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## Regional Integration in the Horn of Africa: Some Findings

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### Abstract

In the Horn of Africa there is a regional bloc that comprises eight countries namely Djibouti, Eritrea, Ethiopia, Kenya, Somalia, Sudan, South Sudan and Uganda. The appellation of the organisation is called IGAD (Intergovernmental Authority on Development). It was established in 1986, yet it could not bring a desired result. Even the least form of integration i.e. Free Trade Area (FTA) could not achieve. So that this paper will probe the challenges associated with the regional integration agenda of IGAD. This paper is an excerpt from a study conducted by the author regarding IGAD. Thus the paper will present the findings of the said study. The study used qualitative approach for data collection. Interview with IGAD officers has been conducted to know the cause for the failure of IGAD's integration process. IGAD lacks both financial and human capacity to fulfil its objectives, absence of regional institutions (such as Bank of IGAD) worsen the situation, emerging and subsequent security threats such as terrorism, pastoral conflict, tense relationship among member states, undermining of the informal trade remains the road block of regional integration.

**Keywords:** Regional Integration, Horn of Africa, Economic Growth, IGAD

### Introduction

This paper focuses on the findings that emerged from the data. It also discusses the themes that emerged from the interviews relating to regional integration in the IGAD region. The main purpose of this study is to probe mechanisms through which the IGAD regional integration programmes could be achieved and how these mechanisms could contribute towards the socio-economic growth of IGAD countries.

Specific objectives of this paper are as follows:

1. Explore the core socioeconomic and political challenges that hamper the regional integration agenda of IGAD,
2. Investigate the appropriate measures that could be taken by IGAD to remedy the situation and describe whether these actions address the organizational challenges of IGAD's regional integration endeavors,
3. Probe the best practices that IGAD might take from other regional groupings within or outside Africa.

In order to meet these objectives, the researchers interviewed IGAD officials in Addis Ababa and Djibouti. The researchers followed research ethics procedures and the interview was made with unreserved consent of the interviewees. The Headquarters of IGAD is in Djibouti while its peace and security branch is located in Addis Ababa. The interviews were conducted with five officers of IGAD. These officers have immense knowledge on the IGAD regional integration process. They are high profile individuals and were selected by the researcher for their potential to provide the requisite information.

**Table 1. Biographic data of respondents**

Name	Age	Qualification	Position in IGAD	Country
Andrew	38	MA: economics	Director: Division of economic cooperation and social development	Uganda
Hussein	49	MSc: IT, Diploma In library science	Director: Information, documentation & knowledge mgt division	Djibouti

Johannes	54	MA: economics	Head: Transport and communications	Sudan
Kendrick	45	MA: Infrastructure development	Director: Infrastructure development division	Kenya
Trevor	48	MA: conflict resolution	Director: Security Sector Programme (ISSP)	Ethiopia

The data were captured between the time of April 18 to June 10, 2016 in Djibouti and Addis Ababa. After analyzing of the data, the following themes and sub-themes as shown in Table 2 below emerged:

**Table 2. Emerging Themes**

Main themes	Sub themes
1. Factors related to Capacity building within IGAD	1.1. Financial capacity 1.2. Dependency on donor funds
2. Lack of feasible infrastructure in the region	
3. Harmonisation of policies	3.1. Bilateral agreements
4. Challenges of free movement of people	4.1. One stop border post 4.2. People to people interaction
5. Effects of political factors on regional integration	5.1. Lack of political will and commitment 5.2. Coinciding membership
6. Lack of peace and security	6.1. Terrorism

### 1. Factors related to capacity

Capacity refers to the ability of achieving projects with adequate human and financial means.

In this regard, Andrew (Participant 1) stated the following:

*"IGAD has the potential of becoming one of the best organizations in Africa should it adhere to all its policies that it has adopted since its inception."*

Kendrick (participant 2) also supported the views of Andrew and said that IGAD had capacity challenges associated with the structure. The structure of IGAD has never changed since its inception. It is so archaic that it hinders the organisation from moving forward. In line with this, Dan (2010) wrote that the secretariat's ability is highly restricted by a top down decision making structure. The Assembly of the Heads of state is the ultimate decision making organ and this hinders a participatory method of decision making.

Kendrick continued by saying that the organization does not have a clear programme on how to deal with disasters such as drought in the Horn of Africa. In this vein, Abdi & Seid (2013) indicated that member state countries should strive to act closely based on what type of regional integration or cooperation would achieve specific objectives of the organization.

In addition, Kendrick said that:

*"Subsequent trainings have been offered. Project management, monitoring and evaluation training is given to project officers. Gender and conflict workshops are also organised. But it seems as if these trainings do not yield any results."*

Trevor (participant 3) agreed with Andrew and Kendrick by stating that IGAD had capacity challenges but it is not something that is related to lack of knowledge and skills among IGAD officers. In certain areas, it needs specialists and professionals while it also needs resources.

In addition, Andrew bolstered his argument by saying that:

*"We have quite a lot of capacity building programmes that are supported by our partners. But I can never say that we have adequate resources. IGAD needs improvement. If you have the adequate capacity, the implementation of the policies will be easier."*

Hussien (Participant 4) also supported other respondents by saying the following:

*"We cannot talk about IGAD in isolation. This organisation represents member states. If it fails, it means all of the states are failing. So the capacity of IGAD should not be limited to the Secretariat. It is also within the mandate of member states to make sure that it delivers. This is their organisation. Member states failed to compliment staff even when there was a serious need to address conflicts and other forms of disasters. The ultimate mandate of IGAD lies at the top of its hierarchy – i.e. the summit or the Assembly. So the capacity problem is caused by the member states that give IGAD narrow mandates and inadequate capacity. The actual implementation of all IGAD projects is done by member states."*

Johannes (Participant 5) also acknowledges the capacity challenges of IGAD. According to him, the capacity problem of IGAD might be serious but not critical. He further said that there is a way out if member states can look for a solution. He expanded his argument with the following sentiments:

*"Sometimes you might have heard a lot of generalized statements about lack of capacity in the organization. But when people are criticizing they just look at the weaknesses. They do not look at the strengths. So sometimes those statements are not balanced because one could not say that you are not doing well rather he must point out the areas that you are weak at."*

Johannes further said that IGAD has the capacity to address these problems but it is also the responsibility of member states.

### **1.1. Financial capacity**

All the respondents stated that the financial capacity of IGAD is at its lowest. Kendrick said that in terms of financial capacity, there are challenges. Johannes said that *"IGAD is financially weak. Financial weakness hampers the ability of implementing its policies. Johannes further said that lack of an IGAD Development Bank worsens the situation. IGAD needs to have its own resources rather than depend on donors or partners. Member states of IGAD are only paying the salaries of IGAD officials. The real programs are run by donor funds. So each partner has their own agenda. So if it really wants to move forward, IGAD must have its own resources. In a nutshell, IGAD has to develop its own development bank."*

Financial incapacity of IGAD, according to Hussien, leads to a narrow agenda that does not address the overall needs of the member states.

### **1.2. Dependency on donor's funds**

All the respondents mentioned that dependency on donor funds is not a problem and there is no influence by donor countries. According to Trevor:

*"Donor countries express their interest and their focus. You cannot use that money beyond their commitment earmark. For instance, Japan gave us USD\$750 Million to counter terrorism in Somalia. Japan's interest is Somalia, IGAD cannot use that money to develop Kenya or Uganda. In the aid politics, there is no free lunch. In fact, they might not twist your hand and say to you, do this and don't do that. However, one way or another they impose their interest."*

Hussien said that, IGAD is dependent on partner funding, explaining that;

*"In the 20<sup>th</sup> century, it is a fact that developing states are dependent on developed countries to secure funds for both national and regional projects. It is also a fact that if you do not have the capacity to buy a car, you may borrow money from the bank or other sources. I think all the issues of regional integration are controlled by national interest. Member states have their own interest."* Hussein said that even if we depend on donors, we have to bargain in order not to lose our integrity.

Kendrick also supported Hussein's view. He said that dependency on donor countries is not influencing the regional process of IGAD. Kendrick thinks that having funds from external donors is not a problem in the first place and it does not bring any influence on the proposed projects. *"If a project is relevant to the citizen and if you have the ability to borrow by all means borrow and do it. There are a lot of people saying that it is not good to rely too much on foreign funding. However, regional projects are capital intensive, if you do not have the resources, it is wise to get these somewhere else. The benefits outweigh whatever costs that means there is no problem on the foreign aid IGAD depends on. If there is capability of getting funds, it is better to limit the conditions and scope of the donating country",* said Kendrick.

In addition, all respondents said that IGAD has development partners. There is also an IGAD Partner Forum (IPF) that constitutes the donor countries of IGAD. IPF is established to facilitate the flow of funds from partners to IGAD's projects. So far, the member states appear not to be funding a lot of regional projects of IGAD. Instead, there is over-reliance on funds from developed countries.

Johannes agreed with the other respondents that dependency on donor funding is inevitable due to lack of regional financial institutions. According to him, the challenge of dependency could not be alleviated until IGAD is able to establish a development bank. According to Trevor and Hussien, the partners of IGAD are also benefiting in one way or another when they allocate funds for projects.

### **3. Lack of feasible infrastructure**

Infrastructure includes the construction of roads, railways, ports, power and communication facilities. In this regard, Johannes said that IGAD is presently making road connectivity that measures about 5 000km. According to Johannes, IGAD is a facilitator for making the projects. In addition, IGAD is instrumental in making energy (power), telecom, and railway connectivity.

Hussien supported Johannes's view by saying that, *"in terms of connection, we are connecting capital cities with ports, which is the first step towards development. We have the main road connection but it needs sub-roads because integration is about the entire people not just connecting the capitals."*

According to Kendrick, IGAD facilitates the interconnection of trans-African Highway number 4, which links Cape Town and Cairo. The missing link of this Highway was in Kenya between the borders of Siweru and Moyale in Ethiopia. This missing link is expected to be completed at the end of 2016. For a region to be connected, people should be able to move as well as goods. For all practical purposes infrastructure is one of the main drivers of the integration process.

Andrew and Trevor supported the notion that infrastructure is one of the key drivers of integration. Both said that there are infrastructure challenges for IGAD to speed up its integration process. In the aviation industry; there is no network among airlines of the region. The only airlines that fly across the region are Ethiopian and Kenyan airways. At least those airlines connect the capital cities of certain member states. Hussien and Trevor said that the region's airways are not enough to cover the whole region and the price of airfare is too high. In line with this, Gerald (2012) also observed the high cost of transport in the region which is associated with lack of harmonisation of transport policies.

In relation to the cost of developing infrastructure, Johannes said that it is quite expensive. Johannes added that it was expensive to communicate especially across borders. The calling rate of the region is quite expensive. According to Johannes, there are two kinds of regional integration challenges in the IGAD region, these are physical and non-physical barriers.

Andrew agreed with Johannes and stated that:

*"Sometimes it is easier to call the USA or UK than to communicate with the next door member states. Why I would have easier access to communicate with the outside world than with my own people still confuses me to date."*

Physical barriers refer to solid road blocks of regional integration. The majority of respondents said that physical barriers refer to infrastructure such as road, railway, and airways. The non-physical ones were identified as visas, immigration regulations and policies in general. In order to address the problems of non-physical barriers, political will and commitment are the two prerequisites. The regional integration process in general has tariff and non-tariff barriers. The imposition of heavy tariffs on goods that pass through member states is the main challenge for the promotion of FTA in the region.

Trevor agreed with the others on the main challenges of IGAD in advancing connectivity projects. He said that *"we need more projects on connectivity of roads. With the addition of the problem of donor fatigue due to duplicated projects in the South-Eastern Africa region, the infrastructure projects suffer from lack of sustainable financial contributions."*

Hussein agreed with Trevor that in infrastructure connectivity, roads were being rehabilitated and undergoing maintenance. These roads will have to be regulated within the law. When constructing a road, according to Kendrick, there must be quality control. In addition, there must be maintenance. Lack of routine maintenance is exacerbating the poor state of infrastructure in the region. Routine maintenance includes even mundane issues such as cutting the grass, opening the caravan and mending the boreholes.

Johannes agreed with Kendrick's opinions. He said that when an infrastructure is designed, there should be some pre-determined costs, including the cost of renewing. If there is a failure to maintain projects, their sustainability can therefore not be guaranteed. Lack of adequate maintenance resources remains the challenge of infrastructure development in the region.

All the respondents said that the involvement of the private companies in the infrastructure sector is so limited. According to the respondents, when it comes to regional projects, companies mainly involve themselves as contractors or consultants. Private companies are only involved in the power construction sector, telecommunication and the development of ports. Due to the very fast remittances, private companies are often involved in the telecommunication business sector. If you look at the telecom industry, you will notice that there are a number of private companies in the region. In Kenya, the telecommunication sector is dominated by the private sector. In Uganda, it is the same. The initial capital of the telecom industry is not so high and the remittance is higher and faster. The private industry is a business driven system.

All respondents agree that, on roads connectivity, IGAD does not involve private companies. The road tender is mainly given to government companies because infrastructure is very expensive. Road, railway and other related constructions can only be serviced through the funds of the governments which are member states. Private companies are profit-oriented. They have difficulties in funding road projects. Infrastructure is capital intensive because of this. IGAD prefers government companies than private ones.

#### **4. Harmonisation of policies**

One of the most vital elements of the integration process is harmonization of policies. In response to this, Kendrick said that the harmonization of policies poses a lot of challenges. IGAD had some meetings among transport ministers of member states regarding harmonising of vehicle carrier policies and licensing. It must be noted that the IGAD secretariat can only make recommendations at a technical level regarding policy changes pertaining to the harmonisation of, for instance, vehicle policies. The ultimate decision on harmonisation of policies and their enactment lies with the summit of heads of states.

Kendrick agreed that the process is quite tedious and difficult. Recommendations continue to be made to ease the burden that the IGAD faces regarding the above problem. Also, it should be noted that it takes time before recommendations are addressed. Making policy out of these recommendations involves another tedious process which takes time.

Trevor stated that the harmonisation of policies is difficult to implement in the region. IGAD could not force states to harmonise their laws because of the principle of sovereignty. The most difficult barrier in harmonization of laws is sovereignty. States have to surrender their sovereignty to empower IGAD with policy making. In line with this, Kasner (1983) contended that harmonisation of policies could be implemented only if states are ready to relinquish certain portions of their sovereignty.

IGAD is also working with Kenya, Uganda, Sudan, South Sudan and Somalia to draft policies which are user-friendly. Gradually, this cooperation will upgrade to harmonisation of other policies. At least for now, there is a platform and framework to go about implementing these policy recommendations. IGAD is also in the process to establish regional platforms for regional issues to address and resist, the emerging and evolving problems of the region.

