intimately related to the distribution of social power and hierarchical structures in society' (Gee, 1989: 20; Bourdieu, 1991). As such, language can act as a subtle yet potent means of exclusion both within education and in wider social context (ibid.).

The core of this issue resides in the configuration of economic and political power, which maintains the dominance of the privileged through language policy and planning (Nyati-Ramahobo, 2004). It is important then that languages in education and language policies are analyzed with reference to the wider sociopolitical, ideological, and linguistic hierarchical structures that exist in the society' (Devine, 1994: 231).

The construct of poverty is linked with the concept of development, as the latter is based on an understanding of the former. If poverty is conceptualized as multidimensional, and as constraint on one's choices or 'capabilities' to achieve valued choices, then moving towards development would mean freedom from 'control,' and freedom to 'achieve,' an enhancement of 'a person's ability to do or be what one values' (Sen, 1999: 68). This notion of freedom captures a strengthened ideal of a person, as an 'active' agent rather than a 'passive' recipient of aid (Sen, 1990: 44). From this point of view, development is about 'removing the obstacles to what a person can do in life, such as illiteracy, ill health, lack of access to resources, or lack of civil and political freedom' (Fakuda-Parr, 2003: 303).

The link between language policy and development is emphasized by Kaplan and Baldauf, (1997), who argue that language policies are intimately linked to human resource development. If not based on principles of equity and justice, language policies can marginalize certain groups, constrict their agency, affect their identity and reinforce if not aggravate issues of poverty. Language policies can bring people to centre stage or reduce them to the periphery of development and limit their participation in the state affairs (Markee, 2002). If development is to be a step towards 'self actualization', as envisaged by the capability approach, what is needed then is to ensure a 'two-way communication' and participation rather than a 'top-down intervention,' accepting the potential of culture (Dubbeldam, 1984 in Robinson, 1996:45).

Robinson's (1996) research found language acted as a tool of gender and ethnic exclusion from processes of socioeconomic development (Robinson, 1996), that led him to question why the poorest populations also tended to be linguistically most marginalized (Ibid.). Other sociolinguistic studies (Tollefson, 1991; Skutnabb Kangas, 1998; Rahman, 2006) also highlighted the marginalizing impact of post colonial languages. However, the interlink between languages in education, as embedded within the macro national language policy and narrowly defined poverty as experienced by those involved remains largely neglected.

This paper based on the key findings of a wider 3-year study explores the question: What is the role of languages in education and language policy in addressing poverty in the multilingual context of Pakistan? The construct of poverty is conceptualized as relative and evaluated as 'capabilities' or expansion of effective choices to achieve valued beings and doings i.e. 'functionings' (Sen, 1990). The study uses a qualitative multiple case study design and Pierre Bourdieu's social critical theory with specific reference to his work on symbolic power to analyse the findings. The results of the study are limited owing to its design. Nevertheless, the paper offers in depth insights into the processes of inequality in multiple dimensions of participants' lives through a comparison of the experiences of private and government school graduates affected by their learning of languages.

The next section briefly discusses the theoretical framework, followed by an overview of the context of the study and then its methodology. After this findings are discussed and then the paper is concluded.

Theoretical Framework: Bourdieu and Symbolic Power

Bourdieu emphasizes that 'the social world presents itself, objectively as a symbolic system which is organized according to the logic of difference, of differential distance' (Bourdieu, 1989, p. 132). The key to understand this symbolic system, which comprises objective realities of the given context and the intersubjective meanings assigned to them by agents is the notion of capitals. It is the structure and volume of capitals (potential or actual resources): economic, social and cultural and symbolic, accumulated over time, that position individuals differentially in a hierarchical social space of relative power, shared with others similarly positioned (Bourdieu, 1986). The value assigned to capitals, however, is an arbitrary act, though misrecognized as natural and common sense. This misrecognition makes it not only difficult to question the valuation but also enables certain capitals to acquire a 'symbolic power.' Hence they become a tacit source of cultural and social domination without the conscious realization of the dominated. The basis of symbolic power, then lies firmly in the 'misrecognition' or 'symbolic violence' that the rules of the game or the valuation system of the capitals are natural and absolute (Bourdieu, 1991). The valuation of capitals lies at the core of 'symbolic struggle' for distinction. As the agents engage in the symbolic struggle the dominated begin with the major set back that their capitals are poorly valued, while the dominant are privileged to succeed because they have more of the symbolic capital that counts in this struggle, they acquire the power to impose their world view (Bourdieu, 1986).

The dialectic between the objective and subjective realities is crystallized in Bourdieu's (1984) concept of habitus. The socialized self that internalizes the rules of the game so well that external limitations become limitations of the self and perceptions of what is possible (ibid.). Hence, individual habitus generates practices that align with the social group displaying 'a sense of one's place' or the distances to be maintained (Bourdieu, 1984: 471). Hence, habitus becomes a tool of continuity of the given social order, yet paradoxically it is also the tool of change, since it evolves over time from exposure to different fields (ibid.). Similarly, social structures though relatively stable over time are vulnerable to change every time they are re-produced through symbolic struggles. Likewise, habitus is not a cultural static but becomes prone to change as it engages in these symbolic struggles. Hence, group positioning and memberships are not given once and for all. They have to be constantly maintained by establishing its distinction, and guarding its boundaries. Each member then assumes the dual role of representing the group as a whole and as a custodian of its boundaries, keeping others out (Blunden, 2011: 3). Bourdieu argues that to change the given social structures, one does not need a 'perfect fit,' (Cunningham, 1993) but reflexive thinking and understanding of the tools of symbolic dominance (ibid.)

Educational institutions are conceptualized as major sites of symbolic struggles and often vehicles of social reproduction (Bourdieu and Passeron, 1977 b). Schools not only privilege the cultural capital of the dominant as a norm, against which the dominated always appear deficient as their capitals are devalued. Different educational institutions tend to cluster children with specific cultural capital, and then differentially distribute the valued cultural capitals, for example language, in a way that the dominant, who already have a highly valued capitals, gain more of the symbolic capital. The power of the institutional authority triggers symbolic violence, i.e. a misrecognition that this valuation system is fair and natural, against which the failure of the dominated is only a result of their own lack of talent, forcing them to self-deselect from educational opportunity, or higher career aspirations. The mass education, Bourdieu (1977 b) argues only delays the elimination of the dominated from education when they are finally convinced that they do not have the natural ability to compete against those with superior in intellect (Bourdieu, 1989). It is the habitus that allows everyone to adjust to the given order of valuation, even when it works against them and later accept the harm done to them as deserved (Cunningham, 1993). It is the art of common sense i.e. the symbolic violence that forces the dominated to first to engage in a game in which they are bound to lose and become complicit in their domination, with the increasing symbolic power of the dominant.

Language can be a major source of discrimination both within education and in wider sociocultural context, as a subset of cultural capital. Linguistic exchanges for Bourdieu (1991) are 'situated encounters between agents, within social structures resulting from differential distribution of capitals (p. 2). As such language as a semiotic tool in interaction not only reflects traces of social structure of the context within which it is embedded, it re-enacts them and becomes implicit in re-establishing the symbolic system of differences. Hence, it itself becomes a site of symbolic struggle.

Methodology

The current study utilized a multiple case study design for in-depth insights into issues of multidimensional relative poverty in real life contexts, as experienced by the participants. The 16 cases were pairs of siblings of same gender educated from seven public and private schools in two different provinces in Pakistan. The main purpose for using siblings as participants was to understand the language teaching and learning experiences fresh in the minds of younger siblings and the impact of language learning on wider access and participation, as experienced by the older siblings. In addition, this provided insights into time related processes. The methods of data collection included: a) in-depth interviews, b) participant observation and c) documentary evidence. This paper mainly focuses on the interview data.

The cases were selected through purposive snowball sampling because of access issues at a time of political unrest when the data was being collected. The focus was to gather typical cases¹ from private and government schools in two metropolitans. The two different regions in Pakistan were selected as case study sites with two different languages in education policy. In Karachi, (in the province of Sindh) all those appearing in the secondary school examination had to appear in a Sindhi language paper; while in Lahore (in Punjab) there was no such compulsion. All the schools were selected from urban areas.

The data analysis was a cyclical rather than a linear process, which can be roughly divided into two phases. In the first phase each interview was transcribed and analyzed individually and in the second phase data within and across the cases were analysed to look for emerging patterns and themes. The constant comparative method of the grounded approach to analyse data was adopted and themes were allowed to emerge from the data itself rather than imposing preconceived categories on it (Strauss & Corbin, 1998). The process began with line-by-line coding of the transcribed interviews to get first impressions comprising mainly of the key words used by the participants, while taking notes or posting memos² as some concepts seemed to develop. These codes were revisited more closely leading to the merging of the initial codes into more abstract categories. In the second phase the data across the cases was analyzed within specific domains. Later axial coding was used to identify recurring themes. These were finalized by more selective coding³ of the data at a higher degree of abstraction (Ibid.).

The Context

¹ This meant that these schools almost exemplified the majority of these school systems available to people in an Urban area, leaving out schools that were either too small or impoverished or those only for elites.

² Memos are defined as 'the researcher's record of analysis, thoughts, interpretations, questions, and directions for further data collection' (Strauss and Corbin, 1998: 110)

³ The process of integrating and refining the theory

Pakistan, a postcolonial multilingual country, has at least 25 major languages with Urdu as the national and English as the official language. Hardly any role has been ascribed to regional languages, and it is left to the provinces to develop them as long as these are not in competition with the national language. The official status of English was always meant to be a temporary arrangement as also stated in the constitution of 1973, until Urdu could replace it.

However, English, the language of the colonial masters has not only firmly retained its position in the domains of power. It is the language of higher education, higher judiciary, businesses of large organizations, health sector and almost all the functionings of the government, where although Urdu might be spoken informally, yet English is the language of formal communication and documentation. Hence, the significance given to it by all for coveted jobs and upward social mobility is hardly surprising, despite the fact that it is Urdu mother language to 7 % of the population that is the national lingua franca. The main source of the learning of Urdu and English are schools and regional languages are homes. However, there is exposure to Urdu in urban areas and to English also in correspondence with the socioeconomic background.

The two major educational systems in Pakistan (government and private) use languages differently in education. Government schools for the masses, offer free education in Urdu or in a vernacular in lower grades, except in Sindh where the option of Sindhi medium education is available in higher grades also. Here, English is offered as a subject. The private schools mainly offer English as the medium of instruction, Urdu as a subject, and Sindhi in Sindh. Another main difference between the two schooling systems, private and government was the well-documented poor teaching/learning of the English language in government schools (Rahman, 2003),

To address the inequality created by the growing significance of English and the poor learning of the language in the government schools catering to the relatively poor, in 2009, all the government schools switched from Urdu to English as a medium of instruction (EMI) from class I in Punjab. Later, the bar for EMI was raised to Grade III, because of the disastrous learning outcomes, owing to the low English language proficiency of the government teachers, and the home school linguistic disconnect for the low income children which populated these schools. The higher education remains mainly in the English language, with some selective subjects, at lower level offered in Urdu.

Findings

The private school participants (PSPs) had educated parents and belonged to a higher socioeconomic status than the government school participants (GSPs), a majority of whom had uneducated parents and they all belonged to low socioeconomic strata. In contrast to the use of English in the country, all GSPs reported having learnt minimal English language skills at the end of secondary school. None of the final year government school students could speak or understand English, apart from a few common words or phrases. Hamid (GSP) declared 'I can read fluently in English' only to add 'but I don't know what it means.' While all of them could speak Urdu, fluently, and a majority of them were confident in their Urdu, six of the sixteen participants all belonging to the lowest economic strata felt they could not write in the language and had difficulty reading in it also after spending 10 years in secondary school. The private school graduates expressed confidence in varying degrees in the English language, while all of them felt they had 'poor' Urdu, even when they could speak it fluently. None of the two groups in Sindh felt they had learnt Sindhi, except one from Sindhi family (her elder sister felt she did not know Sindhi) although they were all taught the language at school for at least 3-4 years.

This paper concerns itself only with the cross cutting themes emerging from the discourse of two groups: government school participants (GSPs and private school participants (PSPs). It does not address the differences across gender, between siblings or intragroup variation in individual responses. The four themes of impact of languages in education experienced in schools within the wider language policy emerged across dimensions: cognitive; social; affective and physical. This division is only theoretical and I acknowledge the overlapping of themes across these dimensions.

Cognitive dimension: participation in higher education

As the medium of education changed from Urdu and English at sites of higher education, even the brightest of the GSPs found themselves struggling. Hasnat (GSG) explained:

For one thing English was there all of a sudden. In the beginning...[I] could not understand at all. Could understand nothing at all...first look up the meaning of each word and then learn. Then [we] had to learn the whole chapter...all was in English. At school there was a small book [of English]. Now there were so many thick books (Source Interview GSP, Lahore, Tamim, 2014, p. 290).

GSPs reported that even the concepts they knew well at school were difficult to connect with at college, as the terminology changed from Urdu to English. Asif (GSP) commented that when the lectures were delivered exclusively in English (often in English language classes), they could 'understand nothing at all.' Naz recalled when their group from government schools, which formed 60 % of her public sector college requested the teacher use Urdu, she simply told them off, 'we had a lot of problem... we would say miss explain just a little in Urdu but she would say now you are at stage that you have to work with English.' Instead of feeling a part of the community of learning, Ayesha like all other GSPs described a strong sense of isolation in classrooms as if they were 'invisible' to the teacher, never participating. 'If we do not understand anything, how do we ask questions,' commented Sameen.

English as a medium of instruction (EMI) at higher levels also forced some GSPs to drop out of colleges. Farheen (GSP) had been studying from home because of the sociocultural constraints that made travelling alone to college difficult. She attended the college only occasionally to take exams and do assignments. Nasir (GSP) also juggled work with higher education because of the pressure to eke out a living. Both of them had to forgo their aspirations for further study, when the subjects of their choice were offered in English, as in the case of latter and when the English text book at BA level (notoriously more demanding) became too difficult for self-study. Hence, their cognitive agency for autonomous learning crippled when the text was encoded in a language they did not know. . Hence, it comes as little surprise that of the GSPs aiming at certain academic careers, only one could succeed. Others like Hasan, Akram and Aslam scored much lower at the entry point examination of their chosen academic fields, despite being among the best students at school.

In strong contrast, the PSPs continued unobtrusively in the English medium of instruction (EMI) they were accustomed with. To their delight, they now realized the symbolic power and value of the linguistic capital of English. Participating in classrooms, they strongly felt a strong cognitive advantage in terms of processing information over those from government schools. Midrah (PSP) commented that the 'Urdu medium girls' in her college class 'simply used to copy' her assignments and later after the class was over, they would come over and request her to explain the lecture to them.

The symbolic struggle for access to the cultural capital of education is evident in the discourse of the two groups at sites of higher education. The PSPs are clearly advantaged as they already possess the linguistic capital valued at higher education and this allows them to accumulate more of the cultural capital of education that can later be transformed into economic capital. Hence, the capitals that have enabled the PSPs to acquire a higher position in the social structure are multiplied. On the other hand by the devaluation of the linguistic capital of the PSPs at higher education and the increase of the significance of a language that their schools failed to equip them, the educational institutions become complicit in reinforcing the existing inequality. As the degree of academic language proficiency [English in this case] they develop in school is a crucial intervening variable in mediating their academic progress' (Cummins, 2000: 99), the PSPs either fall out of their chosen fields or drop out of education altogether. The English language becomes the tool of subtle exclusion of the dominated group (Bourdieu, 1991), and eventually their 'delayed elimination' from higher education, as it becomes a formidable and veritable force, a symbolic power too difficult to contend with (ibid.).

Social Dimension: English and Gate Keeping

There is this language barrier', Rehana reiterated 'between those who know English and those who do not' She explained the simple rule of her group 'anyone who does not know English is out.' She clarified what her own English symbolized for her, 'I can speak English, I have a good family, a good car so I can be in any group.' Unais (PSP) emphasized that Urdu medium were uncouth, 'ill mannered' and 'uncivilized.' Although he said he never had had a chance to be in the same class with the Urdu mediums, he insisted that 'Urdu mediums had bad language which was not tolerated in good institutions.'

On the other hand, Naz (GSP) explained 'we would like to be with them [those who know English] but they don't like it. They think it is kind of lower, to be friends with us.' Fahad (GSP) a good looking young man felt hesitant to come over to an elite university, at a convenient distance for an interview for this research. Later, he explained later that his hesitance was from the anticipation of being spoken to in English and his own inability to respond in the same language. Maria (GSG) quietly described 'I used to be silent ... when she [my friend] used to speak in English. 'I could understand to some extent', Maria said 'but I could not answer her in English ... so I would be silent.'