Hussien agreed with the other participants that the attainment of harmonisation of laws in the region was still a long way off. He said that:

*"If you take the ICT, it is too costly, bringing these to our side must have been quite a lot of investment. The bottom line is usually profit for those companies that brought those technologies. Even delivering the IC for the people of the region is a problem let alone harmonising ICT policies. This is because, we have a lot of legacies, ideology, technology or thinking that we continue to contend with in this day and age. And these do not help us to get to where we want to go as IGAD. States also have also shown some dislike of some of the features of technology. Do you stop some using skype to talk to relatives or business partners? Some states fear that certain information available to the citizenry may be politically insensitive and may result in some form of the "Arab spring" which caught Egypt by surprise. There is quite a lot of harmonising to be done."*

##### **4.1. Bilateral agreement**

Hussien believes that regional integration takes time as it needs a lot of negotiations. The IGAD region has different nations that have diversified interest, but they still rely on each other. Ethiopia and Djibouti, for instance, rely heavily on each other for survival. Most of the food from Djibouti comes from Ethiopia and some commodities are also from Djibouti. There are so many Somalia businessmen in Kenya while there are Ethiopian and Ugandan business persons in Djibouti. Some industries in the South Sudan are predominately owned by Eritrean investors.

Kendrick supported Hussein's view that the bilateral agreements of member states in various sectors are flourishing. "It seems that a lot of negotiations and work has been done bilaterally. However, IGAD lacks the capacity to regulate and rationalize bilateral agreements so that they become regional", said Kendrick.

Andrew agreed with Kendrick and Hussien that member states should be able to sign bilateral agreements in order to expedite regional development.

Johannes also supported the views of the other respondents by saying the following:

*"I told you that infrastructure is one of the main drivers of integration. We are doing very well in terms of connectivity. Our members are doing a commendable job bilaterally."*

Trevor also supported the view of Johannes as follows:

*"Ethiopia and Djibouti are the greatest trading partners. These countries are trading with their neighbours and they have a lot of bilateral arrangements and are working together. For me this is one of the giant steps towards integration. If you check Sudan and Ethiopia, you will also find that the two countries are working together. Kenya and Ethiopia are also working together as well as Kenya and Uganda and Kenya and South Sudan. What I can tell you is that even Ethiopia and Somaliland have found the urge to work together."*

## **5. Challenges of free movement of people**

For Trevor, the movement of people is limited due to a tense relationship between IGAD member states. He added that in the Sudan-Uganda, there is no free movement of people because of the rivalry between the two, resulting in the closure of the border since the 1998 war. The Sudan-South Sudan border does not entertain free movement of people because of territorial claim and the unresolved issues. The Kenya-Somalia border is not that much suitable for the free movement of people because of the threat of terrorist attacks.

Kendrick supported Trevor's view that the integration process should enable the movement of people and goods as smooth as possible. Andrew also said that in the IGAD region, movement of people is difficult.

Johannes agreed with Andrew and Kendrick by articulating that:

*"We have to develop the protocol of free movement of people. If heads of governments pass this protocol, it will have a lot of use. After the approval of the protocol, it gives people of the region the right to establish residency and business."*

Hussien said that a lot of work has to be done to enhance the movement of people. The people of IGAD have to interact within the region. This is the starting point of future integration. As a citizen of the IGAD region, there should be minimum problems to move from one member states to another one, and at least visas should be issued on arrivals.

In a nutshell, all respondents agree that the movement of people should be allowed for legal, formal or informal, economic or political as well as social or environmental reasons.

According to the respondents, IGAD should also be on the lookout for trafficking activities. Thus far, there are three routes of the trafficking "industry", namely,

1. Europe – that crosses Sudan, Libya, Egypt and the Mediterranean Sea;
2. Middle East – via Ethiopia, Djibouti, Somaliland to Yemen and Saudi Arabia;
3. South Africa – this is a dangerous route that people were forced to cross six countries to reach their destination. Most Eritreans, Ethiopians and Somalis are travelling through this route.

Johannes said that people still prefer illegal routes to migrate. In 2014, many Ethiopians were chased from Saudi Arabia and most of them went back using illegal routes and traffickers. Most of the trafficked are fascinated by the good economic prospects in foreign countries.

Andrew further lamented that *"We do not need a visa to visit our intertwined countries. Our movement is hampered by the strict requirement of visa and these strict procedures are discouraging people from doing business amongst themselves."*

### **5.1. One-stop border post**

Andrew explained the principle as follows:

*"One-stop border posts essentially means when you are travelling from one side of the border with or without goods. Once you clear your documents at border one for instance, you do not have to do the same at border two. These documents should be able to be captured electronically. The migration officer at the other side of the border should just check the documents and make an entry stamp."*

Trevor supported the views of the other respondents by saying that modern equipment like scanners can help in the screening of trucks without offloading all those shipments. Trevor further explained that:

*Information can come to border officers before the people and trucks arrive.*

Kendrick also supported the principle of one stop border post. He said that:

*"For people to be integrated, they need to move from one place to another to trade. For that to happen, you have to have the necessary infrastructure."*

All the respondents are in agreement that the border areas are HIV hot spots. In this regard, the respondents said that IGAD has a regional HIV/AIDS programme that focuses on cross border population that migrate a lot. These are the truck drivers, refugees and cross border traders. In support of the respondents Gerald (2012) indicates that, a fundamental principle for sustainable development is that human being. Wellbeing that is health, wealth and quality of life of people is part of and linked to the diversity, productivity and quality of the ecosystem of the region.

### **5.2. People-to-people interaction**

Slocum and Langenhove (2004) indicated that beyond trade and tariffs, regional integration should be conceived of as a dialectical unity of social, economic and political processes." The New Regionalism Theory also stated that integration process should involve non-state actors including the people (Hettne, 2010). It results in the diffusion of political power from centralised state to other actors such as the people themselves (Laurson, 2008). It is in this vein that Hussein stressed that IGAD should normalize and harmonies border polices of member countries so that border towns can share resources especially that people along the borders are the same in terms of culture, race and lineage. Hussein further said the following: *"The relationship is already there. Even in the economic sphere, unregulated commerce is conducted in border areas."*

Andrew agreed with Hussien that member states have to strengthen the interaction between people. In the border area, there is an informal socio-economic interaction between people of two or more countries. Andrew added that the border area might be divided by boundaries but residents of the area have blood relationship. They get married to each other. *"In some areas, you have so much migration of people because of the nomadic lifestyle where they stay during winter and move to the other area later"*, indicated Andrew.

The other feature of people-to-people interaction is informal trade. All the respondents said that, if one goes to the borders people are the same on both sides. They trade between each other but this trade is unrecorded and registered by member states. Kendrick added that Moyale is a border town between Kenya and Ethiopia. People of Kenya work and sleep in Moyale. They move around, go to the cattle market on the Ethiopian side and buy whatever they want. In fact, such kind of common market will reduce conflict among pastoralist communities. According to the study conducted by the World Bank (2014) and ECA (2006) frequent and increasing trades will reduce conflicts by about 17%.

Hussien agreed with Kendrick that if one goes to Kenya and Uganda, there are two border towns on either side. These are Marba border and Bsiya. In fact, some people even farm on both sides. In terms of cross-border trade, the informal

transaction is already there. There is a lot of trade but this trade is not formal but informal. Here, the boundaries are artificial and separate family members. For example, one may have relatives on the other side of the border.

## **6. Effects of political factors on regional integration**

### **6.1. Lack of political will**

According to Johannes, political will and financial means are the key drivers of integration of which without them one cannot talk about integration. Johannes added that once the political will is there the other drivers will follow. In support of this Kidane (2013) stated that political setting is the foremost component for the success of integration process. In addition, Draper et, al. (2007) indicated that in Africa politics is the major driver of integration.

The majority of the respondents agreed that political will and other drivers of integration are pillars of a region. They are connected to each other. Member states must harmonize their developmental policies. The harmonization of policies has been done everywhere from Latin America, Europe, EAC etc. Andrew added that the systems have already been developed, provided that member states render their political will or agree on the matter. They are the ones responsible for signing the agreements and not the Secretariat. Biswaro (2005) also support this view that nations could only integrate with their free will rather than coercion. This contention was raised by Haas (1964) that states has to redefine their national interest to regional perspectives based on their will.

Kendrick said that the decision of summits should be implemented by member states. Making deliberations in the annual meetings is not sufficient. However, for regional integration to be a reality the meetings should be coupled with implementation and political will. The ratification of protocols demands political will from each member state.

Trevor indicated that there was lack of cooperation among member states due to the tense relationship each state had with the other. He added that the relationship between Ethiopia and Eritrea is not cordial at the moment. Similarly, the relation between Eritrea and Djibouti is not healthy. The South Sudan and Sudan relation is not good since they did not have clearly demarcated borders. There is tension between Sudan and Uganda because of previous political squabbles.

For Hussien, IGAD is just a secretariat that implements decisions of member states and the commitment of member states determined the achievements of the secretariat. Hence, when one mentioned the problems of political will and commitment, it directly reflected on the heads of states. These are the main actors of the integration process.

Johannes also agreed with the other respondents that the protocol for free movement of people had been adopted. The protocol promotes the right of establishing business, work, education (e.g. Universities). But heads of states are the ones that should ratify the protocol. In line with what Johannes said, Layne (2006) further stressed that despite abundant declarations, measures, policy statements, political commitments, and intra-national institutional configurations, there is little advancement in forwarding clear and breakthrough guidelines for policy makers and researchers.

Andrew supported the views of other respondents that member states lack trust for each other and the integration process. Due to lack of trust member states are not willing to do tasks that benefit the entire region. Instead of rendering political will and commitment for the regional project, member states prefer to construct roads that will connect them with a "trustworthy neighbour" country. The road between Ethiopia and Sudan was constructed through bilateral agreement between the two countries. The interconnection has been done by the countries. This shows that if member states are committed, they will facilitate the integration process. In supporting this view, Layne (2006) stated that member states have to forego their national interest for regional common good.

Besides, member states are also competing to get the status of hegemonic state. According to Trevor, Ethiopia and Kenya behave like the hegemonic states of the region. For Trevor:

*"The term hegemonic is difficult to understand. In ECOWAS, Nigeria is a hegemonic state, it has political influence, big economy and strong military. In the SADC region, South Africa can be classified as the hegemonic state due to its vibrant economy. If you look within the IGAD perspective, Ethiopia looks like a hegemonic country. Ethiopia's fastest growing economy makes her more viable to become a hegemonic power. Ethiopia has political influence and a strong military. Besides, the population of Ethiopia is by far large and greater than the sum of Kenya and Uganda. Population by itself is power. Kenya is another emerging hegemonic power because of her good economic standing, except that the country is mired in corruption scandals. I am therefore pessimistic about the political will of the member states when it comes to the amelioration of hegemonic power in the region".*

Andrew agreed with Trevor noting that lack of hegemonic power in the region could be one of the challenges of regional integration. He added that states of the region are not in good standing to nominate the region's hegemonic state, but Ethiopia will be a hegemonic state since geographically it is situated at the centre of the IGAD region and shares a border with all IGAD members except Uganda. This is supported by Nomvete (2009) when he stated that there must be at least one big or powerful state in a region, which is imbued with either socio-economic or political power or popularity in the international arena. Ethiopia as the location of African Union headquarter could regard as popular state in the international community.

Johannes supported Andrew and Trevor's views noting that Kenya could be a hegemonic power of the region. However, the country has been targeted by terrorists leaving Ethiopia as the most stable country in the region, hence placing Ethiopia in a better position to become the hegemonic state of the region.

## **6.2. Coinciding membership**

Trevor noted overlapping membership is a problem. Kenya and Uganda are member states of EAC. All member states except Somalia are members of COMESA. Djibouti, Eritrea, Sudan and Somalia are members of CEN-SAD. Trevor noted that, dual accountability and dual membership affects member states' ability to attain their priority and commitment. This contention is also supported by Estrada (2009) when he indicated that regional integration may contribute to international frictions between competing blocs through creating multiple legal frameworks and various dispute settlement mechanisms as well as absorbing other multilateral arrangements.

Johannes agreed with Trevor's and Estrada's view that overlapping membership makes member states to be uncommitted. The most problematic consequence of coinciding membership was that it brings overlapping programs. Previously there was an Inter-Regional Coordination Committee that gave recommendations on projects of building a road. According to Johannes, although there was a tender for overlapping programs, it lacked coordination among different RECs of the South Eastern Africa including SADC, COMESA, EAC, IOC and IGAD.

Andrew and Hussein bolstered the views of the other respondents by saying that the Tripartite Agreement (TA) is just a political agenda that has nothing to do with the reality. In the beginning one has to finish what he is doing in the IGAD region. Jumping from one configuration to another is meaningless. The TA is an agreement between COMESA, SADC and EAC where they agreed to work in the infrastructure projects. But practically, all the three organisations did their own projects without engaging IGAD. A study conducted by IGAD (2011) also confirm that due to overlapping projects, donor countries considered the organisation as political group because many projects of IGAD is also run by COMESA. Indeed, overlapping of regional projects create confusion on donor countries and development partners. It creates paradox on which project should get funded.

## **7. Lack of peace and security**

All the respondents said that the best achievement of IGAD lies in the peace and security sector. Hussien said that, IGAD achieved quite a lot of mediation and peace security tasks. However, its achievement in the Sudan and Somalia peace process is still far from over. In relation to this Peter (2012) enunciated that integration will lead to not only on economic unity but also cooperation in the peace and security sector. Redie (2013) also stated that regional integration in the region could serve as a resolving mechanisms for pastoralist conflict over grazing land and water. A sound regional policy could reduce socio economic problems.

In light of the above, Trevor said that:

*"Even though IGAD has been grappling with extraordinary circumstances, the IGAD mediation process is successful so far. Both the Sudan and Somalia peace processes are effective. In Somalia at least the federal government is established. It is a success story. The impending Comprehensive Peace Agreement (CPA) between South Sudan and Sudan is also a success story of IGAD. In addition, the peace accord between President Salva Kir and Rick Machar is also a success story. But the problem is that there remains an emergent conflict that borders on religiosity."*

Andrew also agreed with Trevor by saying the following:

*"I think those extraordinary issues are spoiling the achievements of IGAD. However, if you look at the issue of peace and security, IGAD has been able to establish the Sudan peace process. When Sudan separated with South Sudan, IGAD is the one that midwived the process. IGAD has been working with Somalia including the rebel groups. With limited resources,*

*IGAD is doing well in the peace and security sector. This clearly shows despite whatever happens, we are on the right track. Even if people from outside might not agree, we have a good record especially in the peace and security sector."*

The majority of respondents said that the IGAD region was notorious for frequent conflicts and wars. According to the World Bank report (2013), since 2005-2011, there were a series of attacks by pirates and warlords in the region. As a result of that, Euro naval forces and many actors were drawn to the offshore of Somalia to protect European interests. Because of this intervention since 2011, piracy declined. Indeed, this trend of piracy in Somalia and the weak political system makes the country to be one of the weakest in the horn of Africa (World Bank, 2013).

Johannes, also a participant, said the following: *"Eritrea also suspended its membership from IGAD. We don't know when it intends to come back. It is part of the consequence of the Ethio-Eritrea border war. South Sudan is part of IGAD but suddenly war broke out in its mainland, right in the capital city called Juba. The Eritrean government captured parts of Djibouti. Somalia is also a failed state for the last 25 years. On the overall, things are not well in this part of the world."*

Kendrick also reflected on the views of Andrew and Johannes. He said that:

*"Member states are more committed with conflict resolution efforts. If one looks at the meetings held by member states for Somalia and South Sudan, you will find that there have been many. South Sudan now is committed to peace. The same is true about Somalia. Stopping internecine conflicts means a lot to the development of the region."*

Hussien also agreed with Kendrick that organised transnational crimes affect the socio-economic development of the region. Hussien added that arms trafficking, money laundering, insurgent groups, and terrorism were the main security challenges of the region which compromised the integration process. Money laundering was affecting the financial integration of the region while insurgent groups were involved in the demolition of regional infrastructure in order to unseat the central government.

For Hussien, one cannot control the insurgent movement unless the incumbent forces win or lose. He said that one has to know the reality. In Ethiopia, there were civil wars for more than three decades. There was mediation and discussion but it did not bring any solution. Finally, the one who won the battle came to power.

Trevor supported Hussien's view that the Sudanese civil war is the longest one in Africa. Many mediations were conducted but neither of the parties agreed to cease their warfare. At last the civil war came to an end with the secession of South Sudan.

The majority of respondents believe that IGAD's engagement with the media is quite limited. This is due to the different policies of member states towards the media. The respondents also worry about the growing negative impact of social media. The Information Resource and Communication Centre of IGAD is responsible for liaising with the media. It is faced with challenges. Johannes and Kendrick emphasised the need for inclusiveness in IGAD's mediation process. Accordingly, IGAD's peace process is an inclusive one as it involves civil societies, elders, warring factions, international institutions (Such as African Union), interested countries, and IGAD partners.

Hussien supported this view and said that:

*"IGAD is neutral in the mediation process. In the CPA, IGAD was mediating the South Sudan and Sudan. It was mediating as a neutral partner. CPA is too vital to bring relative peace in Southern Sudan."*

### **7.1. Terrorism**

Andrew noted that terrorism is one of the major challenges of regional integration. The frequent attacks such as in Kenya affects the country in many ways. It affects the country's stability and its cost of life, the cost of finance as well as the tourism industry. This was witnessed by the recent attacks by Al Shabab on the 11 April 2015 at Garissa University where almost 147 Kenyans were killed (ISS, 2015). The same is true about other countries such as Ethiopia, Uganda and Djibouti which are embroiled in terrorist activities. Andrew emphasised that even profiling and labelling has its negative impact on socio-economic development. After 9/11, travelling to US or Europe with a Muslim name was not easy.

Hussien added that the same is true for peaceful Somalis who want to travel across the IGAD region and also to the United States of America since President Trump was sworn into the oval office. They are interrogated and watched out by immigration officers. Even if a religion could serve as a pretext to mobilize people to engage in terrorist activities, it will be a bad deduction to associate all sects of Islam with terrorism.

In supporting Hussein, Victoria (2011) maintains that religion as a means of controlling state power is not a new phenomenon. She indicates that there were the Jacobins in France that indorsed for the origins of terrorism in the 13<sup>th</sup> century. Other terrorists that justify their acts as religiously correct include Irish Republican Army, National Organisation of Cypriote Fighters, Muslim National Front in Algeria. In line with this, the majority of respondents believed that terrorism and radical Islam have a nexus relationship. Kendrick said the following in this regard:

*“Radical Islam is a problem. Definitely Radicalisation is a challenge. This is because of our proximity to the Middle East conflict centre. This proximity makes us highly vulnerable. In addition, the Somalia crises aggravated the problem of radical Islam. Somalia became a theatre for foreign fighters, foreign ideology and narratives that are beyond the doctrine of Islam.”* This is in line with Dawit (2016), who indicated that Wahhabism, which is also part of the radical Islam, is a problem in the region in that it does not tolerate other forms of religion. He further stated that Wahhabism observes a strict interpretation of Islam, condemned other interpretations and innovations and it saw Western values and civilization as abhorrently evil. Dawit's assertion was also made true by the US state department's report about the beheading of two Muslim clerics from Shi sect in Somalia (US state Department, 2009).

The use of force to defeat terrorist groups like Al-Shabab is not working. The best way is to study the root causes of terrorism. According to a study conducted by Institute for security studies (2015), the brutality of security forces within IGAD is mentioned as the reason instigating the citizens to join terrorist groups. Atin and William (2007) also argue that economic factors in this region are the root causes of terrorism. Furthermore, poverty might lead the unsatisfied youth to join terrorist groups.

## Conclusion

This paper presents the opinion of the respondents. Most of them revealed that IGAD lacks financial capacity, unclear programmes and a static structure that hampers the secretariat to work effectively. It was also revealed that regional projects are depending on donor countries since IGAD lacks financial institutions that could develop its own source of funding. Presently, IGAD is engaging the member states in building roads that could connect all the countries in the horn of Africa. Unfortunately, there is a slow progress in this regard as many of these countries are reluctant to participate in this worthy programme. The infrastructure in most of these countries is not adequate to fully and quickly transport goods and people. The involvement of the private sector in helping IGAD is also limited. Lack of harmonization of policies is another challenge that the IGAD is battling with. Instead of thinking and acting regionally, member states prefer to engage in bilateral agreements with countries of their own. According to the respondents, free movement of people is hampered by a tense relationship among member states. Respondents further said that strict visa regulations and inadequate infrastructure are also discouraging people to move, work and trade. Even though IGAD does not encourage people to people interaction, informal trade along the borders continue to take place. According to the respondents, political will is the key for integration. The lack of political will could be manifested in the overlapping of membership. The region is notorious for subsequent conflicts. Peace in the region could be one of the recipes to bring harmony and stability in the region.

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## Financial Mediation and its Impact on the Albanian Economy

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### Abstract

This article aims to present the importance of financial intermediation to real economic growth in the case of Albania. The article analyses the main indicators of financial intermediation and through the application of statistical and econometric methods gives their impact on economic growth. Findings show that there is a mutual relationship between economic growth and private sector credit growth. Also, the effect is a chain, because the positive impact that one indicator gives on another indicator is associated with a positive effect on the indicator itself that gave this effect earlier. On the other hand, besides the positive performance of financial intermediation indicators in Albania, as a result of the growth of lending to the economy, deposits in the Albanian banking system have increased throughout the period of study. The recent financial and economic crisis had its negative impact mainly on the growth of problem loans but not on the deposit market that continued to grow.

**Keywords:** Financial intermediary, Economic growth, Loans, Deposits, Albania

### 1. Introduction

The financial system is said to be the main engine of the market economy. To get a clear idea about this phenomenon, we need to clarify the role of the financial system in a market economy. This system provides the means of payment to the economy and influences its real activity through the realization of financial intermediation and the transfer of monetary policy.

Given that in emerging economies including Albania, the financial system is often in line with the banking system, the treatment of this topic aims at drawing some conclusions that may apply to the entire financial system.

The financial system has an irreplaceable role in economic activity. This system performs two main functions:

- Financial system realizes the financial intermediation process:
- Channellings savings (usually households) on loans and investments (usually firms).

Financial institutions in Albania and above all banking institutions are the most developed component of the Financial System in Albania.

#### 1. Performance and analysis of the Albanian Banking System.

Financial sector reforms marked significant progress in this period. They relate to the privatization of state-owned banks and to the entry of new private banks, which have affected the deepening of financial intermediation and the enhancement of the quality of banking services.

Characteristics of these developments was the increase in the number of banks through new private banks, which currently reach 16. The banking activity has been expanding along with the expansion of banks in the market, increasing both banks' assets and deposits. At the end of 2003, total assets of the system amounted to ALL 373.6 billion or about 50% of GDP.

On the other hand, the level of deposits has continuously increased from ALL 178.2 billion in 1998 to ALL 323.2 billion in 2003. The level of financial intermediation has further deepened reflecting the positive trend of developments in the banking sector. The ratio of total deposits to GDP, which is one of the main indicators of the level and depth of financial intermediation, has been increasing throughout the transition period and especially after 1998, marking a 43% level in 2003. The same tendency has the ratio of time deposits to GDP, as the most significant indicator of intermediation, which increased significantly from 12.8% in 1994 to 29.3% in 1998 and 35.3% in 2003. Another characteristic of positive developments in the banking sector is the improvement of the credit market. Two are the most positive trends seen in this market: firstly the continuous growth of private sector lending and secondly the reduction of non-performing loans to total credit. The continuous improvement of banking infrastructure, the establishment and functioning of the Deposit Insurance Agency in 2002, the improvement of banking supervision increased confidence in the banking system Cani (2004).

Albanians had negative experiences of the 1997 pyramid schemes and the banking panic of 2002, where their confidence in the financial system was shaken. Again, when they saw the global financial crisis of 2007-2008 hit financial institutions worldwide, Albanian depositors began deposit withdrawals by the end of 2008, which reduced the funding sources available to banks to give credit. The crisis curbed the banks' tendency to credit the business. It affected the real sector and slammed the economic growth rates, bringing a downward slump in the borrower's solvency, which made banks more sceptical about lending new loans during that period;

The growth of credit risk, which was also materialized in the increase of the percentage of non-performing loans in the loan portfolio, may have been caused by two main phenomena. First, the exchange rate fluctuation, as about 50% of foreign currency loans were unprotected from exchange rate risk. Consequently, the borrowers found themselves vulnerable to the immediate exchange rate changes, causing their solvency to fall. Secondly, the emergence of problems in the loan portfolio came as a result of its maturity and this was an expected phenomenon, which probably just coincided with the global crisis but had no direct connection with it.

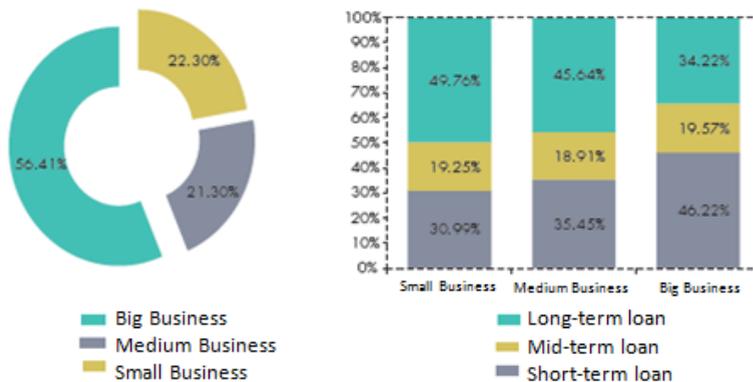
During this period, the banking system continued to be characterized by a **lack of liquidity**. The Bank of Albania has injected liquidity through its open market operations by means of weekly repurchase agreements. Interest rates on euro-denominated time deposits generally followed the same seasonal movement, though not with the same margin.

During 2016, the banking sector has been stable. Compared to the previous year, the activity of the sector has expanded at higher rates, mainly based on the growth of stock of securities investments. In annual terms, the growth rate of total banking sector assets was 6.8%, compared to 1.9% a year earlier. The ongoing process of delisting loans lost from banks' balances has slowed down the pace of rising non-performing loans. Despite this development, the banking sector continues to be exposed to credit risk. Exposure to market risks remains controllable, but requires regular monitoring and evaluation.

**Financing of banking activity** is mainly ensured by deposits, which account for about 82% of total assets. Loan / deposit ratio marks 52%. The deposit base has grown almost at the same levels in both semi-annual and annual terms (about 5.2%), supported by foreign currency deposits. Depending on maturity, there is a shift of deposits to current accounts. This development poses a potential weakness in the banking sector's financing structure, which, however, is mitigated by the fact that 83% of deposits are held by individuals and, as a whole, the residual maturity of liabilities has increased due to growth of the value of deposits with maturity over one year. Banks have maintained the ratio of their use of capital to finance the activity, while respecting the relevant requirements of the regulatory framework.

**The banking sector has accelerated lending to individuals, but has lowered the lending rate for businesses.** In annual terms, the credit balance for households has expanded by 3.7%, while for businesses it has expanded by 2.4%. During the period, the new household loan increased by 14.3% over the same period of the previous year, with the main contribution to the expansion (about 60%) being the loan for real estate purchase. Compared with the same period of the previous year, its share in new loans to individuals increased by 3 pp to 39%. By contrast, during the period, the new credit to businesses narrowed by 12.2%, driven by narrowing lending to "purchase of equipment", "working capital" and "overdraft". The public sector credit outstanding accounts for a low share of 4.8% of the total, but the new credit granted during the period for this sector accounts for 12.6% of the total.

Grafic 4.5. Business credit structure by size



Source: Bank of Albania

This graphic is a clearer idea that the credit structure tends to go from long-term to short-term. This can be considered positive because the short-term credit risk is lower than in the long run. The problem we think is that banks thinking of credit risk are not financing enough domestic business, which could give breathing to the economy.

The aggregate index of key indicators used to track the performance and the banking stability situation has deteriorated since the end of 2015.

### 1. Methodology used and findings of the study

This study was conducted based on partial analysis of the financial intermediation indicators presented in Table 1. The indicators are disclosed by reference to publications made by the Bank of Albania for the period 2002-2017 for a series of time based on 3-month data. Some other indicators such as the amount of bad credit loans is based on authors' calculations. The data were analysed from the first quarter of 2002 to the first three months of 2017. The project was carried out by making analyses and relevant econometric models depending on dependent and independent variables being considered according to the respective boxes.

Table 1. Indicators used in the model

Box number	Variables	Measures	Data Source 2002 to 2017
Box Nr.1	Dependent Variable: Y- GDP Independent Variable X1- The amount of credit extended to the government X2- The amount of credit extended private sector	Data	BoA
Box Nr.2	Dependent variable: Credit granted to the private sector / GDP Independent Variable X <sub>1</sub> - Economic Growth X <sub>2</sub> - Deposits/GDP X <sub>3</sub> - Loans/Deposits; X <sub>4</sub> - (Interest Rate x NPL)	Data Calculation	BoA

Source: Authors' processing

**Economic Growth** is the indicator that is widely used in measuring economic performance. In this study this indicator was used as a dependent variable. The data were obtained from the Bank of Albania publications. The database is 3-month.

**Deposits / GDP** refers to the depth of the financial system referred to Crowley (2008). This indicator expresses in the first place the level of public confidence in the banking system. Apportion of deposits with GDP is also done to eliminate possible "over takings" of the model indicator.

**Loans / Deposits**, expresses the level of use of bank deposits and, above all, of time deposits which are the most likely sources of credit. Sa (2006) best describes the linkage of lending rates to the welfare of a country. When the economic situation is optimistic and expectations for the future are better, expecting more revenue and profits, is being optimistic, also leads to an overestimation of assets, real estate prices. This increases the net worth of firms, reduces external finance premiums, and increases their ability to borrow and spend.