The symbolic power of English language as a tool for gatekeeping emerges in the discourse here, as English becomes the criteria for group memberships at the nexus of economic and cultural capitals. Hence, class based boundaries become more prominent with the tool of English. This is accompanied with 'othering, stereotyping and essentializing' (Kubota 2004: 39), almost a 'colonial dichotomy between the Self and the Other' obvious in the language based differences accentuated

in 'we' and 'they' as suggested by Unais and Naz. The one wielding the symbolic capital of English emerges as cultured and superior while the other as 'uncivilized' and inferior (ibid.).

The symbolic value of English also appeared to invest everyone with 'a sense of limits', and distances to be kept 'uniting and separating people as surely as explicit prohibitions and barriers' (Bourdieu, 1991: 123). Group membership has to be performed through the ritual of a certain language use, which accounts for the distinction of the group from others and Rehana, faithful to her group can be seen guarding the boundaries of her group with the tool of English. Given, the significance of social networks and social capital in development, this is an important dimension of inequality for the GSPs who fail to develop new powerful social networks that may lift them out of deprivation.

Affective Dimension:

Hira (PSP) explained the impact of acquiring the valued linguistic capital, 'When English is spoken others get intimidated. If only you know how to speak English it makes you feel superior. It is not about you are in studies.' A sense of owning the valued linguistic capital of English tremendously boosted the confidence of the PSPs, and infused them with a sense of superiority and power. Rehana (PSP) emphasized 'English is to command [...] tell them what to do,' discussing how she used her lesser proficient class fellows to do what she wanted. Hira (PSP) revelled in the way she used her English skills to 'manipulate' her class fellows 'for getting things done her way', 'stand out in the crowd' and 'gain attention' from those around. Midrah (PSP) reported the case of her very talented class fellow in the last year of National Arts College University:

He says [...] because I have studied in Urdu medium I don't have so much confidence. He admits it himself like it is in him. I have studied Urdu so perhaps I don't have so much idea. I am like lower than English medium. (Interview PSp, Karachi).

Faiz (PSP) disclosed that he deliberately faked an American accent to impress his class fellows and teachers. He explained that he felt delighted when his class fellows 'simply go blank' when he used difficult English vocabulary and when he used his American accent when making a presentation in his class, the students and teachers seemed to be thinking 'where is he from?' Nael (PSP) said that he was able to 'silence' others when he spoke in English. Faiza (PSP) narrated an incident when her friend was able to win a heated argument and silence a senior girl as she spoke to her in English. The crowd gathered around them started laughing at her opponent as she attempted to argue back in her broken English.

At the other end of the pole GSPs suffered from low self-esteem and losing confidence as their linguistic capital was devalued. Sameen explained:

I tell you [I] felt nothing [about being educated in Urdu medium] but when we had our English class I felt very ashamed that they (PSGs) are speaking English so well... we used to feel so guilty that if our English had been equally good the teacher would have paid attention to us... What do we do if we are from Urdu medium and English is not our language (Source: Interview GSP, Karachi)?

Kamran (GSP) explained that 'English becomes his limitation,' and 'his guilt' in classroom interaction, because he can see that he does not have what others do and it is valued. Nazia (PSP) expolated, 'if someone talks in English and we cannot answer in English, then it is like we are lower... our level is lower.' Lack of confidence, low self esteem and sense of inferiority was a major recurring theme in all GSG interviews directly linked to their limited English and devaluation of their languages at higher education institution but also in the wider social context.

It is ironical that it is at the site of higher education that GSGs first realized their own inferior position Phrases used by Sameen were echoed in the discourse of almost all GSGs 'guilty and 'ashamed' 'embarrassed' accompanied by a deep sense of powerlessness 'What do we do if we are from Urdu medium and English is not our language' said Fauzia (GSP). Cummins (2000) explains the sense of shame felt by GSPs:

In the vacuum created by the absence of any proactive validation of their linguistic talents and accomplishments, bilingual students' identities become infested with shame. (Cummins, 2000:13).

English language, the valued linguistic capital differentially distributed by educational institutions, rationed along class-based lines, allow the PSPs to inflate their ego and deliberately attempt to divest others of their 'right to speak' or 'be heard,' is a manifestation of symbolic power (Bourdieu, 1991). Bourdieu (1991) emphasizes that 'power in symbolic form' gains 'legitimacy' through misrecognition,' of arbitrary structures as absolute and is always based on a 'shared belief':

In such a way that even those who benefit least from the exercise of power participate, to some extent, in their own subjection. They recognize or tacitly acknowledge the legitimacy of power or of the hierarchical relations of power in which

they are embedded; and hence they fail to see that hierarchy is, after all, an arbitrary social construction, which serves the interests of some groups more than others (Bourdieu, 1991:23).

GSPs never question the given linguistic hierarchy or the devaluation of their language because it all seems 'common sense.' Hence, they grant legitimacy to the symbolic power exercised over them, accepting the rules of the game (Bourdieu, 1991). Their silence perpetuated by the symbolic violence perpetuated by the language policy and mediated through educational institutions that concealed the arbitrariness of the social structure and anticipated academic judgements (Bourdieu and Passeron, 1977). Hence, the 'legitimizing regimes' in which GSPs accept to be 'stigmatized' and 'marginalized' (Bourdieu, 1989 in Heller, 2008: 65).

Economic dimension:

All the participants clearly acknowledged the significance and value of English in getting access to coveted jobs, expanding businesses and all the domains of power. Against this perspective, the more the participants were at ease with their English language skills, the more confident they were in their about the success of their careers. The PSPs felt they had a strong edge over those from government schools because of their better English. Faiz declared confidently, 'I can get any job I choose...work wherever I like' because he felt there was nothing to stop him. Akram (PSP), he has always been selected for internships easily because of his English. The moment some position is announced, the class just names him 'just like that,' even when he has not even applied for it. Similarly other PSPs were quite confident that they would be preferred over someone from government schools. Midrah (PSP) in the last year of her BA in Architecture explained how during their internship placements those with good English were placed in the front offices, while others were put in back offices only.

The GSPs worried deeply. 'You need English even for a waiter's job at Pizza Hut,' commented Nazir. Atif (GSP) described how he crammed up some answers to some basic anticipated questions for his job interview. The interview, he reported was in English at the beginning but when he could not respond properly, they shifted to Urdu. Although he got the job, embarrassed by his failure in not being able to respond in the official language, he did not even ask about his salary. Now, a month into the job, he did not know what he would be paid.

The GSPs felt that even if they landed a good job they would still be haunted by the adverse effects of their poor English at workplace, which would hinder their upward mobility and their visibility in the organization. Hussein (GSP) explained 'you know it [the work] but you cannot make a presentation in Urdu... that has to be in English.' Imran (GSP) emphasized 'the boss would never take with him anyone who does not even know how to speak [in English].' Khalid (GSP) only a low paid blue-collar worker in a factory, described his embarrassment when his supervisor used an English phrase asking him to hand something over. He laughed, as he could not understand. Later he asked his friend and was more prepared. Ali (GSP) detailed his career aspiration was to be a banker rather than join his father in skilled labour, only later to add that he probably would not do that unless his English improved because he did not want to lose face and not know the official language.

Poor proficiency in English particularly affected the females GSPs, who were mainly in teaching jobs, forced to accept very low salaries between PKR 1200-1500 (\$ 100-150). This was at a time when ordinary uneducated domestic help in urban homes were being paid around PKR 10000-15000 (\$ 1000-15000). Khalid (GSP) after working for 4 years at a salary of PKR 1000 (\$ 9000) that her employer would not increase, left her teaching job to start her own business of embellishing laces. This was possible with her linguistic capital of the national lingua franca Urdu and different local languages that she had picked up from the collage of communities around her home enabled her to bring work to the local women who had restricted mobility because of certain ethnic norms they followed, and spoke the little understood ethnic language. Though without any economic capital, she engaged with the market and brought work to these women at home. Her work was flourishing and she was making enough to pay for the school fees of her younger brother, while saving for her dowry. An act of agency and self-reliance that was possible because of the repertoire of local linguistic capital.

Bruthiaux (2002) emphasizes that if the aim is to transform the perception of the poor about their 'economic potential', it is the first language rather than 'a potentially unfamiliar language of wider communication' that can assist in this regard (p. 275). Khalida (GSP) was only able to find her way out of adversity and help others to do the same by being able to connect with those around her with her linguistic capital. Had she not known the local languages, the other community women would have felt off the radar and neither would she have been able to unleash her own potential. Bourdieu's (1984) argument that all capitals are interlinked with economic capital and also convertible into it and back is validated. The GSPs beginning with lower economic capital have lesser access to the symbolic capital of English and in turn have lesser access to economic capital into which their linguistic capital is convertible. Hence, they feel that their linguistic capital has lower exchange value

in the market. In contrast, PSPs, with higher economic capital can be seen to multiply it with the use of the symbolic capital of English.

One can observe the inscription of the social order on the perceptions of the GSPs, with the marginalizing symbolic power of English language. 'Objective limits [of not being able to access the linguistic capital of English] become a sense of limits [things that can be done or not done], forcing self-deselection from valued career choices (Bourdieu, 1986). However, the possibility of alternate discourse becomes available, when one side steps the given norms- not play the game. Hence, we find that by giving up the chase of the symbolic capital of English. Faiza makes the best of what she has, her local linguistic capitals and fares much better in the economic dimension.

Physical Health

The findings revealed the linguistic capital of English, also gave an advantage to the PSPs in their health management, while subtly marginalizing the GSPs. Although the main language spoken was Urdu at the hospitals, almost all written documentation was in English. There was hardly any role for the regional languages, although the participants explained that they felt a bonding with the doctor, if he/ she used their regional language. Faiza (PSP) explained that her understanding of dengue fever that had taken on epidemic magnitude at the given time was substantially improved when she attended a health Seminar hosted by a leading hospital in the city. These health seminars by medical colleges were held occasionally for public awareness. These were free of charge, with the purpose to raise public awareness about an important health issue. The only caveat was that it was almost always in English. This meant an implicit exclusion of those who did not know English, though these were most probably also the most vulnerable.

Amjad (PSP) argued that because of his command of English, he was able to research his father's ailment over the internet and discuss it in detail with the doctor. Faiz (PSP) shared that once he started to speak in English with the doctor during a consultation session for his father, the doctor started to explain everything to him in detail, ignoring his Uncle and father, who were also in the room. Hira (PSP), a final year medical student explained that because the doctors have studied everything in English, it is much easier for them to discuss the health problem in English. Pointing to another aspect of the problem, she highlighted a major problem for the doctors in communicating with patients, when the latter they came from remote rural areas did not speak Urdu. 'We are just desperately trying to find someone who can understand the patient,' she commented. She also argued that the problem remained otherwise also with urban patients who did not speak English, as the doctors tended to constantly code switch into English 'Any word of English that slips through you is not there for them as good as never spoken', Hira stressed.

Although the GSPs felt that knowing Urdu resolved their problem of accessing health based information, they inadvertently shared a vague sense of vulnerability. 'Even a disposable syringe has English on it,' commented Khalid. Shafia pointed out the medical literature in English, which accompanied most of the medicines. Even when information in Urdu was given at times, the information in the latter was selective and much less. Similarly, the information on off the shelf medicines or cosmetics etc. being in English gave the PSPs a much broader range of choices than that offered to those who did not have the valued linguistic capital.

These findings support the results of the systematic review of studies by Timmins (2000), published in biomedical journals from 1990-2000, exploring language barriers in terms of access to health care, quality of care, and health status outcomes that revealed a strong evidence of language barrier affecting access of care in 55% of the studies; while 86% of the studies suggested 'a significant detrimental effect of language barriers' on quality of care (Timmins, 2000: 1). In addition every two out of three studies found 'language to be a risk factor for adverse outcomes' in terms of health (Ibid.).

The symbolic power of English language in the given context can be seen perpetuating marginalization of the GSPs in the dimension of health also. Its power to activate world vision/ ideologies, working on the objective structures is evident. The doctor talks to young Faiz, perceiving him to be more 'educated' because of his English, or because of his own inability to explain himself in the local language, or not understand an ailing patient because of the language barrier, the given structures or the given hierarchy of languages is never argued. It is English not the local language knowledge that is symbolically desired, not practically required. Bourdieu argues that the symbolic power of language:

Inclines some people to maintain their rank and distance and others to know their place and be happy with what they are, to be what they have to be, thus depriving them of the very sense of deprivation. (Ibid.)

Conclusion

The paper explored the impact of differentially distributed languages in education in institutions within the national language policy. Poverty was conceptualized as multidimensional, relative and in the space of 'capabilities,' (Sen, 1990). The findings reveal that the symbolic power of the linguistic capital of English, derived from its unequal distribution, its scarcity and the misrecognition of its importance as natural and common sense, marginalized the already disadvantaged government school participants in multiple dimensions: economic, social, affective and physical. In contrast, private school participants benefited from the given structure in all the above. While the PSPs were able to multiply their capitals because they already had the valued linguistic capital of English, which itself was a stake in symbolic struggle for distinction, the GSPs suffer from relative poverty because of two main reasons: a) they do not have the symbolic capital of English and b) the symbolic power of English, and its legitimization by educational institutions and the wider language policy working through all other institutions make it difficult for the GSPs to question the given order.

The answer however is more complex than providing everyone English, as this would not resolve the problem of the patient whose doctor does not understand his/ her language and risks misdiagnosis. Neither does it resolve the issue at the level of small businesses, where it is not English but local languages that are more in use. The answer lies in accepting the linguistic diversity of the context, legitimizing them through not only educational institutions but also the wider institutions of the government, while also equipping everyone with the international lingua franca. Hence, thereby challenging the symbolic power of English.

From a development perspective, the study matches the results of Robinson's (1996), study that showed the local language use was decisive in involving people and shifting the 'locus of power' to them (p. 4). The exclusion of local languages makes it difficult for people to draw local resources and knowledge. For instance, change of terminology made it difficult for the GSPs to reintegrate concepts that they had already learnt at school at higher education. The study showed that unless the linguistic and cultural capital is 'concordant' with existing structures, participation is bound to be limited (Bourdieu, 1991). And it is precisely 'the question of what capital is at stake and how it is valued which is constantly at issue in social interactions' (Grenfell et al., 1998: 25).

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The Relationships in the Process of Knowledge Transfer According to the Triple Helix Model

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Abstract

One of the most important challenges facing modern scientific entities is network cooperation with other organizations and a dialogue facilitating their access to information and knowledge. The essence of this relationship is well illustrated by the Triple Helix Model, which refers to network cooperation in the process of creating knowledge between the academic sector, industry and government. The aim of the study is to analyse and evaluate the relationships in the process of knowledge transfer between the academic sector and other entities working for knowledge-based economy according to the Triple Helix Model. To achieve the purpose of the work, the author used desk research and empirical research. The empirical part of the paper is a case study describing the project called V4mula, as well as conclusions from the realized qualitative research (diagnostic survey method). Project V4mula was implemented in the network of four partners operating in the Visegrad Group.

Keywords: knowledge transfer, network cooperation, innovative processes, Triple Helix Model

1. Introduction

An important distinguishing feature of innovative and competitive organizations is, among others, the demand for knowledge and willingness to cooperate, reflected in the development of various types of bilateral and multi-sector partnerships as well as networks. In the 21st century, different types of networks almost dominated social and economic relations. It could be argued that the spirit of our time is the spirit of the network (Barney, 2008). The network is a set of measures and rules that allows entities to have access to them, making an implementation of joint projects (Brilman, 2002). Networks consist of nodes, links, and flows. Links combine nodes between which there are flows. Nodes, links, and flows in networks are determined by many variables that shape the network of character and shape (Barney, 2008). A network embodies a set of relationships between different entities having the same interests (Hopej, 2013). It is sometimes referred to as a set of autonomous organizations with direct or indirect relationships arising from the agreements (alliances) between participants (Pachura, 2009).

Networking plays a key role in today's knowledge-based economy, oriented towards innovation, and above all towards smart, sustainable growth. It can be said that the spread of the network has fundamentally affected the functioning and performance of many processes: production, experience building, power and culture (Castells, 2007), and ultimately enhances the development of the knowledge economy.

Smart, sustainable and inclusive growth is the key goal of several EU initiatives, strategies and programmes in the short, medium and long term and at the regional, national and pan-European levels (Carayannis, Rakhmatullin, 2014). There are many mechanisms supporting network collaboration, created both in the networks themselves and in their surroundings. Network economy is characterized by increasing the number of links between organizations, based on the synergistic benefits and optimization of use of available resources (Borowicz, Dzierzanowski, Fisherman, Szultka, 2009). These organizations, while pursuing their own goals, are also part of the knowledge transfer process, contributing to the creation of technological and social innovations.