**(Private sector credit x NPL)** is an indicator derived from the calculations as factor interaction to see if it has an impact on the dependent variable. It was not used for further analysis since it did not result stylistically important during model testing.

**Based on the objective of the study we have formulated two hypotheses;**

➤ **Hypothesis 1:** The higher the lending to the private sector, the better the economic performance of a country is expected to be.

Based on the least squares method we have the following results

**Table 2: Government credit extended to private sector credit**

Dependent Variable: Y  
Method: Least Squares  
Date: 06/24/17 Time: 11:11  
Sample(adjusted): 2002:1 2016:4  
Included observations: 36 after adjusting endpoints  
 $Y=C(1)+C(2)*X_1+C(3)*X_2$

	Coefficient	Std. Error	t-Statistic	Prob.
C(1)	11879.86	49958.50	0.237795	0.8135
C(2)	0.593173	0.305531	1.941447	0.0608
C(3)	0.284390	0.125852	2.259720	0.0306
R-squared	0.754706	Mean dependent var		326597.8
Adjusted R-squared	0.733780	S.D. dependent var		38575.94
S.E. of regression	2.675543	Akaike info criterion		23.03378
Sum squared resid	1.80E+10	Schwarz criterion		23.16574
Log likelihood	-411.6081	F-statistic		31.28543
Durbin-Watson stat	2.352455	Prob(F-statistic)		0.000000

Source: Authors' processing

Preliminary explanations:

- Y- GDP
- X<sub>1</sub>- The amount of credit extended to the government
- X<sub>2</sub>- The amount of credit extended to the private sector.

By submitting the above, the loan granted to the government does not result in an important variable.

According to Student's test "t", since the probability near the variables of this variable results in Prob = 0.0608 > 0.05 then it can be said that this variable is not significant. Otherwise it happens with the private sector lending variable which can not be removed from the model as it turns out important.

Secondly, according to the Fisher model test, it generally results significant as Prob (F-statistic) = 0.000000 < 0.05. However, this is not the best possible model.

Lastly, referring to the above model, it can be said that private sector credit has had a positive impact on the growth of Albanian GDP for the years studied.

- **Hypothesis 2:** The economic growth and public confidence in banks are expected to have an impact on the magnitude of credit extended to the private sector.

Based on the least squares method we have the following results

The impact of various factors on the development of credit extended to the private sector has been tested by means of the least squares method. Initially, four independent variables were taken into consideration (see Table 1), but only two of them proved to be significant during the test.

**Table 3. Factors that have had an impact on the development of private sector credit.**

Dependent Variable: Y  
Method: Least Squares  
Date: 06/23/17 Time: 01:19  
Sample: 2002 2016  
Included observations: 15  
 $Y=C(1)+C(2)*X_1+C(3)*X_2$

	Coefficient	Std. Error	t-Statistic	Prob.
C(1)	0.646665	0.098155	6.588177	0.0000
C(2)	0.012191	0.001171	10.40827	0.0000
C(3)	0.357367	0.038666	9.242538	0.0000
R-squared	0.919061	Mean dependent var		1.557333
Adjusted R-squared	0.905571	S.D. dependent var		0.136144
S.E. of regression	0.041836	Akaike info criterion		-3.333258
Sum squared resid	0.021003	Schwarz criterion		-3.191648
Log likelihood	27.99943	F-statistic		68.12998
Durbin-Eaton stat	1.711532	Prob(F-statistic)		0.000000

Source: Authors' processing

The variables under consideration were:

Dependent variable:

- Y- Credit to Private Sector / GDP

Independent Variables:

- X1 - Economic growth; X2 - Deposits / GDP; X3-loans / deposits; X4 - (Interest rate x NPL)

**Model:**

$$Y=0.646665+0.012191X_1+0.357367X_2$$

Firstly, an economic growth of 1%, provided that the factor X2 does not change, would affect the growth of 0.012191 units of private sector / GDP credit.

Second, an increase of 1% of the Deposit / GDP indicator, provided that constant X1, would affect the growth with 0.35736 units of the dependent variables. So the size with which financial intermediaries in Albania have credited the private sector over the years under analysis is largely determined by the size of deposits.

**Conclusions:**

- Referring to the analyses carried out based on the data above, it can be said that private sector credit has had a positive impact on the growth of Albanian GDP from 2002 to 2017. At the same time, economic growth affects the growth of the private credit sector. Therefore, the effect seems to be a chain, where the positive feedback that one factor gives over another factor is associated with a positive effect on the factor that gave this effect earlier.
- For the years under review, the size with which the financial intermediaries in Albania have credited the private sector is mainly determined by the size of deposits. So, the impetus that banks create in the economy depends on the amount they receive as deposit.

- According to the model presented, there is an inverse relation between interest rates on ALL deposits and the size of deposits in ALL. The testing of the model resulted that the increase in the size of deposits in ALL would affect the reduction of the interest rate on ALL deposits.

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## Interplay Between the Human Resource Development Activities and Organizational Commitment

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### Abstract

This mixed methods research was aimed to explore relationship between the human resource development activities and the commitment of employees. In the research, we applied explanatory sequential design using nested samples for the quantitative and qualitative components of the study to foster deeper understandings of these relationships. In the quantitative component, data were obtained with scales, and analyzed from 609 employees in different companies in Serbia, while for qualitative component semi-structured interviews were conducted with 29 respondents from the same sample. The collected data were subjected (in the first component) to a few common (frequencies, std. deviation, means, etc.) and more complex statistical proceedings (canonical correlation analysis), and in the second component were subjected to the qualitative content analysis. The quantitative results indicate complex interaction of affective, continuance, and normative components of organizational commitment with different human resource development activities, while the qualitative data revealed deeper meaning of these connections.<sup>1</sup>

**Keywords:** human resource development, human resource development activities, organizational commitment, mixed methods

### Introduction

The reason to research the interconnection of human resource development activities and organizational commitment, we found in fact that it is a relatively a new paradigm in HRD studies. Most of papers related to this issue are written from the perspective of learning organization concept, from perspective of new employees, older workers, certain professions or the fields of practice, or considering only limited spectrum of HRD activities – training, virtual HRD activities, etc. Nearly all of studies treated relationships between HRD activities and organizational commitment as one of the research questions. Only a few quantitative studies aimed to investigate relationships between HRD activities and organizational commitment were performed recently (Bartlett, 2001; Tansky and Cohen, 2001, In Chalofsky, et al., 2014), while qualitative and mixed method studies were missing. Based on lack of empirical studies of the interconnection of HRD activities and organizational commitment, we decided to research it using an explanatory sequential design.

### Human Resource Development Activities

Human resource development (HRD) activities are designed to contribute to the achievement of strategic objectives of the organization, to produce changes in behavior of individuals, group or organization, to help organization to obtain higher performance, and aimed to enrich and develop employee's work-related potential through learning and training. They encompass "a whole network of activities involved in preparing people for work and coping with a multitude of issues related to work" (Ruona, 2000: 14).

According to Hamlin and Stewart, HRD activities are a workplace process that encompasses "planned activities, processes and/or interventions designed to have impact upon and enhance organizational and individual learning, to develop human

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potential, to improve or maximize effectiveness and performance at either the individual, group/team and/or organizational level, and/or to bring about effective, beneficial personal or organizational behavior change" (Hamlin and Stewart, 2011: 213). Moreover, these activities include not only "cognitive activity but also involve the emotional, imaginative, and intuitive aspects of humanity" (Bennett and Bierema, 2010: 641).

Although earlier studies emphasized that through HRD activities learning is related to attaining organizational and not necessarily individual performance goals, many latter authors (Reio, 2013; Sambrook, 2002; Slattery et al., 2006; Wilton, 2013) consider that HRD activities, whether face to face or virtual, encompass not only adult education/learning activities (long- and short-term, self-development, collaborative, organization- or socially-oriented), but also, broader spectrum of activities aimed to improve organizational culture, organizational climate, through processes of: appraising and rewarding, leading, directing, motivating, building trust, taking risks, developing new knowledge, sharing knowledge, etc. Garavan and associates consider that "HRD activities may be multidimensional, including combinations of voluntary, involuntary, formal and informal, current and future, incremental as well as frame breaking, interactive and passive learning activities, and generic and specific competencies" (Garavan et al., 2004: 427).

Very interesting classification of HRD activities related to learning is given by Rowden (2002: 410–417): (a) *formal* (structured, planned, organized) learning activities, (b) *informal* (unstructured, or spontaneous) activities that lead to learning on the job, (c) *incidental* (activities that lead to learning on the job, even though that was not the purpose of it, which occurs as an unintended by-product of some other activity, such as trial-and-error experimentation or interpersonal interaction), and (d) *overall* learning activities that combines the three aspects of workplace learning. He extended understanding that most of the HRD activities related to learning are intentional, i.e. formal or informal. Rowden (2002: 410) emphasizes that HRD activities are a means of achieving various organizational and individual goals.

Besides traditional practices of formal and informal learning activities, described by Rowden (2002) we found several interesting characteristics of the contemporary HRD activities. Knowles et al. (1998: 121) wrote about "self-initiated activities" performed by employees who "are not asked to do it", when facing new challenges on the job that benefits organizations. Supported by development of new technologies, needs for sharing knowledge in organization, global- and market-driven economy, "just-in-time" (JIT) learning activities at workplace emerged as unstructured, but important HRD practice. As Tkaczyk (2017) recently emphasized, earlier orientation in HRD activities were "just-in-case" oriented, trainer-centered, centralized, ad hoc, bureaucratic, mechanistic, menu-driven, reactive, and short-term. As opposition to them, "the new learning and development function is being identified by employees and company leaders [...] as learner-centered, agile, energized, holistic, humanistic, just-in-time, on-demand, commitment-focused, knowledge-led, organic, integrated, strategic, networked, and long-term" (Tkaczyk, 2017: 11). These "new" activities are practice-oriented, intended to be applied at the job. Moreover, there are many other HRD activities that do not belong to these groups because they do not belong to traditional adult education or human resource development paradigms (i.e. learning oriented evaluative activities, organizational learning activities, solving-problems activities, etc.), or because they are not aimed only to work-related-learning (i.e. supportive, provisional, motivational, festive activities, etc.).

### **Organizational Commitment**

Organizational commitment is a construct that been defined in relevant literature in many various ways. Some authors (Bishop & Scott, 2000, Vandenberg, & Scarpello, 1994, In Meyer, 2014; Joo, 2010) treated commitment as a unidimensional construct, while others (Johnson, 1991, In Reis and Sprecher, 2009; Meyer et al., 2010, In Meyer, 2014; Rusbult, 1983, In Reis and Sprecher, 200;) were applied a multidimensional framework. Joo consider that organizational commitment "refers to an individual's overall feelings about the organization", and that this construct is related to "behavioral investments in the organization, likelihood to stay with the organization, and goal and value congruence" (Joo, 2010: 70). Rusbult defined commitment as "the subjective experience of dependence and is a function of three independent variables: satisfaction level, quality of alternatives, and investment size" (Rusbult, 1983, In Reis and Sprecher, 2009: 246). Meyer & Herscovitch described commitment as "stabilizing or obliging force that gives direction to behavior", i.e. "mind-set that can take different forms and binds an individual to a course of action that is relevant to a particular target" (Meyer & Herscovitch, 2001: 301, In Meyer, 2014: 35–36).

Meyer et al. (Meyer et al., 2010, In Meyer, 2014) consider that commitment is construct formed by three basic components – affective, continuance and normative. Intensity of commitment is moving along the continuum of engagement, and depends from work motivation. The affective commitment (attachment) can be described as emotional bond with an entity (organization) that involve acceptance of value system and identification with an entity. The continuance commitment

(gratitude) can be described as a perceived cost of leaving organization, or as a perceived lack of position and benefits in the case of leaving organization. The normative commitment (loyalty) can be described as a perception of obligation to remain in organization due to ethical reasons.

Earlier definitions been grounded in understanding that organizational commitment is force that drive an individual to an entity. However, contemporary definitions underline that organizational commitment is attachment, that connects an individual to an entity and/or to behavior (Miroshnik, 2013). Although subtle, that difference emphasizing importance of extrinsic motivation and external requests (through formal or informal organizational regulative, processed through management requirements or through organizational culture) given in former definition, that notably reflect on continuance commitment.

### **Human Resource Development Activities and Organizational Commitment Relations**

To date, not too much is known about the relationship between HRD activities and organizational commitment. Some earlier studies (Ashforth & Mael, 1989, In Slattery et al., 2006) revealed that HRD practices influence organizational commitment through the development of an employee's organizational socialization. An earlier study, conducted by Mathieu (1991) provides a base for examining the relationship between training activities as one of the aspect of HRD activities with organizational commitment. Based on responses from 588 ROTC (*Army and Navy Reserve Officer Training Corps*) cadets he found, opposite to earlier studies, that "the influences of training characteristics on organizational commitment were completely mediated by their impact on satisfaction" (Mathieu, 1991: 616).

Recently, few studies have investigated this relationship as one of the research questions. Slattery et al. (2006) in their empirical study found importance of HRD activities during new employee development practices for development of three aspects of commitment – loyalty, attachment and involvement. Bartlett found that "organizational commitment is an additional outcome of training and development activities", i.e. that "that training can play a role in the development and maintenance of organizational commitment" (Bartlett, 2001: 348). Similarly, Hartung and Wilson (2016) highlighted that HRD activities may support participants' building commitment, while Tansky and Cohen reported in their study that satisfaction with employee development resulted in more commitment to the organization (Tansky and Cohen, 2001, In Chalofsky, et al., 2014). Some authors (Ruona, 2014, Nafukho and Muyia, 2014, all In Chalofsky, et al., 2014; Thurston et al., 2012) found that HRD activities could foster and stimulate organizational commitment, i.e. to activate and build organizational commitment (Swanson and Holton, 2001).

### **Research Questions**

This study was aimed to explore relationship between the human resource development activities and the commitment of employees. Relationship between different aspects of HRD activities (frequency of participation, content of activities, applicability of knowledge and skills obtained through HRD activities to practice, motivation for organizational and job-related learning, support to employees' learning, learning through evaluation, and availability of job-relevant information) and major components of commitment – affective, continuance and normative were explored through the following research questions:

1. How frequency of participation in HRD activities relate to organizational commitment of employees?
2. How content of HRD activities relate to organizational commitment of employees?
3. How applicability of knowledge and skills obtained through HRD activities to practice relate to organizational commitment of employees?
4. How motivation for organizational and job-related learning relates to organizational commitment of employees?
5. How support to employees' learning relates to organizational commitment of employees?
6. How learning through evaluation relates to organizational commitment of employees?
7. How availability of job-relevant information relates to organizational commitment of employees?

### **Methods**

This mixed methods research was aimed to explore relationship between the human resource development activities and the commitment of employees. The rationale to opt for this design, according to one of the most accepted classifications of the purposes for mixed-method evaluation designs given by Greene and associates is complementarity (Greene, et al.,

1989). In that research design purpose of combination of quantitative and qualitative methods are to obtain more in-depth insights into the nature of relationship through qualitative methods; in the case of this study, our intention was to increase understanding, meaningfulness, and interpretability of the results obtain by quantitative methods. The study, reported herein, involves an explanatory sequential design. In accordance to its characteristics (Creswell & Plano Clark, 2011), we first employed quantitative, followed by qualitative component, where quantitative component has priority in the study.

### **Sample**

The population for this study were employees from different companies in Serbia. Participation in the study was voluntary and anonymously. We opted for sequential design using nested samples for the quantitative and qualitative components of the study (Onwuegbuzie & Collins, 2007; Matović, 2013).

By using random sampling, data for quantitative analyses were collected from employees in different organizations from 10 cities in Serbia (N=609). The on-line questionnaires were distributed to 612 respondents. We received total of 609 completed and usable surveys for a response rate of 96.8%. The demographic variables included age, gender, employees' overall tenure, tenure with current employer, level of education, number of employees in organization, and industry type.

The age of the participants ranged from 18 to 67 years, with a mean age near 39 years and 3 months. Female participants (n=377; 61.9%) outnumbered male participants (n=232; 38.1%). Average overall tenure ranged from 6 months to over 45 years, with a mean near 13 years and 3 months, while mean of tenure with current employer were near 8 years and 8 months. Among the respondents, most of them, i.e. 28.4% had a four-year university degree, 19.4% finished vocational/craft schools, while master degree or higher had 17.9%. Bachelor or college degree had 15.1% respondents, 10.0% finished gymnasiums or professional schools, professional master degree hold 7.7%, 1.3% hold a doctorate/PhD, while 0.3% finished only primary school. Most of the respondents (48.3%) were engaged on various consulting positions, 19.9% were engaged as technicians, 16.9% as manual laborers, 10.2% were engaged on managerial positions, while 4.8% were engaged as researchers, university professors or university associates. Among them, 67.7% are full-time employees, 22.5% have fixed-term contracts, 5.7% are freelancers, 3.8% are volunteers, while 0.3% are re-employed pensioners.

Most of companies in which respondents are employed have less than 500 employees (70.9%), 15.6% have 1001–5000 employees, 8.5% have 501–1000 employees, 3.0% have more than 10000 employees and 2.0% have 5001–10000 employees. 73.9% organizations that employed respondents are wholesale and distribution companies, 17.6% companies are in production and the distribution of goods and services, while 8.5% of them are production companies, 22.5% respondents are employed in the education and science, 12.7% in retail, 10.9% in public services, 9.7% in communication and telecommunication, 8.6% are employed in health care, 5.5% in banking, 4.4% in lodging/food/tourism, 3.9 in automotive industry, 3.8% in art and culture, 3.3% in transportation, 3.1% in energy & natural resources, 2.8% in construction services, while 8.9% are employed in other industries and services.

For the qualitative component, the present study employed stratified purposeful sampling. We choose that sampling by reason that some authors suggest "purposeful sampling of particular cases combined with random sampling for survey to maximize both discovery and generalizability" (Greene, et al., 1989: 268). To identify respondents for the qualitative part of the study we opted for the purposeful sampling based on respondent's tenure. From the sample for quantitative component for the qualitative component of the study we selected 29 respondents, each of them with different length of tenure. Correspondingly, the sample for qualitative component of the study included similar number of randomly selected respondents with: less than five years of tenure (10 interviewees), from six to thirty years of tenure (11 interviewees), more than thirty years of tenure (8 interviewees). The average length of tenure for respondents were 15 years and 8 months. The sample included 16 female and 13 male respondents. The average age of the participants were 48 years and 2 months. The average tenure of interviewees was 15 years and 11 months, while the average tenure with current employer were 10 years and 4 months. Among the interviewees, most of them (51.7%) had a four-year university degree, 24.1% had bachelor or college degree, 13.8% finished vocational/craft schools, 6.9% finished gymnasiums or professional schools, while master degree had 3.5%. Most of the respondents (55.2%) were engaged on various consulting positions, 24.1% were engaged as technicians, 13.8% were engaged on middle-range administrative positions, while 6.9% were engaged on managerial positions. Most interviewees (20.7%) are employed in communication and telecommunication, in the field of education (13.8%), in lodging/food/tourism (13.8%), 10.3% of them are employed in retail, 10.3% in transportation, 6.9% in public services, 3.4% are employed in health care, 3.4% in energy & natural resources, 3.4% in art and culture, while 13.8% are employed in other industries and services.

## Instruments

To conduct the quantitative empirical research few instruments were prepared and adapted. Instruments development involved several stages. First, we developed a pool of items for each construct using a deductive approach, based on lists of common HRD activities derived in prior studies (Knowles, et al., 1998; Marsick, et al., In Chalofsky, et al., 2014; Ovesni, 2014; Rigg, et al., 2007; Swanson and Holton, 2001; Watkins & Marsick, 1993). This first stage's content validity was assessed using survey research through independent crosschecking by seven andragogy/HRD experts. Based on their suggestions the list of questions was shortened, and the correction of text translated from English to Serbian were performed to assure the accuracy of the items. Table 1 shows internal reliability coefficient, Cronbach's  $\alpha$  for all instruments used for collecting data for quantitative component of the study.

To measure *different aspects of HRD activities* (frequency of participation, content of activities, applicability of knowledge and skills obtained through HRD activities to practice, motivation for organizational and job-related learning, support to employees' learning, learning through evaluation, and availability of job-relevant information), we used 8 instruments. Frequency of participation in organized HRD activities (FP scale) was measured by 18-items instrument. A three-point frequency rating scale with anchors ranging from 1 ("never"), 2 ("rarely"), to 3 ("often") was used. For CA, AKS, ML, SL, LE, and AI scales each item had the response options to three choices, i.e. "1 = almost always", "2 = to a considerable degree" or "3 = seldom".

To measure *organizational commitment*, in 41-items instrument (OC scale) we used a three-point rating scale with anchors ranging from 1 ("agree"), 2 ("undecided"), to 3 ("disagree"). In the instrument, we included items with different intensity related to all three components of organizational commitment – affective, continuance and normative.

In the qualitative component of the study we applied semi-structured interview, aimed to gather data about experience and respondent's opinion about achievement of their engagement in HRD activities and about their commitment to organization. For this instrument under the term "HRD activities", we consider different spectrum of previously described HRD activities – related to organization, formal, informal, self-initiated, etc.

The interview protocol included ten open-ended questions. All questions were pilot tested for clarity with the group of graduate students in andragogy. The interviewees were informed that the interview will be anonym, audio-recorded by interviewer, and transcribed verbatim. Participants were labeled by random names. Interview length were 18 to 30 minutes. The interviews were transcribed, and the key themes were identified.

## Data Analyses Techniques

The collected data were subjected (in the first component) to a few common (frequencies, std. deviation, means, etc. with IBM SPSS Statistics 23) and more complex statistical proceedings (canonical correlation analysis with Dell Software STATISTICA 12.5). To supplement them, for the data collected by interviews, qualitative content analysis was used. The primary purpose of qualitative content analysis was to register different explanations of experience and interviewees' opinion about achievement of their engagement in HRD activities and about their commitment to organization. Three explanations were identified.

## Analysis and Discussion

### Quantitative Data

#### Relations between frequency of participation in HRD activities and organizational commitment of employees

Results of canonical correlation test for relationship between frequency of participation in HRD activities and organizational commitment of employees (Table 2) showed that two canonical correlations are significant. By using the cutoff correlation of 0.3 to select variables for each variable set, the variables in the set of frequency of participation in HRD activities (FP) correlated with the first canonical variate were: lack of employee engagement activities and HRD activities related to learning of business principles and standards. Taken as a pair, these variates suggest that lack of employee engagement activities followed almost only by HRD activities related to learning of business principles and standards leads to a lack of affective commitment of employees, i.e. to reduction of their attachment to organization.

The second canonical variate included learning about using organizational data basis and absence of HRD activities directed to obtain conflict solving skills. This pair of canonical variates reveal that reduction of HRD activities to learning about using organizational data base combined with absence of HRD activities directed to obtain conflict solving skills lead to lack of normative commitment of employees, i.e. to the loss of loyalty to organization.

### **Relations between content of HRD activities and organizational commitment of employees**

Canonical correlation test for relations between content of HRD activities and organizational commitment of employees (Table 2) revealed that two canonical correlations are significant. By using the cutoff correlation of 0.3 to select variables for each variable set, the one variable in the set of content of HRD activities related to organizational learning was included – "single-loop" learning activities. In organizations which operates in a hierarchical way, executive management and employees usually generates specific, subjective, implicit logical, for specific group characteristically information, that are difficult to generalize. In the organizational hierarchy, unlike to other employees, top managers generate an abstract, objective, explicitly logical, comparable information that could be generalized. Differences in perception between first line managers and employees at one hand, and senior executives and top managers, at the other hand are in the core of: tensions, distorted information, and creation of conditions for downsizing performance. Such practice does not encourage the development of creativity, or any kind of conditions necessary for the improvement of organizational performance, which is the main goal to any HRD professional or department. It has potential only for "maintaining the current level of efficiency in the implementation of the acquired knowledge with the possibility for obtaining new but fragmented, functional knowledge and skills of employees through participation in traditional educational and training programs" (Ovesni, 2014: 44). These variates suggest that learning in organization only through "single loop" HRD activities affect loss of loyalty (lack of normative commitment) to organization.

The second canonical variate included "double-loop" learning activities and overall organizational learning. This pair of canonical variates reveal that learning as a rigorous review of processes in which the error originally appeared and in completely restructuration of these processes, together with learning about some organizational determinants (culture, tradition, history, etc.) could raise up affective commitment (attachment to organization) of employees.

### **Relations between applicability of knowledge and skills obtained through HRD activities and organizational commitment of employees**

Third research question asked about a relationship between applicability of knowledge and skills obtained through HRD activities and organizational commitment of employees. Canonical correlation test (Table 2) revealed that one canonical correlation is significant. The variable which correlated with the first canonical variate was "application of knowledge and skills obtained through HRD activities only in case of error". Taken as a pair, these variates suggest that application of knowledge and skills obtained through HRD activities only in case of error leads to lack of loyalty, i.e. normative commitment. Apparently, if employees obtained some new knowledge and skills during participation in HRD activities, they expect that organization take care about content of these activities, and that organization expect that they apply it to their work-tasks. Nevertheless, if utilization of these knowledge and skills is limited only to cases when previous behavior is not sufficient, or in the case that it leads to error, they could lose confidence to organization that leads to weaker normative commitment.

### **Relations between motivation for organizational and job-related learning and organizational commitment of employees**

Results of canonical correlation test for relationship between motivation for organizational and job-related learning and organizational commitment of employees (Table 2) showed that one canonical correlation is significant. The variable which correlated with the first canonical variate was "autonomy in learning". Taken as a pair, these variates suggest that respondents with more autonomy for organizational and job-related learning are more loyal to their organizations. Autonomy represent the reflection of power (influence) and knowledge in context; it is critical in obtaining the status in own profession, job or among coworkers (Ovesni, 2014). Therefore, it is not surprising that employees with higher level of autonomy in job-related learning express stronger loyalty (normative commitment) to their organizations.

### **Relations between learning through evaluation of HRD activities and organizational commitment of employees**

Fifth research question asked about a relationship between learning through evaluation of HRD activities and organizational commitment of employees. Canonical correlation test for relations between learning through evaluation of HRD activities

and organizational commitment of employees (Table 2) revealed that one canonical correlations is significant. The variable which correlated with the first canonical variate was “discussions about application of learned”. This pair of canonical variates reveals that employees who reported that they discuss about possibilities to apply knowledge and skills obtained in HRD activities express stronger continuance commitment (gratitude). One of reasons could be that specific (“how-to”) knowledge could support their decision to stay in organization.

### **Relations between support to employees' learning and organizational commitment of employees**

Canonical correlation test for relations between support to employees' learning and organizational commitment of employees (Table 2) revealed that three canonical correlations are significant. The first canonical variate included support to share knowledge with co-workers and lack of support to employees' learning. This pair of canonical variates reveal that employees who been asked to share their knowledge with co-workers and those who don't have support for learning express lack of normative commitment, loyalty. First pair is especially interesting, because it reveals possibility that employees perceive sharing own knowledge as unethical practice, and potential high value given to job-related knowledge. Obliging someone to give something valuable to someone “for free” could trigger them to reconsider obligation to remain in organization due to ethical reasons. Moreover, absence of support for their job-related learning, especially if they are intertwined with some other factors of job dissatisfaction (lower status, job insecurity, low salary, poor work conditions, etc.) could also lead to lack of normative commitment to organization. The second canonical variate included learning about job, in free time, and full support for formal professional education. This pair of canonical variates reveal that respondents who learn about job in their own time, and those who have full support for formal professional education express higher affective commitment, attachment to organization. The third canonical variate included learning through social networks in free time, non-material support for formal professional education, provision of the on-the-job trainings, and support to participate in seminars, conferences, or other out-door learning activities. Taken as a pair, these variates suggest that respondents with more support for personally important job-related learning given by organization express stronger continuance commitment (gratitude) to organization.

### **Relations between availability of job-relevant information and organizational commitment of employees**

Results of canonical correlation test for relationship between availability of job-relevant information and organizational commitment of employees (Table 2) showed that two canonical correlations are significant. The first canonical variate included possibility for knowledge sharing via social networks, and for social networking among co-workers during working time. Taken as a pair, these variates suggest that respondents with more freedom in usage of social networks express stronger continuance commitment (gratitude). The second canonical variate included open access to all organizational data and freedom in using the Internet on the job. Taken as a pair, these variates suggest that employees that freely access all data necessary for successful job performance express higher attachment to organization (affective commitment). One of explanation is that employees tend to be creative in job-related problem solving, that they need open access to all job-relevant information, and through this – express tendency to work in a learning organization that support interconnectivity, creation of system for maintaining and sharing knowledge relevant to organization.

### **Qualitative Data**

Development of employees in organization is performing through different learning process that involve a broad spectrum of different HRD activities (Knowles, et al., 1998; Marsick, et al., In Chalofsky, et al., 2014; Ovesni, 2014; Swanson and Holton, 2001). Concerning responses given by interviewees in this study, HRD activities encompass: activities organized by employers that could be performed indoors or outdoors, activities organized by employees, or self-initiated activities. Although plentiful HRD activities are recognized by interviewees, availability and offer of them is very limited. Interviewees employed in the organizations that have high performance, or those involved into industries characterized by rapid changes, with emphasized need for innovations underline necessity for continuing learning. For example:

**Jovana:** “Considering that my industry is characterized by rapid changes, where day-to-day learning, that is supported by my company, is necessity. It is very important to be informed about all relevant changes. Once a year we have intensive training about new standards and regulative, and new methods. Also, during working time we can approach to all required information by different organizational web-portals”.