Networking is currently being implemented in many different models and at different levels, although new concepts for its development are still emerging. More and more networks are global. In addition, they often include a large group of diverse entities, which require efficient communication between network participants and efficient management of the relationship between them. Models and tools that aid these processes these processes are helpful here, primarily in terms of production and knowledge sharing, enabling innovation. Terms of rationalization of organization and management of network ventures, focusing on mutual flows of knowledge and innovation between different spheres, were presented, among others, in the concept of the Triple Helix Model. It describes the key conditions for the development of networking between organizations,

linked through networking, as well as identifies factors that enhance networking processes, primarily as regards the flow of knowledge and innovation between network participants. Using these models also dynamically shapes and develops the structure of the network, and also contributes to the efficiency of the implemented activities.

Networks for exchanging knowledge about socio-economic processes are also developed by organizations cooperating within the Visegrad Group (Poland, the Czech Republic, Slovakia, Hungary), which implement partner projects on various topics. The Triple Helix Model assumptions were used to improve the emerging knowledge transfer network for innovative processes within the framework of the project. V4mula, subsidized by the Visegrad Fund (no. 21520396), implemented in the years 2015-2016 in the cross-sectorial partnership of the organization: INNOSKART Nonprofit Ltd. (cluster - Hungary), University of Dąbrowa Górnicza (High education institution, Poland), You too in IT – non-governmental organization, Slovakia) and DEX Innovation Center (company, the Czech Republic). This paper presents the case study of this project as well as the results of questionnaire surveys, which were attended by representatives of the organizations that make up this network (30 respondents), from the academic, public and business sectors. The aim of the study is to analyse the relationship between the academic sector and other entities involved in sustainable development in line with the Triple Helix Model assumptions. This paper can be useful for all organizations that work in networks, especially for those that emphasize knowledge management and boost innovation.

2. Network cooperation and the Triple Helix Model - theoretical background

The Europe 2020 Strategy raises challenges for the European Union countries relating to i.a. intelligent growth, linked to the development of a knowledge- and innovation-based economy, creating high added value, requiring substantial expenditure on R & D and rapid transfer of theoretical knowledge to business practice. Since the knowledge-based economy cannot develop without an educated society, the quality of education and the development of skills and competences are becoming increasingly important. This applies to the public, commercial and academic sectors. Each has its own contribution to the development of a knowledge-based economy, although the synergistic effect of their networking can outweigh the effects of individual actions.

Contemporary networks are focused on developing innovation models based on knowledge transfer between collaborating organizations. It is evident that in the economy of the 21st century, knowledge and the inextricably linked human capital shape the innovative activity of many organizations, and thus have an impact on the creation of innovation. The organizations which skilfully use their own knowledge and external expertise, invest in research and development as well as develop relationships with partners, develop dynamically and create a high added value in the economy. Among such organizations there is a noticeable increase in the number of cooperative and network links of various character and various degrees of durability. These relationships can take the form of partnership and network projects with a fixed implementation horizon and can be long-term and sustainable. The dynamics of network collaboration requires a deepening of the organization's knowledge about how to manage networks and relationships in networks. It is important to achieve the goals that the network seeks to achieve, as well as to ensure its sustainability, efficiency, effectiveness and achievement of expected results. Managing relationships in the network includes appropriate selection of cooperating entities, defining the forms of cooperation or methods of communication. Optimization of models and forms of cooperation in networks becomes a challenge for the organizations involved, primarily in terms of assessing the effectiveness of the resources and potentials involved and the results achieved.

At present, innovative processes are most often carried out in a specific system of relations between enterprises and their business environment, with the involvement of research and non-governmental institutions and the public administration. It is clearly visible that the dynamics of the creation and development of commercial innovations are interdependent on the efficiency of the public and non-governmental sectors. In innovative processes, complex cross-sectorial ventures are beginning to dominate, with the involvement of many organizations which gradually displacing individual projects. This requires active involvement and development of network links from the organisations engaged in the cooperation. The Triple Helix Model (Leydesdorff, Etzkowitz, 2010), the Quadruple Helix Model, and the Quintuple Helix Model (Carayannis, Campbell, 2011), depending on the objectives of the cooperation, the organizations involved, can be identified as examples of cross-sector interconnections.

The Triple Helix Model focuses on university–industry–government relations. The Quadruple Helix Model contributes to these relations also the media-based and culture-based public as well as that of a civil society. Features of the quadruple helix are: culture (cultures) and innovation culture (innovation cultures); the knowledge of culture and the culture of knowledge; values and lifestyles; multiculturalism, multiculture, and creativity; media; arts and arts universities; and multi-

level innovation systems (local, national, global), with universities of the sciences, but also universities of the arts. The quadruple helix contextualizes the triple helix, and the quintuple helix the quadruple helix (Carayannis, Campbell, 2011). The Quintuple Helix Model emphasizes the natural environments of society, also for the knowledge production and innovation. It is ecologically sensitive (Carayannis, Thorsten, Campbell, 2012). Each of the models mentioned above takes into account the different aspects of network collaboration, but in view of the objectives of this paper, the Triple Helix Model should be focused on in a particular way. It is related to the concept of a knowledge-based economy (Carayannis, Barth, Campbell, 2012) and it is relevant to the relationship between the academic and other stakeholders communities, i.a. engaged in the V4mula project implementation. The highlight of this project is, among others, the planned outcome of the partial change of roles of individual organizations and greater engagement in activities traditionally attributed to another sector.

The Triple Helix Model, i.e. university-industry-administration-based model (Leydesdorff, 2014), can be helpful in explaining structural change in knowledge-based economies. In this model, innovation is created through the process of creating and transferring knowledge as a result of the interaction between three types of entities: research units (universities and research and development centres), industry (enterprises) and the governmental sphere, e.g., entities shaping country development policy (government, council, administration).

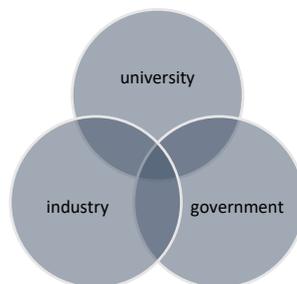


Fig. 1. Triple Helix Model

The Triple Helix Model is a reference to at least three key issues related to network collaboration. Firstly, it shows the specific, knowledge-based configuration of university-business-administration relationships. Secondly, it emphasizes the social aspect of building relationships between these three groups of entities, since in each case people are engaged in these activities. Thirdly, the participatory aspects are also included in the relations between the spheres of science, business and administration, i.e. public debates, public consultations and research which accompany the innovation processes. Under certain conditions, a system of overlapping communication between the sphere of science, business and administration can function as an independent organization, e.g. in the form of a cluster.

The Triple Helix Model is based on a nonlinear model that replaces linear models based on 'market pull' or 'technology push' approaches (Leydesdorff, 2014) and enables the analysis of potential synergies, nonlinear interactions between the three helices. The cooperation network expands as science, industry and administration become more involved in the promotion of economic development and research (Bojar, Machnik-Słomka, 2014). The essence of the model is the dependence, according to which what is happening in each helix and in the relationship between them, becomes visible in the functioning of the socio-economic system in which the network operates. As a result of network co-operation; however, it is becoming more and more frequent to change roles. Potentially, each of the triple helix elements can play a different role, e.g. an organization from the sphere of industry can develop research and development in its own laboratories, which is why it takes on the role of the entities in the sphere of science while the university develops academic entrepreneurship in the sphere of business. The centre of power can perform academic functions, supporting the academic research system and developing educational activities targeted at entrepreneurs. Networking in the triple helix model strengthens links between organizations, leaving them autonomous.

Analysis of knowledge expansion proves that the existence of cooperation within the three sectors is not a sufficient condition for innovation. The nature of the dominant industry (Leydesdorff, Fritsch, 2006) plays a significant role, but the importance of the university is also visible (Marques, Caraça, Diz, 2006) and, in particular, academic entrepreneurship (Lawton Smith, Ho 2006, Tijssen, 2006). Case studies related to undertakings implemented in this type of network confirm that this model also provides opportunities for promoting innovation and building partnerships (Johnson, 2008). Some

authors also point to the presence in this model of indirect organizations located in the space between the sphere of science, business, administration (Olechnicka, Ploszaj, 2010) such as: spin-off companies, incubators and technology parks, patent attorneys offices, scientific networks, etc. (Etzkowitz, Leydesdorff, 1998).

3. Method

The aim of the study is to analyse the relationship between the academic sector and other network participants in line with the Triple Helix Model, in terms of factors influencing the flow of knowledge and the results of this process. Scientific discussions were conducted by the example of cross-sectorial network project called V4mula, implemented by organizations from Visegrad Group countries (V4), with funding from the Visegrad Fund. The project has focused on the promotion of international Research&Development&Innovation (R&D&I) cooperation between the interested organizations. The partners have the opportunity to improve their knowledge and experiences, exchange good and bad practices, promote new technologies and support each other in building new technologies. The scope of the project was the implementation of a joint program for Responsible Research and Innovation (RRI) in V4 regions.

The objectives of the paper are:

1. Evaluation of factors affecting the knowledge flow between the sectors defined in the Triple Helix Model, divided into groups of factors that characterize:

- a) knowledge transfer,
- b) the behaviour of network operators on their participation in the knowledge transfer process,
- c) sectors involved in the transfer, i.e. science, business, administration,
- d) major addressees of innovation i.e. society,
- e) network environment.

2. Assessment of the relevance of knowledge transfer results between the sectors participating in the Triple Helix Model, from the innovation point of view which is the effect of the network functioning.

To achieve the purpose of the work, the author used research and empirical research. The research work is primarily an analysis of available literature and other materials related to networking and knowledge transfer. The conclusions of these studies are described in the previous chapter.

The empirical part of the paper is a case study describing the project called V4mula, as well as conclusions from the realized qualitative research. The research covered 30 organizations including: 10 from Poland, 6 from the Czech Republic, 4 from Slovakia and 10 from Hungary who joined the network. Each was represented in the survey by one respondent, including 12 academics, 6 business representatives, 8 non-governmental organizations, and 4 representatives from government and local government. Most respondents (18) declared that they were very much involved in networking at international level, 8 reported that their engagement was mediocre, and 4 respondents stated that their engagement was low.

The study was conducted in 2017, using the diagnostic survey method, in written and electronic form. The survey questionnaire concerned, among others, three research problems below.

The first of them was an assessment of the importance of each sector, i.e. science, business and administration, in the process of creating knowledge-based innovation. In addition, the influence of social capital, which is included in the Quadruple Helix Model and the Quintuple Helix Model, is also taken into account. Due to the fact that people as consumers of innovation drive progress in many areas, thereby contributing to the dynamics of knowledge transfer and innovation creation, this factor was also supported in the combination of sectors presented clustered in the Triple Helix Model. The described factors were evaluated on the scale of: weak, average and significant influence on the process of creation of knowledge-based innovations. In particular, it was about how the relationship between the academic sector and the other sectors is shaping the impact on the process of creating knowledge-based innovation.

The second research problem was related to the factors that affect the flow of knowledge between the sectors defined in the Triple Helix Model. These factors were evaluated by the aforementioned groups (a-e). A total of 25 factors were evaluated on a scale of: 0 - no impact; 1 - very weak influence; 2 - weak influence; 3 - average influence; 4 - strong influence; 5 - very powerful influence. In the process of analysing these factors, it was sought to identify a group of key determinants (taking into account the highest average rating) responsible for knowledge transfer across the network.

The last of the analysed research problems concerned the results of the knowledge transfer process between network participants, aiming at innovation. A set of 9 potential outcomes of broadly understood innovation processes was tested. The respondents were asked to evaluate the relevance of these results from the point of view of enhancing the innovation of organizations participating in the network.

The solution to the research problem was based on the use of the research methods described above, including the observations of the author who participated in the implementation of the project.

4. Case study – V4mula project

The project named V4mula, co-financed by the Visegrad Fund, was implemented between 2015 and 2016 in a cross-sectorial partnership of four organizations: INNOSKART Nonprofit Ltd. (cluster - Hungary), University of Dąbrowa Górnicza (high education institution, Poland), You too in IT (non-governmental organization, Slovakia) and DEX Innovation Centre (company, the Czech Republic). INNOSKART is the only Silver Labelled cluster in V4 and South East regions with high experience in innovation driven business development. DEX IC is an innovation centre and has supported innovations and technology transfer as external expert in many projects. University of Dąbrowa Górnicza runs many innovative network projects such as: WSB Science Academy, Science Festivals, training projects addressed to the social groups, School of Leaders, Youth Academy of Media, E-Teacher Academy, etc. You too in IT runs projects for high school to motivate students for ICT, it organizes big events and is responsible for communication among partners creating networking.

The reason to develop the project was the socio-economic situation of the Central Europe countries and regions, also V4 countries. They are still behind the leading European regions according to the ranking by GDP (Statistic times, 2015) and also according to the ranking by Global Innovation Index. Most of the entities from V4 did not succeed in participations in innovation projects like Horizon 2020 and very often they do not have strong connections with the innovators, the intellectual workers or the scientists dealing with the top current research. In this case there was a need to decrease these gaps by Responsible Research and Innovation (RRI) development for global networking, especially for the needs of V4 civil- and innovation entities.

The consortium was represented by businesses network, a university, an innovation expert and civil association. Due to the wide range of connections the partners have, the primary target groups were: SMEs and researchers, non-governmental organizations and public authorities, citizens as 'end-users' ready for further cooperation. The secondary target groups were young people developing their career paths based on knowledge and innovations in different sectors.

The project was designed to develop the regional economy by improving the networking between the civil and business sector. The added value of the project was an excellent strengthening of the partnership and increased trust between the cooperating organizations. The main topics were:

- a) Triple helix, Quadruple helix and Quintuple helix models concerning knowledge drivers and innovation drivers,
- b) networking and clustering in V4 countries,
- c) RRI,
- d) social engagement.

The final activity was the workshop focusing on the networking among the regional participants and V4mula partners. Generally, the speakers were regional experts of the dedicated topics; the participants were regional entities interested in innovation-oriented networking.

The project was focused on the promotion of international R&D&I cooperation and knowledge transfer between partners within the network. The interested entities have the opportunity to improve knowledge & experiences (through trainings), exchange good and bad practices (through workshops), promote new technologies (through exhibitions) and support each other in building new cooperation among the civil- and innovation entities towards the global networking (during the final conference and after the formal completion of the project). The scope of this project was the implementation of a joint program for RRI in V4 regions.

The program developed the national economy by encouraging RRI via global networking. The high quality of the consortium was assured by the partners' excellence derived from different fields of business and economy development. The partners represented knowledge and experience on: HR developments (PL), Civil society and Networking (SK), RRI (CR), business developments (HU). Partners were dedicated to improve their knowledge in parallel with supporting their regional economy development, intensely focusing on innovation and networking.

The project's aim was to improve the V4 regions' competitiveness via: special training program on Triple helix, Quadruple helix and Quintuple helix, regional workshops, international conference and exhibition. The outputs were: 4 regional workshops (1 by each partner in home regions where all the partners presented and added their knowledge and expertise to the program by their personal presence), 4 trainings (1 by each partner in their home region with local experts in a native language with the main focus on 'Science with and for Society' aspect), 1 international conference where all the gained knowledge and related experiences were shared. The additional direct output was the encouraged global networking. Another activity was the 1 exhibition to promote new technologies of V4 regions, 1 LinkedIn Group and 1 web- and 1 Facebook appearance led as well as 1 video film on YouTube channel.

The direct results achieved by the end of the project are as follows: the knowledge and experience on RRI has been improved; the networking between the civil- and innovation entities have become more effective; the European visibility of V4 partners has improved. In totally, ca. 100 people participated in all the activities within the project.

The further network development after the project completion is based on the area of technology, innovation and entrepreneurship. Technology, innovation and entrepreneurship are the driving forces behind the development of a knowledge-based society. The sustainable development of such a society can only take place when knowledge is produced and promoted and when innovation is developed.

After the project, the partners' ability for generating and participating in new consortia has improved. The four major pillars of the partners' activities after the project are: exchange new knowledge and experiences (emails, Skype conferences), share business ideas and find synergy that creates new business models, marketing plans or products (Face-to-Face meetings), commercialization (business driven networking) and global networking.

5. Results

To determine the relationship between the academic sector and other sectors in accordance with the Triple Helix Model, respondents were asked about the impact of individual sectors on knowledge flows and innovation. The respondents were also expected to assess the role of society as a consumer of innovation, and at the same time the source of inspiration for their creation. According to research, the greatest influence on the transfer of knowledge and creation of innovation was clearly assigned to the business sector (21 persons, 70% of the respondents), followed by the academic sector (6 persons, 20 %) and the administration sector (3 persons, 10 %). At the same time, only 40% of the respondents (12 persons) felt that society has a significant impact on innovation. It should be noted that the respondents in this question referred mainly to their own experiences (all network participants declared a link with innovative processes), since the duration of the cooperation network within the project was not long enough for such relations to become expressive. As for the assessment of factors affecting the flow of knowledge between the sectors defined in the Triple Helix Model - the respondents' ratings of the groups were presented below.