As important effects of learning in organization, employees usually itemize: obtaining new knowledge, development of good relationship with co-workers, building up self-confidence, deeper knowledge about own job, and with the context for its performance. Some of responses given by interviewees describes these effects:

**Zorica:** *"I would like to say that HRD activities organized by my organization not only that contribute to obtaining new knowledge, but also to development of good relationship and better communication with co-workers".*

**Olivera:** *"Learning and continuing attendance to seminars boost up my self-confidence."*

**Marko:** *"Trainings organized by my company helped me to obtain insight into processes and purposes of my organization."*

Based on obtained responses, we could conclude that most of them consider that participation of employees in HRD activities contribute to organizational commitment. Only few of them categorically deny it.

How to explain relations between HRD activities and organizational commitment? Reflections of interviewees about that issue are different. However, it is possible to extract a few explanations based on their statements. First explanation is based in opinion that planning and realization of different learning activities express concerns for employees, and expression of security of their jobs:

**Nemanja:** *"Education organized by company contribute to attachment and to loyalty to organization. That way, employees could get impression that company care about them and their skills, and that company have long-term plans with these employees."*

**Zoran:** *"Care about promotion and development of employees expressed through organizing learning activities develop empathy to my organization."*

The base for second explanation is conviction that development of organization is intertwined with development of employees. Development of competences necessary for optimal performance, building up self-confidence of employees, and drive organization toward optimal performance:

**Nemanja:** *"I consider that what I learned in my company obligate me to be loyal, and drives me to further learning".*

**Nevena:** *"Satisfaction with learned helped me to perform my job better, and acknowledgement that I am better than before drives me to stronger commitment to my organization."*

**Vladimir:** *"I feel that when I learn what I want, and my company benefits from it, we grow up together."*

The main characteristic of third explanation is opinion that organizational commitment is grounded in organizational climate that is developed through learning and understanding of own job, and context for its realization. Furthermore, as additional encouragement for stronger commitment to organization, interviewees emphasize relationship of employees with processes in organization.

**Aleksandar:** *"By learning in the workplace context somehow I accept job characteristics. These knowledge is only mine, and as consequence, they form my commitment to organization."*

**Tijana:** *"Workplace learning contribute to better understanding of the work-related processes and relationships in organization, and what you understand, is closer and more intimate, so you feel it as something what belongs to you."*

**Zlatija:** *"Learning in organization influence me... because create bonds with organization, helps me to understand organizational values."*

However, besides opinion that participation in HRD activities contribute to development of organizational commitment, some interviewees point to circumstances when such development is missing. For example, when participation of employees in HRD activities is not perceived as possibility to improve quality of own performance, but as a request to obtain a job. In such case interviewees underline that commitment to organization is not matter of choice, but necessity. In some cases, if they want to hold their work-position employees are obligated that in a certain period achieve a prescribed amount of points (by participation at seminars) or to pass some tests.

**Gorica:** *"HRD activities in our organization are usually directed to obtaining more points, and then, it is imposed. We participate in some seminars just because possibility to obtain points, not because possibility to learn something related to our work. To me, participation in such activities can't raise up my organizational commitment ... it means only that I'll get some points for it."*

Commitment to organization, besides engagement of employee in HRD activities, is caused by broad spectrum of different factors: organization culture, climate, management, tradition, critical reflection of achievements, feedback, research and

development, optimal performance requests, possibility to accomplish organizational mission and vision, possibility to understand organizational philosophy and politics, realization of ethical principles, etc. In our study, interviewees emphasized importance of: manager-employee relation, overall organizational climate, quality of communications between employees, acknowledgement with and acceptance of work processes, salary, work conditions, etc.

**Jelena:** *"Loyalty and commitment to organization are influenced by top managers who are capable to recognize efforts, efficacy, and commitment to job that are performed by workers."*

**Marija:** *"I would say that incomes provided by organization are base of loyalty, and that commitment is based on income arguments."*

**Vladan:** *"Loyalty comes from job satisfaction, that is primary satisfaction with salary and work conditions".*

## Conclusion

This study showed deep and complex interconnections of HRD activities and organizational commitment. Through first, quantitative component we learned that, at the one hand, limited scope and inadequate offer of HRD activities, as well as limitation to "single loop" HRD activities, issues with applying obtained knowledge and skills, forcing employees to share own knowledge with others, leads to the weaker normative commitment of employees, i.e. to reduction of employees' loyalty to organization. Moreover, limited scope and inadequate offer of HRD activities also lead to weaker affective commitment of employees, to reduction of their attachment to organization.

At the other hand, "double-loop" learning activities, learning about organizational culture, learning about job in free time, full support for formal professional education, and free access to all data necessary for successful job performance could raise up affective commitment of employees, i.e. to make attachment to organization stronger. Autonomy in job-related learning could trigger stronger loyalty (normative commitment) to organizations, while active learning through evaluation of HRD activities with more support for personally important job-related learning given by organization, and more freedom in usage of social networks raise up continuance commitment (gratitude).

Explanation of interplay between of HRD activities and organizational commitment given through second qualitative component of our study revealed that quality of these relationship depends on understanding the role of learning and participation in HRD activities – as reflection of organizational carefulness and long-term plans of human resource management, as prerequisite for improvement of organizational performance, as path of understanding and acknowledging with job character, as means to acceptance of organizational context, or as requirement for holding obtained work-position.

These findings could have consequences on human resource management practice. They pointed out necessity for differentiated approach to HRD activities design. As Ryan wrote: "When the circumstances warrant special attention, significant benefit is gained when a manager secures a personal commitment from the employee to be accountable for the desired results. Commitment is the key" (Ryan, 2003: 521, In Ovesni, 2014).

Although this study is among a very few studies for this topic, the usage of explanatory sequential design to explore the interconnection of human resource development activities and organizational commitment may require further researches with different samples, in different social context, or with longitudinal design and are necessary for better generalizability of results.

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Table 1. Internal reliability coefficients for CA, AKS, ML, LE, SL, and AI scales

Instrument	Number of items	Cronbach's $\alpha$ coefficient
Frequency of participation in organized HRD activities (FP scale)	18	0.83
Content of HRD activities (related to organizational learning) (CA scale)	10	0.69
Applicability of knowledge and skills obtained through HRD activities to practice (AKS scale)	16	0.80
Motivation for organizational and job–related learning (ML scale)	6	0.69
Learning through evaluation (LE scale)	7	0.64
Support to employees' learning (SL scale)	17	0.71
Availability of job–relevant information (AI scale)	5	0.66
Organizational commitment (OC scale)	41	0.94

Table 2. Canonical correlation test for relationship between HRD activities and commitment of employees

FREQUENCY OF PARTICIPATION	Chi–Square Tests with Successive Roots Removed				p	$\lambda'$
	Cncl R	Cncl R <sup>2</sup>	$\chi^2$	df		
	0.365	0.134	195.375	108	0.000	0.720
0.256	0.065	110.0023	85	0.036	0.831	
1st Cncl Var.	2nd Cncl Var.					
employee engagement activities	–0.589			/		
business principles and standards	0.406			0.706		
using organizational data basis	/			0.473		
conflict solving skills	/			–0.414		
Percent of variance			36.46%			
Redundancy			12.53%		16.61%	
CONTENT OF HRD ACTIVITIES (related to organizational learning)	Chi–Square Tests with Successive Roots Removed				p	$\lambda'$
	Cncl R	Cncl R <sup>2</sup>	$\chi^2$	df		
	0.395	0.156	360.376	220	0.000	0.544
0.358	0.128	260.184	189	0.000	0.644	

	1st Cncl Var.			2nd Cncl Var.		
	lack of normative commitment			affective commitment		
"single-loop" learning activities	0.397			/		
"double-loop" learning activities	/			0.672		
lack of organizational learning	/			-0.506		
				Percent of variance		54.46%
				Redundancy		17.19%      14.07%
APPLICABILITY OF KNOWLEDGE AND SKILLS (obtained through HRD activities to practice)	Chi-Square Tests with Successive Roots Removed					
	Cncl R	Cncl R <sup>2</sup>	$\chi^2$	df	p	$\lambda'$
	0.436	0.190	286.308	144	0.000	0.618
	1st Cncl Var.			Percent of variance		36.46%
	lack of normative commitment			Redundancy	12.53%	16.61%
only in case of error	0.556			/		
MOTIVATION FOR ORGANIZATIONAL AND JOB-RELATED LEARNING HRD ACTIVITIES	Chi-Square Tests with Successive Roots Removed					
	Cncl R	Cncl R <sup>2</sup>	$\chi^2$	df	p	$\lambda'$
	0.409	0.167	168.466	64	0.000	0.755
	1st Cncl Var.			Percent of variance		89.42%
	normative commitment			Redundancy	15.15%	15.64%
autonomy in learning	0.635			/		
LEARNING THROUGH EVALUATION	Chi-Square Tests with Successive Roots Removed					
	Cncl R	Cncl R <sup>2</sup>	$\chi^2$	df	p	$\lambda'$
	0.436	0.190	166.059	49	0.000	0.758
	1st Cncl Var.			Percent of variance		55.37%
	continuance commitment			Redundancy	16.16%	18.17%
discussions about application of learned	0.462			/		

Table 2 (continued). Canonical correlation test for relationship between HRD activities and commitment of employees

	Chi-Square Tests with Successive Roots Removed				p	$\lambda'$
	Cncl R	Cncl R <sup>2</sup>	$\chi^2$	df		
SUPPORT TO EMPLOYEES' LEARNING	0.457	0.209	318.366	136	0.000	0.586
	0.297	0.088	179.147	112	0.000	0.740
	0.282	0.079	124.245	90	0.010	0.812
	1st Cncl Var.		2nd Cncl Var.			
	lack of normative commitment		affective commitment			
support to share knowledge with co-workers	0.424				/	
lack of support	0.381				/	
learning about job, in free time	/				0.626	
full support for formal professional education	/				0.378	
	3rd Cncl Var.		Percent of		51.3	

				variance		5%
				Redundancy	20.05%	16.6 8%
learning through social networks in free time	0.669					
non-material support for frm. prof. education	0.504					
provision of the on-the-job trainings	0.381					
support for seminars, conferences, etc.	0.328					
AVAILABILITY OF JOB-RELEVANT INFORMATION	Chi-Square Tests with Successive Roots Removed				p	$\lambda'$
	Cncl R	Cncl R <sup>2</sup>	$\chi^2$	df		
	0.412	0.170	216.414	85	0.000	0.696
	0.308	0.095	105.379	64	0.001	0.838
	1st Cncl Var.		2nd Cncl Var.			
	continuance commitment			affective commitment		
knowledge sharing (social networks)	0.494			/		
allows social networking among co-workers	0.331			/		
open access to all organizational data	/			0.617		
allows using the Internet on the job	/			0.957		
		Percent of variance		48.72%		
		Redundancy		18.92%	15.75%	

## The Agreeableness Type of Personality and the Basic Personal Values

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### Abstract

The goal of this study is to discover the relationship between the agreeableness type of personality and the basic personal values, analyzed through non-experimental methodology and quantitative approach. The sample of this study is the Albanian high school seniors in Skopje, Republic of Macedonia which consists of 479 subjects, randomly selected from the total sample specified. The subjects' willingness to participate in the survey and their anonymity was respected by following all ethical norms. The results of correlative statistics show that there is association between the agreeableness type and all basic personal values, while the comparative statistics indicate statistically significant differences between the basic personal values related to the agreeableness type of personality and the highest mean score was reached by the value universalism. The Eta square agreeableness type of personality results showed a relatively low effect on the values stimulation as well as hedonism.

**Keywords:** personality, agreeableness type, basic personal values.

### 1. Introduction

The goal of this study is to discover the relationship between the agreeableness type of personality and the basic personal values, variables that belong to organizational psychology and the theory of personality.

Agreeableness is a personality trait that holds people to be accommodating and help (Burch and Anderson, 2008) them solve issues by creating win-win situation by their flexible attitude (Cattell and Mead, 2008). The notion value refers to beliefs on which situations or actions are desirable. Basic personal values are treated based on Salom Shwartz theory i.e. the Theory of basic values (1994, 2012). Shwartz sees values as consistent standards based on which we value everything else, including the appropriateness of norms, attitudes, traits or virtues that might be suggested to us. The values included in this study are: conformity, tradition, benevolence, universalism, self-direction, stimulation, hedonism, achievement, power and security. Guth et.al (1965) stresses that: "Values are not only closely related to personality, they are part of it, and serve as a guiding system by personality when facing choices and alternatives, values form a very consistent personality trait of an individual, especially if some values are clearly dominated by the others".

It is the first time in the Republic of Macedonia that statistical data related to the abovementioned variables are presented. Therefore, these results will open one more page for the organizational psychology and researchers who will examine these variables in the Republic of Macedonia.

#### 1.1 Agreeableness type

Agreeableness is a personality trait that holds people to be accommodating and help (Burch and Anderson, 2008) them solve issues by creating win-win situation by their flexible attitude (Cattell and Mead, 2008). These people are usually very social (Mount et al., 2005) and friendly, generous in negotiations, usually balancing reports in tense situations. These people have a tendency to attain cooperation and social harmony (Goldberg, 1992). Helping the others is their incorporated attribute and therefore they believe that the others are also honest and trustworthy (Saucier and Goldberg, 1998). On the other hand, people who rank low in this trait of personality have a tendency to be selfish, unfriendly (Howard et al., Howard, 1995), and rough in social relationships (Ostendorf et al., 1992). For the reason that they are selfish, they believe that others work against them, and therefore are suspicious (Goldberg, 1992). Furthermore, these people are not concerned

for the other and it is less likely they will help others by sacrificing their own interests. In the five factor personality model, only artistic, social and entrepreneurial interests were clearly related to the personality traits. Artistic interest is positively associated to agreeableness and intellect ( $r=.26$  and  $r=.27$  respectively); social interest was moderately associated to agreeableness ( $r=.43$ ).

## 1.2 Basic personal values

The notion value refers to beliefs on which situations or actions are desirable. Basic personal values are treated based on Salom Shwartz theory i.e. the Theory of basic values (1994, 2012). Shwartz perceives values as consistent standards based on which we value everything else, including the appropriateness of norms, attitudes, traits or virtues that might be suggested to us.

The values included in this study are: conformity, tradition, benevolence, universalism, self-direction, stimulation, hedonism, achievement, power and security.

- 1) *Conformity* is defined as a restraint of actions, inclinations, and impulses likely to disturb or harm others and violate social expectations or norms.
- 2) *Tradition* refers to respect, dedication, and acceptance of the customs and ideas that traditional culture or religion offer.
- 3) *Benevolence*: protection and enhancement of the people's welfare with whom the individual is in frequent personal contact
- 4) *Universalism* represents the understanding, appreciation, tolerance, and protection for the welfare of all people and for nature.
- 5) *Self-direction*: independent thought and action—choosing, creating, exploring.
- 6) Stimulation refers to excitement, novelty, and challenge in life
- 7) *Hedonism*: enjoyment and profound gratification for oneself.
- 8) Achievement: personal success through demonstrating aptitude according to social standards
- 9) *Power* refers to the inclination for social status and prestige, control or dominance over people and resources.
- 10) *Security* is defined as safety, harmony, and stability of society, of relationships, and of self.