In the first place, the factors related to knowledge transfer were analysed. It can be assumed that knowledge as an organization resource and as a product that can be the subject of a business transaction must be characterized by certain characteristics. This applies both to knowledge that is transferred from the academic sector to the business sector (primarily knowledge acquired through fundamental research, know-how and inventions), as well as knowledge transferred from the business sector to the academic sector (e.g. knowledge of the demand for technological and social solutions to fill the identified market gap or knowledge about the specific needs and expectations of customers). The following table shows the assessment of these factors by the respondents.

Tab. 1 Transferred knowledge

| N ^o | The type of factor | Rating |
|----------------|---------------------------|-------------|
| 1. | The quality of knowledge | 4.07 |
| 2. | Availability of knowledge | 4.36 |
| 3. | Price of knowledge | 3.86 |
| 4. | Usefulness of knowledge | 4.28 |
| Average: | | 4.14 |

Source: survey results

In the five-level scale the transferred knowledge was rated high, at an average of 4.14 points. Relatively highest was graded the availability of knowledge (4.36) and the lowest – the price of knowledge (3.86). It should be noted, however, that among all the groups of factors assessed, the transferred knowledge, more specifically its quality, availability, price and usefulness,

was identified by respondents as a key factor influencing the flow of knowledge between the sectors defined in the Triple Helix Model.

The study also assessed the behaviour of network entities on their participation in the knowledge transfer process. In this case, 11 factors were analysed. Their selection was based on observing the behaviour of the participants of the network during the implementation of the tasks envisaged in the project. Assessments of the individual factors are included in the table below.

Tab. 2 Behaviour of entities in the network

| Nº | The type of factor | Rating |
|----------|----------------------------------------------------------------------------------------------------|-------------|
| 1 | Participation in networks for knowledge and innovation transfer | 3.86 |
| 2. | The need for external knowledge, those from other sectors | 3.64 |
| 3. | The tendency for sharing knowledge | 3.36 |
| 4. | Ability to evaluate and use knowledge | 3.57 |
| 5. | Tendency to implement innovations | 3.77 |
| 6. | Access to the intellectual workers | 3.36 |
| 7. | Familiarity with the processes of knowledge management | 3.00 |
| 8. | Having leaders in organizations/sectors | 3.36 |
| 9. | Possession by entities from the sector of individual knowledge and innovation management strategy. | 2.93 |
| 10. | Participatory approach to decision-making process in organizations and sectors | 3.00 |
| 11. | The tendency to worker mobility between sectors | 3.50 |
| Average: | | 3.40 |

Source: survey results

In terms of the flow of knowledge between the sectors defined in the Triple Helix Model, the behaviour of participants in the network was assessed to be significantly less important than knowledge itself. The average rating of these factors in a 5-step scale was only 3.4. As for individual assessments of particular factors, the highest were: participation in networks for knowledge and innovation transfer (3.86); tendency to implement innovations (3.77); the need for external knowledge from other sectors (3.64). A high score of 3.57 was also obtained by the ability to evaluate and use knowledge. In this group of factors, the lowest possible rating took possession by entities from the sector of individual knowledge and innovation management strategy (2.93). It is clear, therefore, that among factors that are beneficial to the flow of knowledge across sectors are, first of all, the high probability of contact with this knowledge through participation in networks, as well as the identified need for external knowledge that can be gained through participation in the network. For the success of the knowledge transfer process, the respondents' ability to implement innovations based on skilfully applied knowledge is also required.

From the point of view of the sectors participating in the transfer of knowledge, i.e. science, business, administration, the key importance for the respondents is the need for cooperation between different sectors (average score of 3.65), since without realizing the need for cooperation resulting from the desire to achieve specific goals (e.g. access to external knowledge), it is difficult to talk about the success of the knowledge transfer process. The importance of the situation in the sectors, in terms of impact on knowledge transfer, was estimated on average at 3.5. Thus, it was considered that this factor is more important than the behaviour of individual entities functioning in the network.

Tab. 3 Sectors involved in knowledge transfer

| Nº | The type of factor | Rating |
|----------|---------------------------------------------------------------------|-------------|
| 1. | The need for cooperation between different sectors | 3.64 |
| 2. | The intensity of the phenomena of competition in particular sectors | 3.50 |
| 3. | The intensity of the phenomena of competition between sectors | 3.36 |
| 4. | The level of innovation culture in the sector | 3.50 |
| Average: | | 3.50 |

Source: survey results

The relatively lowest impact on the transfer of knowledge between sectors was attributed to the public as an addressee of innovation (average score of 3.07) and network environment (average score of 3.00). Detailed evaluation of factors is presented in the tables below.

Tab. 4 The main target audience for innovation, that is society

| Nº | The type of factor | Rating |
|----------|-------------------------------------------------------------|-------------|
| 1. | Social changes | 3.07 |
| 2. | Level of society openness to change | 3.00 |
| 3. | The willingness of society to absorb innovations | 3.14 |
| 4. | The quality of intellectual capital | 3.57 |
| 5. | The type of national culture (e.g. Conservatives. Liberals) | 2.29 |
| 6. | Entrenched in the values of our society | 2.64 |
| 7. | The ability to learn | 3.79 |
| Average: | | 3.07 |

Source: survey results

The ability to learn (3.79) and the quality of intellectual capital (3.57) were the most important factors that characterize society as the recipient of innovation. These two elements are closely linked to the absorption of knowledge by the society as a consumer, for example, the realization of new needs, promotion of new solutions. A society consciously using available knowledge also has a high ability to articulate needs and expectations which can become a driving force for further innovation. Furthermore, smart society through participatory processes can also be actively involved in the process of creating innovation (e.g. by participating in market research and experimental projects). Society is one of the elements of the network environment, but many other factors also affect the transfer of knowledge, which are evaluated in the table below.

Tab. 5 Environmental factors

| Nº | The type of factor | Rating |
|----------|----------------------------------------------------------------------------|-------------|
| 1. | Provisions of the law favoring the protection of intellectual property | 2.77 |
| 2. | The availability of funds for financing the process for knowledge transfer | 3.21 |
| 3. | Provisions of the law | 3.07 |
| 4. | Turbulent environment | 2.93 |
| 5. | Changes in the level of technology available on the market | 3.38 |
| 6. | Changes in the natural environment | 2.86 |
| 7. | Political changes | 2.29 |
| 8. | The promotion of scientific research results | 3.54 |
| Average: | | 3.00 |

Source: survey results

Among the environmental factors most rated was: the promotion of scientific research results (3.54). changes in the level of technology available on the market (3.38) and the availability of funds for financing the process for knowledge transfer (3.21). All of these factors have a clear, objective influence on the knowledge transfer process: the first of them improves access to research results for organizations interested in using them. The second refers to technological development, conditioning the need for further innovations while the third takes financial aspects into account, which are necessary for the implementation of innovative processes, often associated with the need to acquire knowledge for a fee. Such transactions usually occur between the academic sector and the business sector or within the business sector.

The final element of the study was to assess the relevance of the knowledge transfer results between the sectors included in the Triple Helix Model. From the point of view of innovation resulting from the operation of the network, 9 factors were assessed which illustrate the achievable results of knowledge transfer, leading to innovation and its absorption by the market.

Table 6. The importance of the results of the process of the transfer of knowledge between the sectors from the perspective of innovation.

| Nº | Name of the result | Rating |
|----|----------------------------------------------------------------------------|--------|
| 1. | High skilled human capital | 3.93 |
| 2. | Sustainable values and ideas | 3.43 |
| 3. | High quality economy, new kind of free market economy, new jobs and growth | 4.00 |
| 4. | Protecting of the natural environment | 3.36 |

| | | |
|----|--------------------------------------------------|------|
| 5. | New know-how and technology | 4.07 |
| 6. | New lifestyle and new quality of life | 3.57 |
| 7. | Participation of citizens in different processes | 3.00 |
| 8. | New solutions. programs and laws | 3.50 |
| 9. | Stronger cooperation between sectors | 3.86 |

Source: survey results

Network participants as the most important result of the knowledge transfer process indicated both microeconomic effects, i.e. the new know-how and technology (4.07), as well as macroeconomic effects i.e. high quality economy, new kind of free market economy, new jobs and growth (4.00). Very high skilled human capital (3.93) was also indicated as a very important result which plays an important role in developing the capacity of the society to create innovations in the long run. The least significant result was the participation of citizens in different processes (3.00). It should be noted, however, that the potential results of knowledge transfer processes between sectors were rated by respondents at a similar level (on average 3-4 points).

6. Conclusion

In order to determine the relationship between the academic sector and other sectors in the network, by the example of the analysed project and in line with the Triple Helix Model assumptions, respondents were asked about the impact of particular sectors on knowledge transfer and innovation creation.

Assuming that:

- in the process of creating innovation one of the key resources is knowledge,
- the academic sector is more closely attributed to basic research, and to a lesser extent, application studies and development work,
- industry is increasingly attributed to research and development works, and to a lesser extent basic research,
- sources of innovation may be of a supply nature (e.g. technological development, new scientific discoveries, etc.) or demand (e.g. consumer demand for a solution or the need to meet new needs) the obtained answers allow the formation of the following conclusions.

Firstly, the genesis of innovation processes is most often linked to the know-how or inventions based on fundamental research, although the invention does not automatically transform into innovation. Scientific discoveries and inventions most often emerge on the academic side, which transfers them to business, if they have the potential to be commercialized. This path is identified with supply sources of innovation related to the transfer of knowledge from the academic sector to the business sector. For the business sector, knowledge from the academic sector combined with internal knowledge, while meeting the other criteria, allows the creation and implementation of innovation.

Secondly, due to growing competition in the market, market research is usually an integral part of the innovation process, most often conducted by the business sector, to verify the marketability of planned innovation, but also to gain insight into customer needs and expectations. Knowledge of this subject can become a determinant of demand for fundamental research and inventions, on the basis of which innovation is desired by consumers. Barriers to business-to-business collaboration can also lead to the business sector striving for self-innovation only by using its own expertise. In the case described above, we are dealing with demand-driven sources of innovation.

It can therefore be argued that respondents' views on the dominant influence of the business sector on knowledge transfer and innovation creation are confirmed in the objective logic of the innovation process, which depends to a certain extent on the administration sector. It is about objective conditions stemming from the environment in which the academic and business sectors operate, which is exerted by the administration sector. These are, i.a. fiscal, legal, economic, cultural or market conditions, as well as the quality of the business environment, which significantly influences the process of creating innovation and its market cost-effectiveness.

The results identifying the factors that influence the knowledge transfer process between sectors occurring in the Triple Helix Model indicate that knowledge is the key to the process of transferring knowledge. Less importance is attributed to the behaviour of entities in the network and the situation in the sectors involved in knowledge transfer. Even less important is the network environment and society, which is the driving force behind the demand for innovation.

Knowledge is one of the competences of an organization, especially in terms of its ability to generate innovation. The more valuable knowledge resources an organization has, the more important it is to be a partner in the innovation process. It can

therefore be stated that the awareness of the value held by knowledge organizations determines their behaviour in the network, and indirectly also influences the situation in particular sectors: academic, business, administrative. Mutual information about knowledge resources triggers the demand for knowledge exchange between organizations, since in the process of creating innovation it is necessary to use internal knowledge and external knowledge. Innovation-oriented organizations are generally not limited to self-production, unless it is due to its unique and low marketability. Acquiring knowledge from the external sources may be about the same sector or other sectors, but it is always about the transfer of knowledge that is useful in the innovation process. Doubts are raised by the results of a study on the low assessment of public participation as a consumer of innovation in the knowledge transfer process. Perhaps networkers focus primarily on supply sources of innovation, with little relevance to the opinion of the public, i.e. potential buyers of innovation. Another reason may be the selection of evaluated components that are not identified by the respondents with the results of knowledge transfer. As regards the importance of the environment in the knowledge transfer process, the respondents were asked above all for the macroeconomic factors which turned out to be insignificant in the process of knowledge transfer for them. It can therefore be concluded that knowledge transfer processes are, in the opinion of respondents, undertaken by organizations mainly on their own initiative, based on transfer of knowledge in sectors or across sectors. The efficiency of these processes is primarily determined by the product – i.e. knowledge transferred: its price, value, availability, etc.

Thus, knowledge is the main catalyst for network collaboration between organizations, rather than favourable environmental conditions, including the interest of society as a consumer of innovation. It can therefore be stated that organizations participating in the researched network are primarily oriented towards innovations resulting from supply factors such as access to knowledge, technology and organizational solutions. At the same time, the behaviour of these organizations is much less sensitive to environmental factors, including the expectations of potential buyers of innovation. This can largely be determined by the nature of the knowledge to which they have access. While this is primarily technical knowledge, innovators are primarily focused on technological solutions, and only later verify their marketability. If innovators have better access to knowledge about the needs of potential consumers of innovation, then the innovation process begins with an analysis of these needs, which determines further demand for technical knowledge.

Regarding the most significant results of the knowledge transfer process, respondents pointed to the core of future innovations, i.e. the know-how and technology, but also highly valued macroeconomic effects such as high quality economy, new jobs and new growth. Thus, in the opinion of the respondents, the transfer of knowledge, enhancing the innovativeness of the cooperating organizations in the network leads to the desired macroeconomic effects, the new quality of the economy, and consequently changes in the sectors and changes in the behaviour of organizations cooperating in the network. Their situation is influenced by elements of the environment, although it should be remembered that as stated above, innovative processes in networks are run primarily by high quality knowledge. Knowledge transfer is a factor that changes the behaviour of network participants and the situation in sectors, and indirectly also affects the network environment in which innovative processes take place.

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Free Zone or Processing Area for Export

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Abstract

Some countries apply as primary fiscal facilities the "Free Zone"; some of them guarantee contract for investors, investor protection, the reduction of bureaucracies, the partial state capital, providing incentives for every employee and other promotional policies. In theory, the goal is very clear for their creation. The attraction of strategic investors, improvement of the technology, providing jobs, fast movement of goods and capital, increase of competitiveness, increase of economic cooperation between the border countries and other chain effects, lead with economic growth and development in a country. The last 8 years in Albania, have been approved 11 Decisions of the Council of Ministers, for the Establishment of Economic Free Zones that today is called: "Technology Zone and Economic Development". Some questions that will be treated in this topic, are based on the official data of the respective institutions. What are these decisions? What was the primary purpose of the 2008-2009 policy, where the development strategy was based on the free zones revolution? Who were the winners of these competitions? What extent is today in these areas of investment, what is the number of employees drawn up to date? Which could be a competitive bidding package for boosting foreign investment?

Keywords: Free Zone, Fason, Technological Zone, Industrialization, Economic Development

Introduction

Free Zone

According to the World Customs Organization (WCO) revised by the Kyoto Convention, the definition of free zones is as follows:

"A part of the territory contracted to the parties, where all goods entering the country, in respect of import duties and taxes, are considered to be goods outside the customs territory".

In fact, the definition and interpretation for different countries varies according to the concept and characteristics on which they are created. The aim has started with trade development, following by modernization of the concept and continues with the industrialization of countries and further with general economic development.

Free zones have been a very important factor promoting a country in the international market and to realize a real economic growth. Many of these in the border areas has provided high opportunities for economic cooperation by development decentralisation in the country in terms of creation of new inovative centers. In this way, it ensures not only the distribution of incomes but also the labor force that is provided both managerial and professionally. Mainly the Free Zones aim to industrialize the country as the source of multi-beneficiary economic-financial development.

Romania has approved the Law of Free Trade Zones in 1992, where 159 companies operate in the production, packaging, storage and trading sector. The distribution of these areas has their purpose such as: trade development and economic cooperation with the neighbors. Their distribution is made in border areas, for example Sulina, Constanta-Sud, Galati, Braila, Giurgiu, Curtici-Arad, which are Roman border countries with Hungary, Bulgaria, and Moldavia with broad stretch of coastline.

Romania's incendiary policies consisted in bringing new investors to create and manage leasing structures between juridical persons up to 49 years in warehousing sector and reducing customs procedures for re-export material.

Bulgaria has approved the law on investments in 1987 for up to 3 years, and it has implemented 5 industrial parks and 7 free areas where are conducted re-export, production, technology and financial activities. Tax exemption for investors has been applied for a period of 5 years. All imported goods, entering in the free zone and having purpose: producing, storing and packing for export are exempt from VAT and customs duties.

Free zones creation has attracted high-level investments such as Hyundai Co., Daewoo Co., KIA Motors, CITCO, Schawartskopf, Henkel, Landmark Chemicals Ltd., Schneider Group, BINDL Energic Systeme GmbH. The condition for these investments is to be completed within 3 years.

Turkey has approved the law in 1985. There are created 21 free zones in order to increase investment in the pharmaceutical, textile, storage and electronics industries. Tax liberalization has been applied as a major advantage to investors, excluding 100% from profit tax, income tax, interest or dividend tax, exemption from customs duties on goods, equipment and machinery.

Greece has an early experience through the main ports of Thessaloniki, Piraeus, and Heraklio since the 1930s. The focus of this strategy consisted in approaching all merchant ships or not, their services in logistical expansion at the international level.

It includes a number of traditional cargo terminals, tools, basic repair ship, and warehaus space. In these areas has been applied the processing export system, exempt from all taxes.

Croatia has applied 15 free zones in 1996, in approaching foreign investments and enhancing the welfare by offering jobs in less developed countries. Investors are exempt from profit tax for 5 years, while for the users is applied a 50% discount on the profit tax. In Croatia according to the law, are defined the specific criteria in each concessional contract, between Investor and the Ministry of Economy. Also infrastructure investments are foreseen separately to be fairly proportionate to central and local government. The investor who develops the free zone, participate in the infrastructure investment, is excluded from the profit tax for 5 years, as well to the user is applied the reduce of 50% of the profit tax.

Montenegro has approved the law since 2004. It consists in relying on the approach of foreign investors, opening new jobs and making the competitive country in the Balkans. No deadlines or fiscal incentives have been set up and no regulation has been adopted for the establishment of economic zones and there is no strategic territorial and technical-economic plan. It has been created, only, the Bar Area with a surface of 200 hectares.

Macedonia has approved the law since 1999. There are created three free economic zones in Tetovo, Stip and Skopje. The main goals of political initiatives have been: economic development, introduction of advanced technology and promotion the foreign investors.

Macedonia has offered large fiscal incentives for free zones. Among other things, the activity in the free zone pays ZERO profit tax, 50% personal income tax, ZERO construction tax, and ZERO cost for water, energy, and gas. The deadline for rent the land is 50 years, renewable for other 25 years. Within the free zone the services are exempt from taxes.

Serbia has approved the law since 1994. There have been applied 13 free zones. The political purpose continues to be, the encouragement of foreign investors in the country as well as the increase in the number of employees. The most sensitive sectors in these areas are: clothing, materials and packaging. Macedonia offers tax cuts but not their removal. Her strategy is focused on reducing bureaucratic procedures and an active duty-free processing system.

Macedonia has offered many fiscal advantages from these countries, but also reduced procedural bureaucracy and is regarded as the most competitive country in the Balkans regarding the free zone incentives. While other countries offer natural advantages such as geographic position, and political stability.

Free zones in Albania

The law for Free Zones was drafted at the beginning of the transitional period in 1991. His approval was reached on 15 February 1996, with a new look for the country's economy. That was qualified as the engine of economic development, and this law was based on the goal of general economic development and in particular with the growth of employment.

Law no. 8072, dated 15.02.1996, was replaced by Law no. **8636, dt.6.7.2000**, a law generally improved in the sense of promoting nature, since, among other things, excluded investors for 10 years from the profit tax.

The promotion of this law at international business roundtables has turned into a media outlet that was very important to foreign investors, who showed a special interest. This brought in Albania a large number of the big world businesses of American, Italian, Turkish, Greek etc. The European Bank for Reconstruction and Development was present in the

conception of free-area in the country. But this conception had the next hurdle. Changes to this law in parliament, no later than six months, made controversial the sustainability political balance in the service of safe investments.

The Article 18, point 3, which excluded 10 years of business from the profit tax, was canceled. The "Free Zone Operation Regulation" was approved in December 2003, which did not give a result, so it did not work. Following the reforms of new governance after 2005 and concretely in 2007, the Law on the Establishment and Functioning of Economic Zones was amended by law no. 9789 date 19.07.2007.

Independent economic institutions are an important tool for converting political indicators into economic and social indicators, The creation of the National Free Zone Entity, was considered to be abolished, as a legal entity, which did not have a development impact on country versus developing policies for free zones up to job vacancies.

During 2015, was created the Economic Zone Department in the Ministry of Tourism of Economic Development, Trade and Entrepreneurship, in the Directorate of Public Property Administration. The mission of this sector is the implementation of the rule of law, which has his mission, to create an attractive business environment for foreign investors and local enterprises, in function of the economic growth of the country, also the establishment and improvement of the legal basis for reactivating existing economic zones and to create new economic zones as well as their functioning, supervision and monitoring.

It began a remarkable work on the concentration of foreign investors in Economic Zones in Albania from this year. This includes many advantages.

The improvements in law have been and are always necessary, but sometimes spoil the balance of sustainability. However, the following changes are very positive with Law no. 54/2015 that consisted in the procedures of obtaining licenses in a very short time, within 15 days, as well as the deepening of fiscal facilities, following the amendment of the relevant regulation in early 2016.

Advantages

The advantages offered by economic zones are closely related to their type. The policies of their creation are encouraging and characterized by the advantages that they offer. As mentioned above, different countries use different indicative indicators for attracting investors.

The increase of incomes from abroad is the primary economic element that offers the growth of money circulation in the country. Also, the employment and training of the labor force is the primary social element offered by the respective policies. Above I mentioned some of the advantages offered by Balkan countries for investors in free zones. A multi-mix strategy of political treatment of new investors in free zones or in the facilitated sectors has been created from a fiscal and procedural point of view in our country. Recent changes of the law provided more advantages in terms of economic zones, also significantly increasing the political concentration in promoting this law and approve of concrete free zones.

Today, the economic Zones in Albania offer a comprehensive political and fiscal support, not only lower facilities and taxes, but also in terms of functioning and logistical. Among the static advantages that our country offers, as a connecting bridge between Eastern Europe and the Balkans, were joined by several other fiscal elements as follows:

Users and developers are exempt from paying 50 percent of the tax rate for the first 5 years, when they start their activity in that area;

Users and developers that invest in the free zone, within 3 years from the date of starting the economic activity in area, are recognized as deductible tax expenses 20 percent of annual capital expenditures, regardless of amortization amounts, according to the law for income tax, for a 2-year period;

The supply of Albanian goods destined to be placed in the area is considered to be a supply of zero scale export, in accordance with the provisions of the Law on Value Added Tax and Customs Law;

The developer's project is excluded from infrastructure tax;

Buildings in this area, according to the developer's project, are exempted from the property tax for a period of five years;

Users of developers of the area are exempt from taxes on the property transfere tax;

Expenditures of salaries, social and health contributions that are paid by the employer are recognized at 150 percent of the value during the first fiscal year of the activity. In the following years, additional wage costs, in relation to the previous year, are recognized as expenses at 150 per cent of the value;

Employee training costs in technology and economic development areas, are recognized as expenses with double value for the tax period for 10 years from the beginning of the economic activity;

Expenditure on research and development is recognized as a double-digit expense, for a period of 10 years from the beginning of the economic activity.

Restrictions

Fiscal facilities offer an international competition for fiscal treatment. For this reason, many countries apply restrictions to maintain the parameters of their economic and financial indicators.

In some countries, the criteria for investors in free zones determine the type of company for legal liability. It means that who does not belong to that responsibility, should be subject to change the commercial liability, or to register the company according to the defined criteria;

Sometimes we see restrictions of the activity in free zones through branches or in foreign companies that are often encountered. These restrictions, is more related to the image of the company and creating consolidated financial systems controlled and supervised than create an additional cost for entrepreneurs, increases the legal responsibility to the administration by distributing it in some levels of supervision, and preventing threats to potential threats. But in the case of branches and affiliates as a restriction, the primary purpose is the origin of capital and the second purpose profit distribution;

Investor's transactions that are located in free zones, are bound to co-operate only with free zone operators inside or outside the country in order to benefit from the advantages of fiscal treatment. This limitation offers a static attitude of the entrepreneur. Flexibility is related to the additional fiscal cost and other legal norms;

Restriction of foreign ownership in the company's capital is another limitation applied to the treatment of free zones. These are cases of developed and industrial countries that do not liberalize capitals but offer supportive policies for their citizens by combining know-how values with financial ones of new investments;

Determining the boundaries of the invastation is a criterion used by all applying countries in the free zones;

The obligation to continue the activity through resident companies of the product or service in the country where they operate. Other constraints inhibit companies with high development potential. But they help to distribute the welfare of some operators simultaneously;

For countries that do not enjoy free movement, it is foreseen the number of visas for foreigners work, in order to use the labor force in the country.

As well as compiling the characteristics of free zone treatment policies, we take consider both of them: benefit and cost analysis. After that we see the balance of interest of the sole purpose of their profit.

In our case, it is clear that the line and legal infrastructure has been reached after a nearly 20 years of a qualitative, but not administrative, quality in the framework of planning, monitoring, and financial oversight.

Investments and Employment in Free Zones

In Albania, have been announced 9 economic zones, of which 8 are industrial parks and 1 free zone. The table below shows the relevant data per year, the value of the investment and the number of employees applied to obtaining the rights. The investment for all these projects presented against the guarantees issued for the expected investment results to be zero. Consequently, the contract criteria have not been fulfilled for the number of employees, and other income related to taxes and tariffs.

Big names in the business world are contracted as investiture, referred to countries with high reliability from the features, representing serious view, based on guarantees and experiences which are proven before the sign of the contracts. Even this, the investments have not been yet realized and employment is not reached from these companies. It is further

understood that the lack of tax revenues for years could have arisen from these investments, including employment, caused damage and other economic development opportunities.

| | Type | Place | Year | Legal Basis | Surface. ha | Investor | Origin of investor | Activity | Value of investment Eur | Nr of employment | Today status | Completed investment |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------|------------------------|------|------------------------------|-------------|----------------------------------------------------------------------------------------|----------------------|-----------------------------------------------------------------------------|-------------------------|------------------|-----------------------------------|----------------------|
| The lack of investor seriousness and the lack of legal ownership do not present any cause for not penalizing until the cancellation of these contracts and the opening of new competitions with well-proven strategies in these areas. There is a good zonal distribution spreading south and north of the country. The decision for the present challenges on these issues has not been taken. The key factor remains the change every 4 year of the government or the political parties in government | | | | | | | | | | | | |
| 1 | PI | Koplik, Malesi e Madhe | 2008 | VKM nr. 12, date 4.01.2008 | 61 | "Industrial and commercial areas Koplik" shpk | Italian | manufacturing confection, trade and services | 16,519,539 | 16,374 | contract breakdown | 0 |
| 2 | PI | Lezhe | 2008 | VKM nr. 11, date 04.01.2008 | 3.2 | "ATX-Internazionale" shpk | German | production light and processing industry | 17,054,152 | 3,000 | contract breakdown | 0 |
| 3 | PI | Vlore | 2008 | VKM nr. 774, date 04.06.2008 | 125 | "IDEA VLORA" | Albanian | Commerce, logistics services, manufacturing | 20,819,797 | 16,586 | contract breakdown | 0 |
| 4 | PI | Elbasan | 2008 | VKM nr. 776, date 04.06.2008 | 254.7 | Without information | | | | | repealed | 0 |
| 5 | PI | Spitalle, Dumes | 2008 | VKM nr. 391, date 21.02.2008 | 850 | Repealed | | | | | 0 | |
| 6 | ZL | Vlore | 2009 | VKM nr. 628, date 11.06.2009 | 478.1 | Zumax AG | Switzerland | container port | 1,200,000,000 | 10,000 | renegotiate contracts | 0 |
| 7 | PI | Shkoder | 2008 | VKM nr. 775, dt.04.06.2008 | 137 | lack of offer | | Commerce, industry, manufacturing and services | lack of offer | lack of offer | repealed | 0 |
| 8 | PI | Lezhe | 2009 | VKM nr. 81, dt.27.01.2009 | 54.3 | The hall Lezhe | Albanian | Commerce, industry, manufacturing and services | Without information | | repealed | 0 |
| 9 | PI | Laknas, Tirane | 2009 | VKM nr. 790, date 22.07.2009 | 9.48 | Mane TCI | Albanian | Commerce, industry and services | Without information | | negotiation for surface expansion | 0 |
| 10 | PI | Rrushbull, Dumes | 2012 | VKM nr. 105, date 9.2.2001 | 16.52 | environment | Italian and Albanian | Commerce, industry, manufacturing and services | 13,000,000 | | revocation phase of VKM | 0 |
| 11 | PI | Spitalle, Dumes | 2016 | VKM nr. 262, date 06.04.2016 | 199.7 | "Zhejiang Haileng Investment Co., Ltd" dhe "Beijing Dongnan Tongbao Technology Co.Ltd" | Chinesse | Manufacturing, industry and processing of food products, trade and services | 1,400,000,000 | 90,000 | In process of investment | 0 |
| TOTAL INVESTMENT | | | | | | | | | | | ZERO | |
| TOTAL EMPLOYMENT | | | | | | | | | | | ZERO | |

* VKM - The decision of the Council of Ministers

FASON Package

In 2013, in Albania, the Free Zone bundles were considered a failure of the past. Afterwards, the thought was related a special package with multiple facilities for entrepreneurship that were active in production under the active processing regime. The performance of the sector was quite problematic, where the entrepreneurs themselves often through conferences were directed to governance with multiple requests to be considered for them.

Export values from 2009 (47.72%) compared to 2013 (29.45%) have been down, while opportunities to increase production and exports were high, based on the advantages that the country offers as low production costs and logistics.

The initiatives that were taken by the government:

Procedures and symbolic tariffs 1 Euro were defined for land or building services for investors in the fason sector;

There were applied custom's administration facilities, allowing service delivery even after official working hours;

The procedure for obtaining authorization was simplified and the time limits were reduced;

The VAT reimbursement procedure was simplified by making reimbursement within 30 days and without control by allowing increased liquidity of operators in this sector;

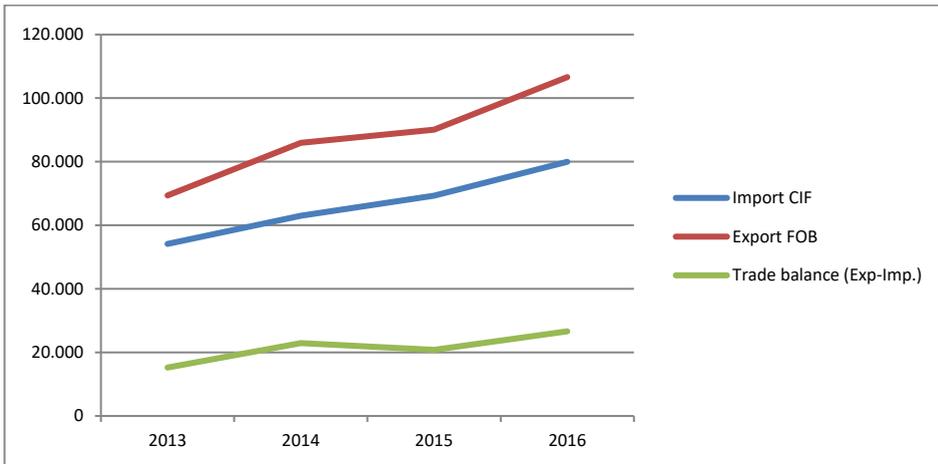
Online registration for any legal act obligation on the company's at the National Registration Center and activation of the registration within 8 hours;

The ability to retrieve the online extract of the company;
 Reimbursement of VAT on fuel without the need for certification by the responsible institution;
 The possibility of instant verification with 1 Euro for those who apply and meet the criteria;
 Grants from the Investment Development Agency;
 The only window for mediation in the service of solving the problems of the sector;
 Promoting them at international fairs and other forms of indirect action;
 The right to apply for a three month trial period training without payment of contributions;
 Grants for each new employee, up to one year unpaid contributions and 4 salaries paid by the state;
 Funding up to 70% of training costs;
 Low-interest financing through agreements with KFW or Italian Cooperations up to € 39 million for technology line;
 Exclusion of VAT to purchase the machinery and equipment;

Other facilities to consider are:

Taking a “FASON” card which serves for customs, taxes and police checks. With this card it becomes easier to introduce in service at any desk;
 Withdrawing the profit tax for “FASON” which declaring that they do not want to benefit from funding schemes or grants in employment. (Equality between those who benefit and those who do not benefit and the reduction of corruption for access to funds in case of existence);
 Eliminating the bureaucratic barriers, and replacing it with the FASON card;
 Creating a Register of Trainees in the FASON system according to the type of training and deadlines;
 Creating Clusters Economy, where in a given area are created closed cycles of production of a final product;
 Collaboration with the same customer, logistical cooperation and a reduction of the respective costs also in terms of marketing and more;
 Creation the professional centers for training and technical assistance for the sector.
 After setting up this package, this industry started with big steps. This made almost doubling exports and increasing employment from 28.058 to 100,000 after 3 years. The table below shows the trade balance in the textile and shoe sector, which are the most influential.

| million ALL | 2013 | 2014 | 2015 | 2016 |
|--------------------------|--------|--------|--------|---------|
| Import CIF | 54,130 | 63,004 | 69,300 | 79,971 |
| Export FOB | 69,374 | 85,936 | 90,091 | 106,608 |
| Trade balance (Exp-Imp.) | 15,244 | 22,932 | 20,791 | 26,637 |



* The data was taken from INSTAT

This graphic shows Import (CIF), Exports (FOB) and Trade Balance in the Textile and Footwear sector in Albania during 2013-2016 in million ALL. It is not including the leather sector which has a positive impact, further increasing the result in this sector.