Guth et.al (1965) stresses that: "Values are not only closely related to personality, they are part of it, and serve as a guiding system to personality when facing solutions and alternatives, values form a very consistent personality trait of an individual, especially if some values are clearly dominated by the others".

Agreeableness predicts values associated to the quality of social interaction such as: appreciating teamwork and unity and disapproval of competition and benefits. The agreeableness dimension branches the differences between the people-oriented and objective-oriented values (McCrae and Costa, 1996).

## 2. Research methodology

The aim of this research study is to determine the level of association between the agreeableness type of personality and basic personal values through non-experimental quantitative methodology using original measuring instruments appropriate to the main variables. The set hypotheses, based on the theoretical frame, are that:

-there is positive association between the agreeableness type of personality and basic personal values.

-the agreeableness type reaches the highest level of mean score by the value *universalism*

The population of this research consists of all senior students of Albanian high schools in Skopje, Republic of Macedonia, (High schools: "Zef Lush Marku", "Arseni Jovkov", "Cvetan Dimov", "Pançe Karagjozov", "Vlado Tasevski", "Marija Kiri", "8 Shtatori", "Zdravko Cvetkovski"), and the total number of subjects is 479. During the data analysis 50 subjects were excluded from the final results since the validity of the data was threatened. Based on gender, 200 male and 279 female subjects were included, whereas 222 lived in rural areas and 257 in urban areas. Other descriptive data was not calculated

as it was not within the scope of the study goals but were set to control any factors that might threaten the results. The descriptive data present in the measuring instruments did not indicate any threats during the variable measurements. The subjects in the survey were randomly selected and their willingness to participate as well as their anonymity was fully respected by following all ethical norms.

The survey was conducted during March-April 2017 and the study as a whole ended in 30.08.2017.

## 2.1 Measuring instruments

The measurement of the variable of agreeableness type of personality was achieved through the five factor questionnaire of personality – Big Five Inventory ((BFI; John, Donahue et al, 1991 and John et al 2008)) and only the data of the items 26, 27, 28, 29, 30, 31, 32, 33, were processed since they obtained the sincere opinion of the subject on how much they trust others, how much they oppose others, how easy they adapt, how much they think of themselves, how concerned they are about the others and to what extent they pressure others to complete an activity.

The BFI reliability value for extraversion in Alpha Cronbach scale reached satisfactory value of .508. The approval of nine items with the highest possible value in the answers from 1 (never) to 5 (very often) indicates that the subject has a more expressed agreeableness personality. This questionnaire is applied for the first time in Macedonia and is translated into Albanian through back translation procedure.

In previous research where this instrument is applied (Benet-Martinez and John, 1998; John et al.,2008; Soto, John, Golsing and Potter, 2008) according to Alpha Cronbach scale, it resulted with high reliability from .81 to .88 with an average .85.

### The personal values questionnaire Portrait Values Questionnaire (PVQ)

(PVQ-40; Schwartz, 2003; Schwartz et al, 2001). This questionnaire is created by SVS (Shwartz Value Survey, 1992) with the idea of developing an instrument which is less abstract. It consists of 40 items which include descriptions of individuals that support certain values, including three to six items per value. The subjects answer on the scale from 1 (very much like me) to 6 (not like me at all) to describe to what extent they comply with the value descriptions. The questionnaire is constructed to measure ten basic personal values: conformity, tradition, benevolence, universalism, self-direction, stimulation, hedonism, achievement, power and security. The portraying is achieved by two types of questions: the first one refers to the importance (*it is important for them to have in their life...*), and the second one refers to aspirations or desires (*he/she want, seeks, believes...*). The instrument resulted in high reliability on all value categories, with an exception (tradition) conformity =.73, benevolence =.65 tradition =.51, universalism =.85, self-direction =.89, stimulation =.78, hedonism =.81, achievement =.84, power =.69 and security =.64 according to Carson J. Sandy, Samuel D. Gosling, Shalom H. Schwartz & Tim Koelkebeck (2016).

The same questionnaire is used by Desirée Knoppen; Willem Sari (2009), Alvaro Tamayo, Juliana Barreiros Porto (2009), Constanze Beierlein, Eldad Davidov, Peter Schmidt, Shalom H. Schwartz, Beatrice Rammstedt (2012).

## 2.2 Findings

Table 1 presents the descriptive statistical analysis for the main variables of the study, the agreeableness type of personality and basic personal values according to the Kurtosis statistic. The agreeableness personality type is averaged (M = 20.42) from minimum 13 and maximum 34 and standard deviation (SD = 3.71). The value *conformity* is averaged (M = 17.53) from minimum 7 and maximum 24 and standard deviation (SD = 3.23). The value *tradition* is averaged (M=17,28) from minimum 8 and maximum 24 and standard deviation (SD=3,30), *benevolence* is averaged (M=18,32) from minimum 7 and maximum 24 and standard deviation (SD=3,73), *universalism* is averaged (M=27,08) from minimum 13 and maximum 36 and standard deviation (SD=5,04), *self-direction* is averaged (M=17,83) from minimum 7 and maximum 24 and standard deviation (SD=3,72), *stimulation* is averaged (M=13,17) from minimum 5 and maximum 18 and standard deviation (SD=3,03), *hedonism* is averaged (M=12,08) from minimum 4 and maximum 18 and standard deviation (SD=2,98), *achievement* is averaged (M=17,12) from minimum 6 and maximum 24 and standard deviation (SD=3,72), *power* is averaged (M=10,13) from minimum 3 and maximum 18 and standard deviation (SD=21,75), *security* is averaged (M=21,75) from minimum 11 and maximum 30 and standard deviation (SD=4,11). From the data it is obvious that, in contrast to other personal values, the dominating basic personal value of the subjects is *universalism* with the highest mean score from the general data.

**Table 1.** General mean score of agreeableness personality type and the basic personal values.

	N	Minimum	Maximum	Mean	Std. Deviation	Kurtosis	
	Statistic	Statistic	Statistic	Statistic	Statistic	Statistic	Std. Error
agreeable_elimination	479	13.00	34.00	23.5136	3.71800	-.135	.223
PV_security	479	11.00	30.00	21.7537	4.11877	-.665	.223
PV_conformity	479	7.00	24.00	17.5324	3.23140	-.258	.223
PV_tradition	479	8.00	24.00	17.2881	3.30216	-.273	.223
PV_benevolence	479	7.00	24.00	18.3236	3.73069	-.339	.223
PV_universalism	479	13.00	36.00	27.0877	5.04630	-.615	.223
PV_self-direction	479	7.00	24.00	17.8351	3.72147	-.408	.223
PV_stimulation	479	5.00	18.00	13.1795	3.03348	-.381	.223
PV_hedonism	479	4.00	18.00	12.0814	2.98105	-.384	.223
PV_achievement	479	6.00	24.00	17.1211	3.72737	-.409	.223
PV_power	479	3.00	18.00	10.1399	3.45794	-.590	.223
Valid N (listwise)	479						

The results presented in table 2 and 3 show the association between the agreeableness personality type and basic personal values which verify the first hypothesis stating that: *there is positive association between the agreeableness and basic personal values*. The data indicates that the agreeableness type has statistically significant and positive association to all basic personal values, and the association to values is as follows: *conformity* ( $r=.135$ ;  $p<.01$ ), *tradition* ( $r=.122$ ;  $p<.01$ ), *benevolence* ( $r=.249$ ;  $p<.01$ ), *universalism* ( $r=.255$ ;  $p<.01$ ), *self-direction* ( $r=.224$ ;  $p<.01$ ), *stimulation* ( $r=.234$ ;  $p<.01$ ), *hedonism* ( $r=.274$ ;  $p<.01$ ), *achievement* ( $r=.172$ ;  $p<.01$ ), *power* ( $r=.119$ ;  $p<.01$ ), *security* ( $r=.173$ ;  $p<.01$ ).

**Table 2.** Correlations of agreeableness type of personality and basic personal values.

	Agreeableness type	Conformity	Tradition	Benevolence	Universalism	Self-direction
Agreeableness type	1	.135**	.122**	.249**	.255**	.224**
Pearson Correlation						
Sig. (2-tailed)		.003	.007	.000	.000	.000
N	479	479	479	479	479	479

\*\* . Correlation is significant at the 0.01 level (2 tailed).

**Table 3.** Correlations of agreeableness type of personality and basic personal values.

	Agreeableness type	Stimulation	Hedonism	Achievement	Power	Security
Agreeableness type	1	.234**	.274**	.172**	.119*	.173**
Pearson Correlation						
Sig. (2-tailed)		.000	.000	.000	.009	.000
N	479	479	479	479	479	479

\*\* . Correlation is significant at the 0.01 level (2-tailed).

The table 4 shows the results of one way ANOVA regarding the differences of basic personal values mean scores and the agreeableness type of personality. According to the results it is proved that: the agreeableness type achieves high level on PV *benevolence* with  $M=19,2763$  and  $SD= 3,75614$ , in contrast to the average type with  $M= 18,4892$  and  $SD=3,39729$  and the less agreeableness type with  $M= 17,4309$  and  $SD=3,75599$  [  $F(10,910)$   $p<.000$ ]. For the basic personal value *universalism*, the agreeableness type achieves high level  $M=28,6382$  and  $SD= 4,43279$ , in contrast to the average type

with  $M= 26,7698$  and  $SD= 4,90684$  and the less agreeableness type with  $M= 26,0691$  and  $SD=5,32781$  [ $F(11,789) p<.000$ ]. For the basic personal value *hedonism*, the agreeableness type achieves high level  $M=13,2566$  and  $SD= 2,85290$ , in contrast to the average type with  $M= 11,7698$  and  $SD= 2,75396$  and the less agreeableness type with  $M= 11,3617$  and  $SD=2,97171$  [ $F(8,739) p<.000$ ]. However, there were no differences between the levels of basic personal values and the agreeableness type regarding the values: conformity, tradition, self-direction, stimulation, achievement, power and security therefore their results were not indicated in the study.

Table 4. Differences of basic personal values in the agreeableness type of personality

		N	Mean	Std. Deviation	Std. Error	Minimum	Maximum	F	Sig.
Benevolence	Low	188	17,4309	3,75599	,27393	7,00	24,00	10,910	,000
	Average	139	18,4892	3,39729	,28815	8,00	24,00		
	High	152	19,2763	3,75614	,30466	7,00	24,00		
	Total	479	18,3236	3,73069	,17046	7,00	24,00		
Universalism	Low	188	26,0691	5,32781	,38857	13,00	36,00	11,789	,000
	Average	139	26,7698	4,90684	,41619	14,00	36,00		
	High	152	28,6382	4,43279	,35955	17,00	36,00		
	Total	479	27,0877	5,04630	,23057	13,00	36,00		
Hedonism	Low	188	11,3617	2,97171	,21673	4,00	18,00	19,442	,000
	Average	139	11,7698	2,75396	,23359	5,00	18,00		
	High	152	13,2566	2,85290	,23140	5,00	18,00		
	Total	479	12,0814	2,98105	,13621	4,00	18,00		

The effect of agreeableness type on basic personal values *stimulation* and *hedonism* was examined through Eta square where the findings indicate as follows: the agreeableness type has a low effect on the value *stimulation* ( $\eta^2=.112$ ) or 11.2%, as well as on the value *hedonism* ( $\eta^2=.138$ ) or 13.8%., (Table 5).

**Table 5.** The effect of agreeableness type on basic personal values according to Eta square.

	Eta	Eta Squared
Stimulation *		
Agreeableness type	.335	.112
Hedonism *		
Agreeableness type	.371	.138

### 3. Conclusion

Referring to the reliable statistical results of the study which were obtained through questionnaire measurements appropriate to the main variables of the study, it was proved the agreeableness type of personality has a positive association and statistically significant to all basic personal values. These findings are not found in any previous research in the Republic of Macedonia, yet the other research show that: "Values are not only closely related to personality, they are part of it, and serve as a guiding system by personality when facing choices and alternatives, values form a very consistent personality trait of an individual, especially if some values are clearly dominated by the others" Guth et al. (1965), just as the McCrae and Costa, 1996 study shows that agreeableness predicts the values related to quality of social interaction such as: appreciating teamwork and unity and disapproval of competition and benefits.

In the five factor personality model, only artistic, social and entrepreneurial interests were clearly related to the personality traits. Artistic interest is positively associated to agreeableness and intellect ( $r=.26$  and  $r=.27$  respectively); social interest was moderately associated to agreeableness ( $r=.43$ ).

One way ANOVA statistical data prove that there are statistically significant differences in basic personal values in the agreeableness type of personality where the value universalism achieved the highest mean score and hedonism the lowest, whereas values such as: conformity, tradition, self-direction, stimulation, achievements, power and security had no significant differences. Other studies on the same variables show that: the agreeableness dimension branches the differences between the people-oriented and objective-oriented values (McCrae and Costa, 1996).

The effect of agreeableness type on basic personal values was examined through Eta square where the findings show that there was effect on values stimulation and hedonism ( $\eta^2=.112$ ),

( $\eta^2=.138$ ). These results have not been examined in any other previous research in our country and they represent a valuable and important finding in the organizational psychology which leads to opening a new chapter for further studies and researchers on the same topic.

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## Analysis of the use of Google Classroom, in the students of System Engineering of the Instituto Tecnológico de Mexicali

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### Abstract.

Google Classroom is a new tool that allows the student to work online with various file formats such as MP3 audios, Videos, Photos, images, PDF files, which are intended to be a valuable tool in the teaching process. The objective of this quantitative research is to measure the impact on the users of the systems engineering career of the Instituto Tecnológico de Mexicali with 402 students enrolled and to make a diagnosis, based on the results of a survey applied to a 71 students of the career of Systems Engineering of the Instituto Tecnológico de Mexicali.

**Keywords:** Google, Classroom, Ingeniería de sistemas.

### Introduction

In the 1980s and 1990s, the issues of competitiveness were not on the agenda at meetings in which the top management of business organizations participated, but in this 21st century, with the great advances in information technologies and the communication, the changes are so rapid that top management must innovate. It is for this reason that researchers have focused their lines of research and development to generate new strategies for those organizations that are more competitive. This is the reason why this study points out to us the topics related to the use of the students of systems engineering career of the Instituto Tecnológico de Mexicali of Google Classroom.