* 1 Eur is eq. to circa 134 leke.

Conclusions

The strategy of free zones development in Albania was not mature for 2008. There was a great lack of laws to guarantee the investor's security and the solving of the property problem, which are now reduced and improved through the adoption of the law 55/2015 "On Strategic Investment on the Republic of Albania" and Law 93/2015 "On Tourism".

A long-term technological development strategy for the minimum of 10 years is needed in the service of political stability and the provision of a serious image for serious investors in Albania.

There should be a study of the creation of free zones with current investors, where the investment has not started. Also to offer PPP opportunities, or two-party solution with special contracts against the exemption from any payments for the years of investment, by approving in silence any necessary or other permits.

The decision to cancel the contracts must be taken, for unrealized investments for the contractors, who didnt reach the investment conditions not because of state barriers.

Focus on the criteria of free zones in the CLUSTER- economies, where investors operate as complementary to each other until the final product is met.

The development effects are more vulnerable and effective to smaller economies through policies focused on small and medium-size investors, such as the FASON system.

Entrepreneurs needs more facilitation on procedures than economic one.

Bureaucrats remain the strongest enemy of investors

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Relationship Between the Socio-Educational Context and the Cognitive Performance Based on the WISC-IV Index Scores

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Abstract

Background: National and international studies attach special importance to the shared social and educational environment as an explanatory variable for intellectual performance in psychometric tests. Objective: To analyse the relationship between maternal education, number of books available at home, school starting age and extracurricular activities -as variables to measure socioeconomic, educational and environmental level- with WISC-IV level cognitive production. Method: A survey was implemented to 154 children, aged 6 to 12, who attend public schools² in the city of San Luis (Argentina). This sociodemographic survey was designed *ad hoc* and was implemented together with the Argentine version of the Wechsler Intelligence Scale for Children. ANOVA and Student's *t*-Tests were used to analyse the differences between the variables proposed from the data obtained and WISC-IV. Results: Associations were found between mothers' educational level and their children's Verbal Comprehension Production, Perceptual Reasoning, Working Memory and total IQ. In addition, significant differences were found between number of books available at home, school starting age, extracurricular activities and some WISC-IV index scores. Conclusion: the need to acknowledge the socio-environmental factors to develop a proper interpretation of the test production is ratified. In this context, an extended and integrated diagnostic device is proposed as a means to capture the complex scheme that emerges from the combination of capacities consolidated thanks to the stimulation provided by the environment and the development of specific abilities less influenced by environmental factors.

Keywords: intellectual capacity - WISC -IV – childhood – socio-educational context

Introduction

Latest generation conceptual matrices show that genetic programming requires environmental stimulation to complete the task started by the genome. When meeting others, neuronal circuits from the brain hemispheres evolve with the specificities that are then turned into the integration areas self-representation, the world around, constitutive systems of different cognitive abilities; as a consequence, ways of being and behaving with the animate and inanimate world are outlined (Gallese, 2011; Kandel, Schwartz y Jessell, 2001; Lecannelier, 2006; Sadurni, 2011).

From this perspective, human development, and particularly the evolution of cognitive functions is shaped as an open and complex organization, in an interplay with permanence and changes that accompany the evolutionary path, immersed in a specific time and contextual space, and influenced by them. Every intellectual potentiality and difficulty is developed in the crosslinking with the cultural and family environments. Recent studies give special importance to the shared environment, to parents' education, and mainly to the mother's, as some possible variables to account for children's intellectual development and school performance. (Labin, Brenlla y Taborda, 2015; Fuica, Lira, Alvarado, Araneda, Lillo, Miranda, Tenorio y Perez-Salas, 2014; Brenlla y Taborda, 2013). To disregard the fact already mentioned is detrimental both to

¹ CONICET stands for *Consejo Nacional de Investigaciones Científicas y Técnicas* (National Scientific and Technical Research Council), and it is the main organization in charge of the promotion of Science and Technology in Argentina.

² Public schools are part of the free public education and commonly include kindergarten, primary and secondary schools.

interpret the results obtained in psychometric tests and to advance health promotion programs (Fletcher-Janzen, 2010; Flanagan y Kaufman, 2006).

From this perspective, the research study in course focusses on the study of the potential influences of the stimulation received from the sociocultural environment in the interplay of crystallized and fluid abilities to solve the items in the Argentine version of the fourth edition of the Wechsler Intelligence Scale for Children (WISC-IV).

The author of the test defined intelligence as the individual's global capacity to behave with intention, think rationally and act in an effective way with his surroundings. The scale's fourth version takes into account the advances in psychometry, neurosciences and the "Hierarchy Theory of Intelligence" (CHC), developed from the proposals by Cattell, Horn and Carroll, in an attempt to introduce the differentiated evaluation of crystallized abilities –explored from the Verbal Comprehension Index–, of fluid reasoning processes –analysed from the Processing Speed, Working Memory and Perceptual Reasoning Index scores–; at the same time the test measures global intelligence in an accurate way. In Argentina, there are very few current bibliographic reports on the cognitive domains based on this psychometric instrument. There are studies developed only in Buenos Aires –both in Capital Federal and the surrounding areas (*conurbano bonaerense*). Consequently, it is worth expanding and replicating these studies in the rest of the country. The main purpose is to provide valid evidences for the analysis based on the test in different socio-educational contexts, following the guidelines provided by the *International Test Commission* in relation to the responsible use of psychological instruments.

Method

Participants

The sample was made up of 154 children, aged 6 to 12, and divided in groups according to their ages. The group had 89 boys and 65 girls, all of whom attend public schools in the city of San Luis (Argentina). Children and parents accepted to participate willingly; they were chosen using a purposive sampling method.

Instruments

I) Survey: it was designed *ad hoc* with the aim of exploring the maternal academic antecedents, children's previous school experiences, number of books available at home and the children's extracurricular activities. All the variables mentioned were taken as proxy indicators to measure socio-educational stimulation.

II) The Argentine version of the Wechsler Intelligence Scale for Children, Fourth Edition (WISC-IV) (Taborda, Barbenza y Brenlla, 2011). This instrument is administered individually and evaluates subject's global intelligence (FSIQ) through composite scores: Verbal Comprehension (VCI), Perceptual Reasoning (PRI), Working Memory (WMI) and Processing Speed (PSI).

Design and procedure

Once the educational institutions gave permission to carry out the study, parents and children were informed about the methodology of work. Those who decided to participate signed an informed consent. After that, the socio-demographic survey was administered to mothers and the complete version of WISC-IV was administered to children in two meetings. Then, the protocols were scored blind by two professionals.

A descriptive design was implemented together with a quantitative methodology. From the results obtained, tests for normality of distribution tests and variance homogeneity were applied, so as to ensure the proper use of normality tests in the variance analysis (ANOVA) and Student's t-test. In order to know if the variable maternal educational level has significant effects, the group was divided into three groups. The first group was made up of children whose mothers had incomplete primary or secondary schooling (less than 12 years of education). The second group was made by subjects whose mothers had 12 years of education, which means they have finished secondary school. The third group was made up of children whose mothers have been to University or to a tertiary level institution (more than 12 years of education). The variable books at home was computerized into two groups; group 1: 1-25 books and group 2: more than 26 books. The variable extracurricular activities was also taken into account. In relation to the variable school starting age, the first group was formed by children who started maternal education at the age of 1, 2 or 3; while in the second group children started school at the age of 4 or 5.

Results

Variance analysis showed significant differences between maternal educational level and the VIC measures [F (2;149) = 14.92; $p = .000$]; PRI [F (2;149) = 7.88; $p = .001$]; WMI [F (2; 149) = 11.30; $p = .000$]; and FSIQ [F (2; 149) = 14.33; $p = .000$] but not for PSI [F (2; 149) = 1.74; $p = .169$]. *Post hoc* tests reveal that there are differences between the group of children whose mothers have a lower educational level and the groups of children whose mothers have 12 or more years of education. The association between number of books at home and WISC-IV scores has a significant impact on mean scores PRI [$t(2.32) = .007$; $p = .021$], WMI [$t(2.23) = .152$; $p = .027$], and FSIQ [$t(2.36) = .529$; $p = .020$]. Similarly, the analysis of differences in WISC-IV mean scores in relation to the beginning of early childhood education showed differences in the groups studied only in FSIQ [group 1: $M = 97.50$, $SD = 11.39$; group 2: $M = 92.69$, $DE = 12.62$; $t(2.1) = .503$; $p = .034$]. In relation to WISC-IV differences according to extracurricular activities, significant differences were recorded for the VCI measures [extracurricular activities: $M = 94.53$, $SD = 12.17$; subjects that do not do any extracurricular activities: $M = 89.19$, $SD = 12.28$; $t(2.50) = .686$; $p = .013$]; WMI [subjects that do extracurricular activities: $M = 100.10$, $SD = 11.80$; subjects that do not do any extracurricular activities: $M = 93.79$, $SD = 13.63$; $t(2.96) = .042$; $p = .004$], PSI [subjects that do extracurricular activities: $M = 102.07$, $SD = 12.28$; subjects that do not do any extracurricular activities: $M = 97.09$, $SD = 12.90$; $t(2.37) = .693$; $p = .019$] and FSIQ [subjects that do extracurricular activities: $M = 96.97$, $SD = 11.06$; subjects that do not do extracurricular activities: $M = 91.21$, $SD = 13.45$; $t(2.79) = .729$; $p = .006$].

Discussion

The purpose of this article is to analyse the differences in the performance of children in tasks that imply the use of crystallized and fluid abilities, according to the socio-educational conditions.

The results obtained show associations between maternal education level and their children's VCI, PRI, WMI and FSIQ. In this sense, significant differences were found between number of books at home and indexes VC, PR and FSIQ; significant differences were also found between most indexes and extracurricular activities. Differences were significant for FSIQ in relation to school starting age. These differences clearly blur in the other domains evaluated.

The data obtained show the impact of environmental variables in the consolidation of crystallized abilities and in the cognitive processes that imply the use of fluid reasoning domains such as attention, concentration, ability to maintain in the conscience information that is activity and can render results. Environmental variables also exert an influence on concept formation and recognition, perception of pattern relationships and understanding implications. On the other hand, in the processing speed tests that imply abilities to combine visual stimuli, non-related patterns or partially hidden patterns, production is homogeneous in the groups studied; so, it can be said that these activities depend very little on environmental stimuli. (Flanagan, 1998).

As a consequence, access to artistic, sports and cultural extracurricular activities and to a bigger number of verbal, perceptual and scientific stimuli provided by mothers with large academic training correlates with unequal access to socio-educational opportunities in the future. In this sense, there is evidence of the limitations to consolidate crystallized and fluid abilities reflected in the cultural transmission from generation to generation. What has been outlined above is congruent with several updated research studies that evidence the existence of a mutual codetermination between subjectivity, environment, sociohistorical context, genetic vulnerability and brain development (Rebollo, Carriquiry, Christophersen, y Rodriguez, 2010; Kandel, 2007).

From the perspective outlined above, the use of psychometric instruments is understood as a testing method that should be complemented with cross-sectional studies: qualitative interpretation, clinical analysis of results and study of recurrences throughout the whole clinical diagnosis and/or educational process. Therefore, the use of an extended and integrated diagnostic device is proposed, a device that takes into account the complexities and the relevance of psychological evaluation for a person's life. Extended diagnosis is the implementation of test-retest techniques so as to evaluate the symptoms evolution –after six months or a whole year of treatment, depending on the disturbance observed at the beginning– before delivering categorical diagnoses (Brenlla y Taborda, 2013).

In this sense, it is advisable to have a test taker that understands the child and the group he/she belongs to and the socio environmental factors surrounding him/her to develop a broader interpretation of the production registered in the WISC-IV. At the same time, the results show the importance of outlining public policies to bridge the current sociocultural gap through the design of specific stimulation programmes.

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Prerequisites for Customer Orientation

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Abstract

A highly competitive global market means numerous opportunities as well as numerous threats and challenges. Products become increasingly indistinguishable. Companies need therefore to develop concepts and strategies for relationships with their customer. For this purpose, a comprehensive consideration is necessary. The shift from transaction marketing to relation marketing already took place, and the focus is on the customer. Customer relationship management seems to provide possible solutions for competitive markets. The CRM hype is ongoing even though failing CRM implementation rates of up to 75 percent are reported. One of the success factors for CRM implementation is orientation toward the customer. Customer orientation requires various different measures like change management, cross functional collaboration, process management, employee commitment and the support as well as the encouragement from the owners or investors of a company. Internal marketing is necessary to convince employees to switch from functional to cross functional thinking. Customer orientation is a strategy, a journey and a long-term undertaking and requires continuous review and improvement. This paper provides a comprehensive insight on necessary factors for customer orientation.

Keywords: CRM, customer orientation, change management, cross functional, process management,

JEL Classification: L61, M10, M15, M31

1. Introduction

In a complex environment of changing markets, very fast technological advances, and in which most information is available for everyone at any time, it is increasingly difficult for companies to establish a sustainable relationship with customers. Companies struggle to build sustainable relationships with loyal customers (Bruhn, 2016, pp. 3-4). Increasing competition leads to shorter market cycles, especially in challenging market situations. Companies need to calculate higher costs for development of new products due to increased requirements from customers as well as the complexity of new technology. There is a big challenge to generate profits with more complex products with shorter product life cycles. Thus, all costs must be covered within a shorter period of time. Companies strive to gain profits with innovation of new products, but it becomes more difficult to be successful because markets are saturated and customers very often skip development steps of products (Keuper, 2010, p. 9). Increased customer requirements and greater competition have an impact on customer relationships. Supply overtakes demand and the wide range of similar products in a global market exacerbates the trend towards variety seeking. Hence, the customer is in a strong position now. Furthermore, the communication between seller and buyer is also changing, not in the least because of different distribution channels (Schimmel-Schloo, 2007, p. 33).

The behaviour of customers has changed as well over the years. Customers are more familiar with new technology and they use this technology for more transparency. Moreover, they intend to be more flexible and variety seeking is a common trend. Fewer change barriers exist and this also supports variety seeking. In addition, customers appreciate the convenience of easy procurement from home without restrictions on opening hours (Schneider, 2008, pp. 1-2).

Arguments mentioned before induce firms to build relationships with customers or even to achieve customer loyalty. The shift from transaction marketing to relationship marketing has already occurred. Transaction marketing puts the focus in most cases on the completion of the sale, whereas relationship marketing goes beyond one transaction (Schneider, 2008, p. 2).

The consideration of a customer relationship is often linked with monitoring the customer life cycle. Customer life cycle is a common marketing term which could lead to misunderstandings. In general, it explains the development of the customer relationship linked to a product. A termination of the relationship and thus the end of a customer life cycle means that the

customer is not interested in a product anymore and might change to a competitor or another product for various reason (Winters, 2014, p.18).

2. Customer Orientation

Customer orientation as such has existed very long, even though it was only established as a fix term in 1950. Organisations need to focus on the customer, in order to compete successfully on the market (Ose, 2011, p. 27).

Although the organisations understand the importance of customer orientation, sustainable success is often missing, because management focuses on single topics like complaint management or implementation of a CRM software instead of an integrated approach (Bruhn, 2016, p.1).

All companies have at least one thing in common. They all have customers and thus they are all customer oriented. Customer orientation is obligatory, otherwise companies could not succeed on a competitive market. But it must be made clear that there is not just one market. A large number of different customers exists. Those customers have needs and a segmentation according to their needs will help to generate profit (Winters, 2014, p.18).

Customer orientation is a common trend and is thus announced often in various corporate designs. Nonetheless, customer orientation programs frequently fail during the implementation phase. As a result, the project often ends up without impact on real measures (Bruhn, 2016, p. 16).

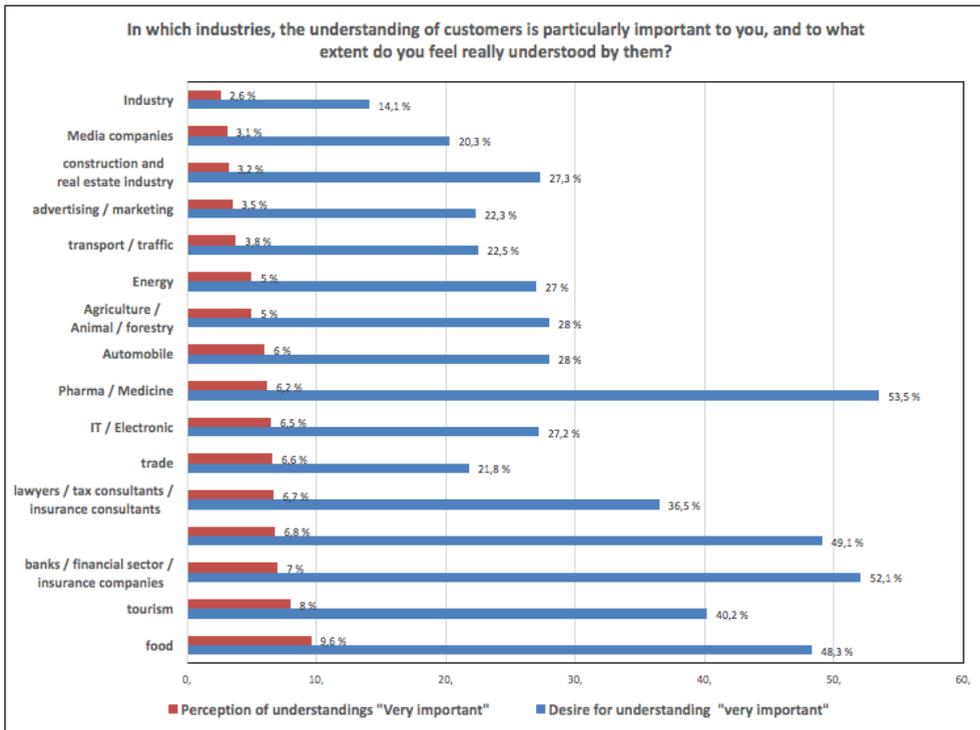
The terms market orientation, marketing concept or customer first can be subsumed under customer orientation. For a successful and sustainable implementation of a customer orientation program a concept has to be developed (Nwankwo, 1995, p. 6). For a structured approach, companies have to know their customers, as well as their behaviour and their needs. Consequently, companies strive to fulfil customer needs. Successful companies develop strategies, whereby the customers can influence companies' product innovation, service setup, and decision-making process (Nwankwo, 1995, p. 8).

The fulfilment of customer needs was recognised as a main requirement since the emergence of the marketing concept at 1950s and 1960s. It was recommended to concentrate more on the needs of the customer and that all activities should be streamlined towards the customer. (Utzig, 1997, p. 1). Even though customer orientation is desirable, it is not recommended to consider customer orientation in isolation. Efficiency of customer orientation as well as costs have to be taken into account (Schimmel-Schloo, 2007 p. 35).

It is necessary to emphasize that customer orientation and the focus on customer relationship methods is always associated with costs. Firms should therefore determine, whether it would be worth the effort. Financial and human resources are limited within an organization. Hence it is necessary to find a way to optimize the treatment of customers. A distinction between good and best customers provide an overview of the environment and the potentials. Transparency thus helps to develop strategies to treat customers according their potential revenues. Profitable relationship customers should get more recognition than occasional customers. Customer equity is the value for the company and this value should be balanced with customer value which defines the customer value from the customer's perspective (Huldi, 2007, pp. 110-111).

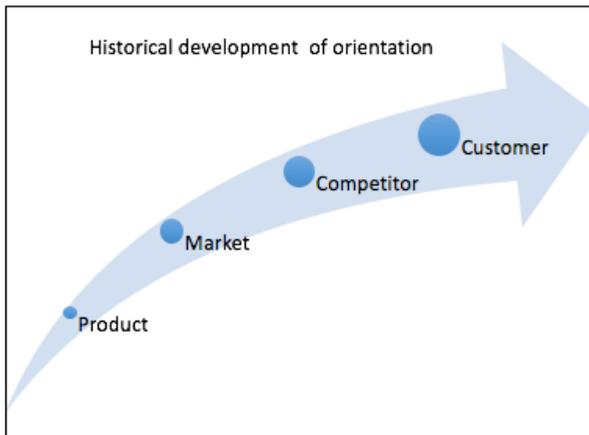
As soon as unprofitable customers are identified, there must be a process in place to deal with them. One possibility is to cut expenses by reducing individual services for unprofitable customers. Furthermore, it should be considered to charge expenses for delivered services, which will not be charged to profitable customers. A strategy could be to try to increase sales with not profitable customers or try to get at least some recommendations for new customers from them. Finally, the waiver of turnover with unprofitable customers also needs to be taken into consideration (Huldi, 2007, p. 112).

Following graphic shows the result of a customer survey (22.01.2016 – 05.02.2016) carried out in Austria.



Ref: Marketagent: Strategie Austria, Statista 2017, ID: 547256

The chart shows that there are considerable deviations in industries regarding customer expectations regarding customer care. From the customer's perspective the pharmaceutical, medical, finance and insurance industries as well as food and luxury food are industries where customer orientation is considered particularly important. Significant is the very small percentage of customers who feel well understood by companies across all industries. In a historical retrospective it can be demonstrated, that there were many changes regarding the orientation on the market. Companies therefore had to adapt to the requirements of the market over the last decades. In the 1950ies and 1960ies, there was a strong product orientation recognised. This was the time after the Second World War, and the demand exceeded supply. During this phase companies focused on production and on delivering according to demand. In the 1970ies there was a market orientation. The switch from seller to buyer market took place, and companies recognised that customers requested/expected/demanded different treatment. Also, different segments required different treatment. In the 1980ies there was the phase of competition orientation. Products became more and more comparable and the pressure from many competitors was bigger. Companies tried to work on their USP. In the 1990ies the phase of customer orientation started, where the customer requested individual treatment and companies identified the need of flexible reaction based on the demands of the customer. (Bruhn, 2016, pp. 4-6)



Adapted from Bruhn, 2016, pp. 7-8

The historical development shows furthermore the move from transaction marketing to relationship marketing over time. Companies were forced to rethink their strategies. Successful companies put the customer and his requirements first and not the product (Bruhn, 2016, pp. 7-8).

CRM could be one possible approach to support customer orientation. CRM promotes the optimizing of processes towards the customer and supports balancing and covering costs. CRM fosters the success of customer loyalty. All possible contact points with the customer must be transparent and available for all stakeholders within the company. All communication channels are then consolidated and as such are also transparent. Segmentation is a big task within a CRM project and thus also supports active customer orientation. Furthermore, CRM initiates segmentation of customers for different treatment of profitable customers and low-return customers. (Schimmel-Schloo, 2007 p. 34)

2.1 Customer Segmentation

Customers might be interested in a relationship with a company, because they trust the quality or service or they just focus on the cheapest price. Transaction customers are not interested in a relationship and can be easily identified by evaluation of buying behaviours from the past. Purchases made mainly within discount time frames are the main characteristic of transaction customers. (Newell, 2000, pp. 38-40)

Analysis prove that Pareto's law is right. According to Pareto's law, 20 % of the customers (from one company) deliver 80 % of its revenues. This insight suggests installing different treatment for different customers. Especially profitable customers should get more attention and consideration, whereas the support for not profitable customers should be reduced to a minimum. After thorough analyses it might even be necessary to get rid of unprofitable customers (Newell, 2000, pp. 41-42).

Customer orientation is often linked to customer loyalty. Suppliers of CRM solutions claim that loyal customers are more profitable, because they deliver reference customers, they are less price sensitive and the treatment of loyal customers is cheaper than acquiring new ones. Unfortunately, it seems that this is very often not the case and companies should carefully check whether loyal customers are really profitable. A suggestion here is to differentiate between profitable loyal customers and others in their loyalty programs. The reason for a consideration of customers in regards to loyalty as well as profitability is the assumption that the connection between loyalty and profit is not as strong as companies believed. According to this finding, it turned out, that the stronger support for loyal customers is expensive and even loyal customers tend to buy goods from a competitor if a higher reduction in prices, rebates and discounts is possible. One method to differentiate customers is via the RFM method. RFM stands for recency, frequency and monetary value analysis. Recency describes customer purchases within the last 6, 12 and more than 12 months. Frequency evaluates how often customers bought in each of the three timeframes. Scores for recency and frequency are added together. The higher the overall score is, the higher the customer is ranked. Thus, a segmentation can be made (Reinartz, Kumar, 2002, pp. 4-7).

Another possibility to make a customer segmentation is to assign a customer to one of the four categories: Strangers, Butterflies, True friends or Barnacles. Strangers are a group of customers who are not loyal and not profitable. Therefore, it is not recommended to invest in them. Butterflies describes customers who are also not loyal but compared to Strangers profitable. The recommendation is here to benefit from them as long as possible, because they will only stay for a short period. The third group are True Friends. This customer group seems to be loyal and profitable. The last group are Barnacles. Those customers are very loyal but not very profitable. Recommendation is here to monitor those customers and try to improve their performance (Reinartz, Kumar, 2002 pp. 9- 10).

Customers should not be reviewed only with regard to their profitability and loyalty. A total consideration is necessary for successful companies. It is necessary to support and handle customers according to their profit and their loyalty – the whole picture is necessary (Reinartz, Kumar, 2002 p. 11).

2.2 Change Management

Whenever processes within an organization have to be changed, people are involved and their commitment is required to achieve the goals. Change management is a tool to support employees and prepare them for upcoming difficulties and challenges that may arise because of necessary changes (Schwarz, 2010, 509).

In times of changing and global markets with increased individual requirements, companies need to adapt quickly to upcoming trends. Rapid adjustment requires active participation from management as well as employees. Already established processes need to be adjusted. As an example, the involvement of E-Commerce into already existing systems is creating new efforts and changes within the company are necessary. Changes in the market as well as in customer needs require changes within companies. Existing behaviour of employees and management must be analysed and adjusted. Managers have to change their focus from lean management to a customer oriented future design (Künzel, 2002, pp. 5-8). A structured change management is thus necessary for existing challenges (Künzel, 2002, p. 9).

Business Process Reengineering (BPR) is one of several approaches of change management models. It was first mentioned in 1984. In this approach a new kind of process review is foreseen. Processes are reviewed cross functionally. Processes are analysed and question the value for the customer. Customer orientation is the main focus. As a consequence, processes need to be adjusted, outsourced or stopped (Künzel, 2002, pp. 12-13).

2.3 Leadership / Management

Leaders of a company are in charge to implement the vision of a company. Furthermore, leaders define the goals of its company and ensure that necessary resources are available to achieve the targets. Whenever changes on the market arise, and changes in customer needs are apparent, leaders have to react immediately to secure future growth of a company. Continuous review of progress based on the plan and taking immediate action if required is a main task of a manager. A customer orientation strategy of a company must be defined by top management. Successful implementation is only possible, if set up with top-down method. Leaders need to foster employees to see the potential coming from customers. Information and feedback from customers has to be seen as opportunity for a company. This behaviour enables the company to react quickly on the market and thus remain competitive. Involvement from leaders can help improve, for example, dealing with complaints and encourage employees to participate in the learning process. This behaviour ensures employees of top management's support (Gent, Kempster, 2002, pp. 64 – 65).

Customer interests can be integrated proactively or reactively into decision mechanisms of a company. Proactively involving employees, because they are the touch point at point of sale. Management is encouraged to motivate their employees. Motivated employees provide benefit to the customer orientation program. Those employees should have/receive power and competences to solve problems quickly. An environment should be generated in which anticipating complaints and working on solutions instead of fire-fighting is desired. A natural reaction on complaints is usually a defensive behaviour of employees. Acting reactively means that customers do not get the necessary attention upfront. Another example for reactive management is to copy possible solutions for quick conflict handling from other organizations (Nwankwo, 1995, pp. 9-10).

The way companies are implementing and monitoring customer goals in their planning is unsatisfactory. The goals of an integrated customer strategy should be clear. In this regard the status quo of performance shall be evaluated. A permanent monitoring of the customer orientation, the development and the goals should be done. Furthermore, it is necessary to take measures for better tracking of the progress. Formal as well as informal measuring techniques can be carried out. Formal measurements are the monitoring of sales volume, profits or complaint analysis. Informal measuring is done, if standards

are available, or standards exist, but not specified and can therefore not be measured (Nwankwo, 1995, pp. 10-11).

2.4 Mission / Vision / Culture

In times of change, moving targets and dynamic markets, a corporate vision may be helpful to stick to the goals. Frequent changes of the corporate vision should be avoided. Employees are frustrated if the corporate vision is obsolete following the change of management. SMEs can be used as models for long term goals, because their vision is designed for a long term without changes based on periodical trends (Künzel, 2002, p. 156).

The corporate mission statement describes principles of conduct and values of the company. Furthermore, it defines the customer orientation and how to deal with customers. This should help to create a team culture within the organisation (Hanning, Krumm 2010, p. 479).

A genuine mission statement is necessary to succeed in customer orientation. Printing posters with a mission explaining the importance of employees and being the greatest asset of a company is not enough. Top manager are responsible to walk their talk. It is insufficient to provide with rules, strategies and missions. In fact, all managers need to work as role models and support wherever possible to put all that into practice. Otherwise employees will not take it seriously. As a consequence, a gap will arise between the promised service to the customer and the delivered service. Managers should strive to build bridges between mission statement and service delivery (Pulse, Craven, 2002, pp. 75-76).

A corporate culture is identified on how employees and management collaborate, how they give and receive feedback, how they live a failure culture and how they deal with conflicts. Corporate culture is neither what is printed in bright colours on the walls of companies nor on posters in shops. Management should be aware that customers realize how employees collaborate and of course how they communicate internally and deal with other customers. In this regard, non-verbal behaviour shows more about the culture of a company than verbal behaviour. When customers feel that something is not coherent, they will reduce their buying activities as a consequence. Recurring trainings with employees could support resolving conflicts and improve the collaboration and appreciation between management and employees as well as among employees. Improvements here have immediate impact on customer care (Hanning, Krumm, 2010, p. 494).

Whenever there is a request for improvement of profit –the idea is quickly on the table to purchase a CRM software to solve problems. It is a valid method, but probably too early. The delivered outcome is then often not sufficient, because of the gap between the company strategy and the operative stage. Thus, employees get the feeling of pressure with the effect of undesired results. Motivated employees are more customer focused. They try to get input from customer. If employees are not familiar with the strategy of the company, they do not support the CRM strategy. The result is unsuccessful CRM projects (Winkelmann, 2007, p. 22-23).

2.5 Employees

Whenever customer orientation programs fail, the first reflex is to claim that employees do not fulfil the requirements for a successful implementation of customer orientation programs. For a successful participation of employees, it is necessary to set up an integrated approach, provide an adequate corporate culture upfront and appropriate processes. That means managers have to prepare an appropriate environment and this starts within the company (Bruhn, 2002, pp. 18-19).

Management of organizations show commitment towards employees and communicate the importance of employees for customer relationships, but employees are very often not involved in a CRM project. As a consequence, companies have to realize, that customer orientation is a joint task for all involved departments. In the past it was mainly the competence of the front office like marketing, sales, but findings show that all processes need to be aligned and managed synchronously with the aim of a greater external coherence. This approach is getting more attention because of developments due to multi-channel challenges (Schneider, 2008 pp. 4).

2.6 Processes

Customer orientation is a process that needs to be anchored across all departments of a company. This is often a change process. Within this process, employees need to be trained, motivated and instructed to be prepared for interaction with the customer. For a successful implementation of a customer orientation process, management needs to be aware that the endeavours require long-term planning. In parallel, it is necessary to monitor and permanently evaluate affected processes. Regular surveys with all customers can contribute to a successful journey (Michael Brendel, 2002, p.102).

Organizations need to rethink their corporate structure, because an orientation on the customer requires a fundamental

change of existing processes. Usually companies have a product orientated process design installed. An intensive analysis of corporate processes is compulsory and should be executed as one of the first steps of a change towards customer orientation. Consistent orientation towards the customer requires efficient processes that deliver value to the customer. For this purpose, it is necessary to start with the status quo. Business processes have to be analysed accordingly. Improvement of processes will adjust procedures within an organization. Thus, it will support a CRM strategy. The real objective is to develop corporate processes in regards of quality time and costs (Jaeck et al., 2007, p. 55-56).

A structured process for a process optimization can be described as follows:

2.6.1 Goal definition / organisation

First step should be a clear definition of the goal. A clear definition of the expected outcome of changed processes should be described. For an increase in customer satisfaction for example, a defined goal might be the reduction of processing times for customer requests or complaints (Jaeck et al., 2007, p. 57-58).

2.6.2 Process-selection and Process survey

Relevant processes must be identified, which will be analysed afterwards. For this purpose, only processes with direct impact on the customer should be taken into consideration (Jaeck et al., 2007, p. 58).

2.6.3 Evaluation of processes

All existing and also prospective customers and underlying processes must be analysed (Gaitanides et al., 1994, pp. 210-211). It is not possible to evaluate all company processes, because of time and resource constraints. Therefore, it is necessary to find a way to identify critical processes. One possible method is to examine critical processes toward the customer with appropriate questions (Hammer, Champy, 1994, pp. 159-162).

Problematic processes can be identified with surveys sent to customer. The idea is to check their satisfaction with various processes and to identify most important processes with direct impact on the customer. Critical processes are marked as important by customers and where customers are not satisfied (Jaeck et al., 2007, p. 59).

Prerequisite for a qualitative analysis of processes is either a detailed documentation of the processes or the support of experts within the company who are willing to contribute. Those people could be asked at an early stage and they should be invited to provide their expertise. This procedure will also motivate key people (Jaeck et al., 2007, p. 60).

2.6.4 Process design.

Transparency of processes is necessary and can be delivered with process mapping. This way it is possible to get an overview of relevant processes and identify possible improvements easily. Thus, duplication of work or media disruptions can be detected. A process mapping will also support a CRM implementation afterwards (Jaeck et al., 2007, p. 61).

2.6.5 Process analysis and improvement.

Processes can be evaluated differently. One possible method is to evaluate processes according results, such as profit. Even though results are of utmost importance, it is difficult to directly identify a specific process to the result. It is, for example, difficult to assign the impact of customer satisfaction to a specific process. A clear assignment from isolated processes to global processes is thus difficult. It is easier to evaluate process sequences or the structure of the organization and determine the impact on results (Kreysch 1999, p. 870). Improvements of processes have to be assessed with regard to effectivity and efficiency, because processes could be very lean and optimized, but may nonetheless not lead to the desired result. Customer relationship management may therefore focus on process efficiency and could be measured with customer satisfaction (Jaeck et al., 2007, p. 63).

Customer satisfaction can be measured with information gathered in direct communication with the customer. Open questions are supposed to deliver information about customer satisfaction, dissatisfaction in the past, as well as suggestions from customer about possible improvements in the future. Direct input from the customer has to get greater attention than internal analysis of processes. Hence, if customers are not satisfied with specific processes even though internal evaluation state the contrary, processes have to be improved (Rosenkranz, 2002, S97). The main goal of process improvement should always be in balance with upcoming costs. Improvement of customer satisfaction is important, but must be aligned with corporate benefits. At the end of the day it must be realized, that customer benefit is not a goal in itself, it is just a tool to improve the company profit (Jaeck et al., 2007, p. 65). None value-added processes are a waste of

time and should be avoided (Jaeck et al., 2007, p. 66).

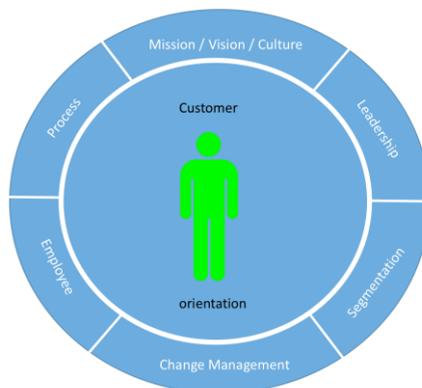
3. Conclusion

Customer orientation is a widely used term. Almost every company claims that customer orientation is a prerequisite for good business and satisfied customers. It is obvious that every company deals with customers, it is one thing every company has in common. Customer orientation is not a new invention, even though the term was first mentioned in 1950. What changed is that companies increasingly realised the importance of customer orientation in times of global and transparent markets, comparable products and intensified competition.

Companies believe that they are customer orientated, but reality appears rather different. Consequently, CRM projects are set up to improve profitability and failure rates of up to 75% show that there must be a big potential for improvement.

Through a literature review a tool-set of most important tasks was identified to support companies in their effort to be more customer oriented. A clear mission and vision is important in times of change, moving targets and dynamic goals. The definition of customer orientation needs to be clear. Everyone within the company has to know how to deal with the customer. Corporate culture reflects how the company deals with conflicts, what kind of failure culture is lived. Customers observe non-verbal communication and buy less if they think something is not coherent. Customer orientation needs a clear commitment from leaders in words and actions. Human resources and financial resources are limited and need a careful handling. Hence it is not possible to support all customers with the same effort, a concept for a differentiated treatment must be established. Whenever processes have to be changed within an organization, people are involved. Change management prepares employees for upcoming difficulties and challenges that may arise due to necessary changes. Employees of all involved departments need to collaborate for a joint objective, a greater external coherence. For the long-term endeavour customer orientation, training for employees should focus more on attitude than on skills. Employees should thus be encouraged to a commitment to customer service.

Finally, internal key processes have to be reviewed and evaluated whether they are delivering customer satisfaction. Established processes need to be adjusted consequently for customer satisfaction.



Source: own research.

Further research

With this findings, further investigations could be made to evaluate, whether companies are preparing according identified topics from this paper. In addition, correlation between failed CRM implementations and poor preparation on customer orientation upfront should be examined to provide further insights.

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Implementation of TQM in Small Private Universities: the Challenges of Leadership Management

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Abstract

The demands for quality standards in higher education are increasing due to competition as a result of internalization process of universities. The expectation for better performance in quality of teaching, academic research and other related activities is forcing universities leadership management to rethink their strategies. Approaching the philosophy of Total Quality Management (TQM) can lead leadership management of universities to desirable results regarding continues quality improvement in higher education. Besides successful applications of TQM in service sector, the implementation if TQM principle in Higher Education Institutes (HEIs) is still a matter of debate, many HEIs do not find the principles of TQM applicable in higher education System. This paper will examine whether the adoption of TQM by small private universities can lead to quality improvement both in academic and management level. The main objective of this study is to describe the role and attitude of leadership management on implementation of TQM at small private universities. As a case study the author will examine the approach of leadership management at Albanian private small universities.

Keywords: Higher education, TQM, quality standards, small universities leadership management

Introduction

Nowadays, the rapid development of technology has revolutionized global business. These changes in computer and communications technologies have made it possible for businesses to directly reach customers anywhere in the world. In the same time globalization as a dynamic process stimulates economic growth, improves product quality and has increased competition among business organizations. The traditional way of dealing with costumers, markets and workplaces is not enough for today's institutions and business organizations to succeed in this century. Many challenges face global business in the 21st century such as changing customer values and orientations, increase of global competitiveness, overpopulated society, political instability, environmental degradation, world poverty, educational problems and job creation [1]

Many business organizations, especially those who are in service sector such as higher educational institutions are trying to identify the challenges in the global market, regardless of their size and age they have to rethink their organizational processes and methods. To be successful in the 21st century all higher educational institutions have to be strongly customer focused. Understanding the customer needs and responding quickly to fulfil their changing needs and expectations is one of the Total Quality Management (TQM) basic approaches. TQM offers HEI's a method to understand what are ongoing process within institution and ways to improve quality education and institution overall performance [2]. For many HEI the process of implementing TQM means fundamental changes in organizational culture and in the leadership management strategy. The resistance of some units that are part of executive management regarding fundamental change in management philosophy is understandable when changes require a fundamental way of thinking. Therefore the role and the responsibility of leadership management is very important for successful implementation of TQM concepts by all parts organization.

The resistance regarding the implementation of TQM is stronger in higher educational institutions that have long institutional culture and in the essence are more decentralized in management power as result of their multi functional structure. [3]

Therefore TQM concepts might be more applicable and useful in small higher educational institutions because of their small and more centralized structure.

Before 1991 during the communism period participating to HEI was the right generally belonged only to a class of "elite people".

The collapse of communism in Albania has brought many radical changes in the educational system.

Already in the last 20 years, Albanian higher educational system was characterized by expanding, which means not only the large number of students who study at the university, but also to the opening and operation of private higher institutions.

One remarkable development is the emergence of different educational institutions in the private sector. University of New York Tirana was the first private HEI opened in 2002 till now there are 46 private higher educational institutions that have license from Albanian governments to show their activity in higher educational sector. Especially private small higher educational institutions in Albania generally have an enrolment of 750 to 2000 compare with public higher institutions that have the average of enrolment between 3,000 to 10,000. In terms of student's enrolment and organizational culture private HEI's are much younger and smaller than public HEI's.

The main objective of this study is to describe the role and attitude of leadership management on implementation of TQM at Albanian private small universities and identify the barriers faced by educational leadership to manage the quality of higher education at university level?

Literature Review

Today's students have more opportunities regarding selecting a appropriate university for their academic and professional development and they have the tendency to search for universities that provide a high quality of teaching, and the best student services along with affordable costs. They want to be sure when making important investment on their life such as choosing the right university for undergraduate studies. Therefore many HEI's are developing different management strategies in order to increase their organizational performance and quality in education .The use of TQM approach for leadership management of HEI's to improving the quality of education and other services they provide [4]. TQM is a management system that tries to integrate functional areas in an institution oriented towards increasing organizational performance and achievement by fulfilling customers needs based on continuous improvement philosophy [5] [6]

Therefore identification of the needs and expectations of customers is very important regarding success of TQM in HEI's. However most HEIs are unable to understand who the real costumers are because there are several potential groups that can be considered as customer in higher education such as inside group's which are academic and administrative staff and groups outside a HEI such as students, parents, and those potential customers generally have different needs and expectations [7] [8]

Besides all potential costumers students are considered as the most important costumers in higher education system [9]

It is very important to understand that the concepts of quality and customer needs are constantly in an interoperable and multi-functional connection based on changing trends and ongoing processes of development in society .This does not mean that we have to see students under the notion that customer is always right and definitely we should realize their demand [10]

Different methods of quality improvement are used under the umbrella of TQM such as continuous improvement benchmarking techniques, Balanced Scorecard method, Quality awards, Baldrige Framework and ISO standards [11] [12] [13]

TQM in higher education

It is very difficult to have single unique definition of quality in higher education, in addition there is no universal consensus on how is the appropriate strategy to assure and manage quality within higher education [14] Quality can be defined in terms of perfection, excellence, and value for money, fitness to purpose, or transformation [15]

The quality in education is defined as a multidimensional concept with different components .They suggest seven components of educational quality: (1) goal and speculation, (2) resource-input, (3) process, (4) satisfaction, (5) legitimacy, (6) absence of problems, and (7) organizational learning. [16]

According to some researchers the most important definitions of "quality" in higher educational system as the following:

Quality is fulfilling and exceeding customer needs.

Quality is everyone's job.

Quality is continuous improvement.

Quality is leadership.

Quality is human resource development.

Quality is in the system.

Quality is fear reduction.

Quality is recognition and reward.

Quality is teamwork.

Quality is measurement.

Quality is systematic problem solving. [17]

According one study done by Kanji and Tambi in U.K higher education system, 72.5% of proportion of HEI's in U.K defined quality as fitness for purpose, 25.5% of HEI's consider quality as meeting customers expectation ,this group has a institutional philosophy of TQM concepts. Furthermore they concluded that TQM philosophy is not widely accepted within U.K, most of HEI's are more interested in their institutional organizational experience and traditional measures of quality in higher education such as degrees, professional experience, authorship, and research activities [18] .

According to one study done in Albanian higher education system 80 % of professors of public universities in Albania are aware of successful performance of TQM in business organizations, however concerning the implementation of TQM in their HEI about 93% of professors said that public universities do not implement the managerial concept of TQM as institutional initiative, and only 7% said that TQM is implemented as an institutional initiative. TQM philosophy is not widely known in Albanian public universities [19].

Leadership Management in Higher Education

In education, leadership management is defined as "as responsible to be accountable for learning outcomes and measures of school improvement" [20]. Leadership management is seen as one of the key factors for the advancement of small private institutions. The role of the leadership management in small universities, is to increase the overall organizational performance by using all human resources effectively taking into consideration that small universities have a limited number of staff therefore recruiting and retaining the quality of staff is very important for the future of institution [21]

According to Deming the most famous quality management guru "94% of an organization's quality problems lies within the management organizational system, not with the working staff, emphasis should always focus on analyzing and improving the system rather than focusing on the individual" [5]

Equally important were the potential barriers to TQM the research uncovered:

Unsupportive, autocratic leadership; a faculty which is largely content with the status quo; a lack of adequate or appropriate training; insufficient time or resources for training and participation in TQM; and a lack of continuing commitment to the TQM process. (p. 30)

Gumbus in his study of community college presidents indicates a strong positive relationship between customer focus and product/service quality [22]

According to Bryman the characteristics of leadership at both departmental and institutional levels:

Providing direction

Creating a structure to support the direction

Fostering a supportive and collaborative environment

Establishing trustworthiness as a leader

Having personal integrity

Having credibility to act as a role model

Facilitating participation in decision-making; consultation

Providing communication about developments

Representing the department/institution to advance its cause(s) and networking on its behalf

Respecting existing culture while seeking to instill values through a vision for the department/institution

Protecting staff autonomy [23]

Research Design & Method

The study was qualitative in nature. The research was conducted on sample 125 full time and part time working staff in academic and administrative position at different five small private higher institutions in Albania; detailed information is shown at table 1. Total 127 completed questionnaires were received from out 200 distributed questionnaires to four different private university staff. Private universities were selected regarding their institutional age, accreditation and newly established status. The main objective of research was to understand the role of leadership management on promoting quality standards in higher education from the perspective of private universities staff. Head of departments, deans, chancellors, vice rectors and rector are considered as leadership management in HEI's. The questionnaire was developed on Likert five point scale and was focused on four areas: organizational climate, supervisory leadership, staff motivation, institutional loyalty. Gathered responses are transformed to SPSS 20 statistical program in order to descriptive analysis and to verify the study hypothesis.

The main research hypotheses were as below.

H1: The role of university leadership management in implementing TQM at university level is decisive.

Ho: The role of university leadership management in implementing TQM at university level is not decisive

H2: Organizational climate, supervisory leadership, staff motivation, institutional loyalty will be significant predictors of university leadership management effectiveness

H0: Organizational climate, supervisory leadership, staff motivation, institutional loyalty will not be significant predictors of university leadership management effectiveness

Table 1: Descriptive statistics for responders profile

| Please indicate your position at your university | | | | |
|--------------------------------------------------|-----------|---------|---------------|--------------------|
| | Frequency | Percent | Valid Percent | Cumulative Percent |
| Academic full-time | 59 | 46.5 | 46.5 | 46.5 |
| Academic part-time | 40 | 31.5 | 31.5 | 78.0 |
| Administrative Staff | 28 | 22.0 | 22.0 | 100.0 |
| Total | 127 | 100.0 | 100.0 | |

FINDINGS OF THE STUDY

Promoting quality standards in higher education has been the priority for leadership management of private universities in Albania. Descriptive statistics listed in table 2 support the views that leadership management at small universities is effective and has a decisive role on implementation of total quality managements

Table 2 Descriptive statistics for research areas

| | N | Mean | Std. Deviation |
|------------------------|-----|------|----------------|
| organizational climate | 127 | 4.58 | .556 |
| supervisory leadership | 126 | 4.51 | .701 |
| staff motivation | 127 | 4.54 | .664 |
| institutional loyalty | 127 | 4.69 | .530 |
| Valid N (listwise) | 126 | | |

Both null hypothesis were rejected, leadership management in small private universities plays a decisive role on implementation of quality standards in higher education specially by using methods of TQM. However there is not clear strategy or full implementation of TQM in higher education only some parts of TQM such as continuous improvement, Benchmarking and ISO standards are generally used by leadership management regarding quality assurance in higher education

Table 3: Components of TQM used in small private universities

| Universities | Which method of TQM is used in your institution |
|-------------------------------|-------------------------------------------------|
| European University of Tirana | Benchmarking, CIP, |
| Epoka University | Benchmarking, CIP, ISO Standards |
| American University of Tirana | CIP, ISO Standards |
| Beder University | Benchmarking, CIP, ISO in process |

According to majority of private university staff that completed the questioner, leadership managements plays an important on implementing quality standards under the umbrella of TQM

Conclusion and Recommendation

The traditional way of dealing with students, parents and other effective actors in higher education system is not enough for today's HEI's to succeed in this competitive environment. Where today's students have more opportunities regarding selecting an appropriate university for their academic and professional development and they have the tendency to search for universities that provide a high quality of teaching, and the finest student services along with an appropriate economic cost.

Albanian private universities that are focused on reaching quality standards by having a clear strategy on implementation of TQM at university level have many chances to successes regardless of competitive environment. Implementation of TQM philosophy in small HEI's requires a devoted leadership management who is capable of involving all academic and administrative staff of HEI's in process of implementation of TQM. Small institutions of higher education by their nature as new organization adaptable to changes with centralized authority of management have the tendency to benefit more from TQM comparing to other HEI's that does not fit to the definition of small universities. For many Albanian small private universities exist a suitable environment regarding quality assurance in higher education, the magic key that will open the door of success is doing the right thing in the beginning by implementing TQM and for this process the role of leadership management of HEI's is decisive.

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