### Methodology

To begin to explain the design of the research as well as the conception of the research idea and the research problem, we later defined the objectives of research and formulation of research questions; In addition and following the methodology, we explain the type of methodology to be followed according to the proposed objectives. We will then focus on the specific description of our study population, indicating the main factors for which it has been delimited, including in addition the statistical formula used to determine the sample. In a following section we will define the technique and instrument used for the compilation of the information that makes up the sample, basically focusing on the survey. We will explain the main variables we have included in the research and the measures used to make them operations. On the other hand, we dedicate a section to the analysis of the measurement scales, so that we analyze the different dimensions of competitiveness according to the model used, based on a factorial analysis, as well as verified the reliability and validity of the previous scale of measurement with which we obtained the information, which we use in the next section. And finally we will detail the assumptions used in the research as well as the analytical techniques for comparing them statistically.

$$n = 71$$

$$N = 402 \quad 402 (3.8416) (0.5) (0.5)$$

$$Z\alpha = 1.96 \quad n = \frac{402(3.8416)(0.5)(0.5)}{(1.96)^2} = 71$$

$$p = .17 \quad (402-1)(0.0025) + (3.8416)(0.17)(0.17)$$

q = .17

e = .17

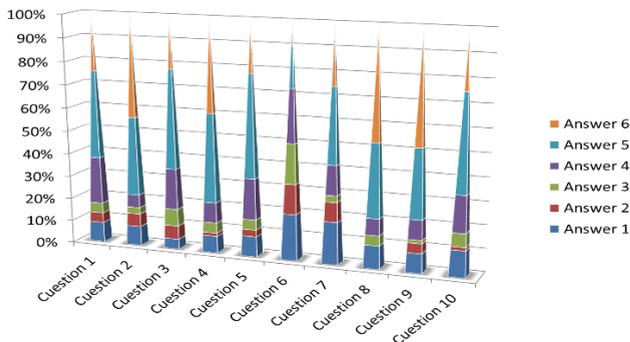
### Survey

1. The Google Classroom Platform, which is used in the subjects of the career of Computer Systems Engineering at the Instituto Tecnológico de Mexicali, are known by students.
2. The Google Classroom platform that is used in the subjects of the Computer Systems Engineering career at the Instituto Tecnológico de Mexicali is useful for the student.
3. The Google Classroom platform that is used in the subjects of the Computer Systems Engineering career at the Instituto Tecnológico de Mexicali is used regularly in classes.
4. The Google Classroom platform that is used in the subjects of the career of Computer Systems Engineering at the Instituto Tecnológico de Mexicali will be recommended to other students.
5. The Google Classroom platform that is used in the subjects of the career of Computer Systems Engineering at the Instituto Tecnológico de Mexicali, considers them necessary for a better learning.
6. The Google Classroom platform that is used in the subjects of the Computer Systems Engineering career at the Instituto Tecnológico de Mexicali, Apart from the use in class you have seen them being used in some other career.
7. The Google Classroom platform that is used in the subjects of the Computer Systems Engineering career at the the Instituto Tecnológico de Mexicali, In the last 12 months you have used them.
8. The Google Classroom platform that is used in the subjects of the career of Computer Systems Engineering at the Instituto Tecnológico de Mexicali, If you had the opportunity to use this technology you would use it.
9. The Google Classroom platform that is used in the subjects of the career of Computer Systems Engineering at the Instituto Tecnológico de Mexicali, considers them reliable for use in the classroom.
10. As a student of the subjects of the career of Computer Systems Engineering at the Instituto Tecnológico de Mexicali, You consider yourself an enthusiast of the Google Classroom platform

With the following multiple choice answers:

- a. Strongly Disagree
- b. Disagree
- c. I slightly disagree
- d. A little agreement
- e. Agree
- f. Totally agree

### Result:



## Conclusions

Based on the answers obtained google classroom if it is known by the students, besides being considered useful, and is used regularly in classes, and students recommend it to other students, and consider them necessary for a good learning, it was detected that not all the students use the google classroom, but more than 50% of the students surveyed use it, 100% of the students surveyed want to use it, 80% of the students consider it a reliable tool, more than 90% of students are considered technology enthusiasts.

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## Global Effects in Political Ideology-Case of Kosovo

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### Abstract:

The paper examines the global effects on political ideologies in the case of Kosovo not only theoretical but also practical aspects. The ideological misunderstanding of political parties in Kosovo at a first reading creates the idea of a virus that has passed in many countries with consolidated democracy. In this logic, we can not claim something different to us, for how long, the claim to refer to different doctrines is viewed with much scepticism. To achieve the objectives of the paper, we have elaborated the global effects that have in the ideologies of political parties in Kosovo. The paper found that Integration into the European Communities over the years has become an indisputable priority for any government in Kosovo. The integration process changes in the government program of any political force, not just on paper. It was observed there exists International organizations such as the IMF strive, with a degree of success, to push and impose aspects of globalization in a particular direction, and such discourses, such as neoliberal economic discourse, are an important part of the strategy for to achieve this goal. The findings, therefore, suggest that through participation in democratic elections, they want to represent these interests to representatives and formal political institutions.

**Keywords:** Kosovo, Political parties, Ideology, Globalisation, IMF, EU

### Introduction

The ideological misunderstanding of political parties in Kosovo at a first reading creates the idea of a virus that has passed in many countries with consolidated democracy. In this logic, we can not claim something different to us, for how long, the claim to refer to different doctrines is viewed with much skepticism.

There are many political scientists who advocate how socialism and capitalism are doing practices that are close to each other. In the European and global political scene, it is found a cooling and reduction of the debate and of the leftist right antagonistic positions.

Adapting a modern philosophy that is important to identify the problem, find the causes of creation and propose measures or better policies for its elimination, has oriented the left and right political forces as well as their programs Towards more pragmatic solutions in relation to social theory or social currents that they might prefer. Social processes themselves force them to do so.

The most typical example of this political philosophy is Tony Blair's political experience in England and the success of his liberal neolabouristic platform which is synthesized in ensuring the survival of binomial economic efficiency - social equality. The same philosophy and political action is also found in the analysis Of reforms or development programs in Germany, Switzerland, Denmark, Norway, Austria, Finland, Sweden, USA, etc., although in many cases the ruling parties were parties of the right-wing Christian Democrats or traditional conservatives, again a political pragmatism is Solving the problems associated with a pragmatic compromise with the parties of social democratic orientation. However, despite the similar tendencies in these countries, the Albanian context is not the same and certainly the factors that have influenced these countries for such policies do not have the same effect. Exactly, the evaluation of external and internal factors in the Albanian context is of interest, whether to "blame" the political class somewhat for ideological ambiguity but also to make it accountable for the reports it has created over the years.

### The Influence of Globalization in Defining Political Ideologies

The notion of globalization is more and more described, and less defined, because it is very complex as a concept. "The word globalization in most dictionaries is interpreted as a notion that implies the world as a whole. The global surname was

born at the end of the 19th century to mark the overall world, while the globalization name entered for the first time in the Webster dictionary in 1961. (Smith Baylis & Owens, 2010)

Globalization, globalisation, is translated as an expression: universally, the universe. French call globalization globalism. The idea of globalization has many meanings, once used in terms of direction, development of capitalism, or as a notion of the new world business paradigm as a technical term for describing economic processes, political processes and national processes. Some expressions, "globalization, are exclusively used to describe the relationship between the continents (Pelevik, 2003).

Globalization, described by Gunchenout, is very impersonal, since its concept is undefined. Determining globalization largely depends on the perspective that the author explores: the economic, social, cultural, communicative, and ecological or governance aspect.

As for Robert W. Cox (Cox, 1992), the trends of globalization include the internationalization of production, the new international labor division, the new migratory movements from the South to the North, the new competitive circles that accelerate the processes of internationalism and turn states into agencies of the world globalized. While Richard Muir (Muir, 1997) advocates that it is not a political concept, but above all, it is a phenomenon that has arisen with the development of technology, economic trends, and enterprise activity that can change political systems. For Charles Kegley (Kegey, 2008), the phenomenon of globalization is defined as the interconnection of states through the constant growth of cooperation, communications and trade that precedes the creation of the world as an integrated and dependent whole or the global system and the unique country in which processes Changes connect the same lucky people.

From various approaches to globalization, it is possible to conclude that the overall definition may include the economy, politics and culture. It is necessary to improve the broadly-conceived globalization as a global economy, as globalization is a rather complex process, while the creation of the global economy is a part of it.

Globalization for many scholars is a major challenge for state sovereignty. This is because the foreign policy of a state is dependent on supranational institutions. In essence, this independence is the willingness of the state to align its foreign policy with the policy of international institutions, regimes and norms in exchange for favors of a different kind (Thomas, J. Alford, R. Hicks, A. Schwatz, M, 2005).

Despite the manifest process of reconciling domestic trade with global trade, which is always descriptive and shapes the national economy as a subordinate part, it is always possible but with the greatest difficulty to distinguish between national, regional and global economies. The development paradigm according to Jasna Plevnik (Plevnik, 2003) is the ideological currency of globalization, a model that will surely exist for the future, as propagating the most powerful states. According to this model, the key to the development of each country is the ability to integrate this economic system into the global economic system.

Contemporary French philosopher Alain Finkielkraut warns about the phenomenon of marginalization of the policy, the role and importance of which the economy takes. Even for Manuel Castels (Castels, 2010), politics is no longer a place of power, despite its influence still going on. While Ulrich Beck (Beck, 2000) for globalization defends the thesis that world ideology or ideology of neoliberalism develops precisely because of political activity. Economic globalization has a strong impact on international relations through the process of market, goods, services and finance integration, argues Eric Hobsbawm (Hobsbawm, 1994), but this does not mean that we have only a content of international relations in the external and internal relations of states. In Webster's vocabulary the notion of geo-economics is defined as a letter for the letter etymologically, as the activity of economic policies in the global space. The ideology of mobilizing capital is more widely represented by international organizations such as the International Monetary Fund, the OECD and the World Trade Organization. These institutions have reduced the power of the state.

World Trade Organization member states have been summoned with the aim of familiarizing themselves with their international core labor standards and reviewing the relationship between trade provisions and workers' rights. We take the case of the International Monetary Fund, which has become the lender of the Third World in order to secure the temporary loan of these countries. Loans granted to these countries conditioned the IMF to reduce overall spending, in some cases with devaluation requirements for the national currency, reducing donations to social policy by significantly curbing the areas of national independent policy (Ch, 2008).

Since the requirement for IMF involvement comes from the government of the state which represents interest in credit, such commitment is not interpreted as a threat to sovereignty, although the definitions presented are large. The IMF has approximately uniform and rigid access to countries that become debtors in this institution and expect them to exclusively follow the financial logic. In this logic Plevnik states: states need to be highly disciplined to govern economic policy in accordance with rules dictated by the IMF, but this logic not only causes problems because the specifics of that country are not taken into account or are not allowed to take measures for which perhaps the economic situation could be advanced. No wonder that IMF role Joseph Stiglitz has labeled metaphorically as firefighters (Kegey, 2008).

Rightly Thomas, Alford, Hicks, and Schwatz (Thomas) advocate the idea that politics has not disappeared and has not lost its impact, but in content terms it is increasingly becoming a supporter of economic activity, whereas previously the economy has been supportive of political activity. The economy thus becomes the fundamental means of political power.

This concept is accompanied by prominent sociologist Anthony Giddens when he points out: ... global social globalization through which distant countries keep in touch with one another, so that events in a particular country are characterized by the same processes as it may happen Another country miles away ... and vice versa. But, the conclusion and the best summary is given by Laurent Carroue. ... Current globalization, this geo-historical process of the progressive expansion of capitalism on a planetary scale, is at the same time a liberal ideology, a coin, a dollar, a model - capitalism, a political system, democracy, a language – English (L. Carroue, D. Collet et C. Ruiz., 2005). Some politologists have given another dimension, calling globalization ... an indicator of reconfiguration of the role of the state in relation to the actors and new challenges ... or in a more global plan a typical phenomenon of international relations ... which represents the global context in the To which all the trends and forces of force and power develop on a planetary scale. First and foremost, there is the so-called economic globalization that is closely related to the worldwide spread of services, the extraordinary mobility of capital, the workforce, innovation, technical and technological knowledge, the creation of global markets, the expansion of Firms and multinational companies and products made in world etc. This specific profile, according to many authors who have specifically addressed it, implies three dimensions: geographical (capital movement from one country to another); Functional (diversification of the capital market - monetary market, stock market, etc.); Time, (markets operate today 24 hours all over the world).

In terms of globalization, terms such as the right, left, center, left right, are subject to the same patterns. In the framework of globalist doctrine, the main objective of the action is to reduce the scope of government activity in relation to the transnational capital flow and reduce national sovereignty in decision-making in favor of decision-making power of international institutions and bodies such as: IMF, World Bank, WTO, IBRD, ALENA, EU, etc. In general, the policies pursued by these organisms by many scholars are perceived as right-wing globalization.

While the center globalization policy is estimated to be dominated by major national and international NGOs such as Oxfam, Greenpeace, MSF, ATTAC, World Social Forum, Via Campesina, etc. These organizations are thought to have a different vision in relation to the first group, expressing through their actions and allegations the sensitivity and demands of civil society to the effects of globalization.

Starting from 1995, there is a tendency to increase the power and decision-making of international institutions or groups such as the IMF, WTO, World Bank, G7, OECD, UNDP, and so on. The extreme liberalism of markets and the economy, served as the only alternative to development theories based on public funding and protectionism, began to show much weakness and inability to cope with the frequent crises of this decade. However, the years 2007 - 2008 showed that the world financial system suffered its biggest crisis since 1929 (Civici, 2009).

The internationalization of the US crisis of risky real estate loans led to drastic reductions and losses for world stock markets, provoked the bankruptcy of many banks and insurance companies and orientated the entire planet's economy into a dangerous recession. Alan Greenspan's statement to the former Federal Revolutionary President in the United States, often regarded as the cornerstone of the economy or as a magician of finance since the current crisis questioned the superiority of a free market system to which he had Always trusted, is the most significant indicator for a new page to be read in reading, understanding and applying the economy. The first line of this page was probably written by French President Sarkozy as he declared: ... the XXI century needs its capitalism, which can not be the capitalism of the last century (Civici, 2009).

While politicians and bankers from all over the world are trying to get out of the crisis, economists and academics try to find the right lessons, to understand the causes and above all to elaborate the new economic and financial policies and models

and instruments to do so Do not repeat more at the global level as well as at national levels. All governments, parties, business or public opinion are maximally interested in these conclusions that would guarantee us the non-repetition of this global situation, quite disturbing.

### **The Role of the International Community in Defining Ideology in Kosovo**

Kosovo already has contractual relations with the European Union, meaning it is a signatory and a political-economic beneficiary through its missionary mechanisms that have long been operating in Kosovo.

Unfortunately it is known that Kosovo remains only a geographic part, and almost no political part of the EU. The EU Rule of Law Mission (EULEX) has been initiated since 2008, *(It was established by the EU and is directly under the responsibility of the EU's Foreign and Security Policy Officer established through the Joint Action of the Council of the European Union (5928/08) on 4 February 2008)*, with a European building spirit for Kosovo, which has been intensified since the first half of 2007, when the idea of a Such a plan of establishing a mission with innovation and special modeling as a project for the EU for Kosovo.

The sole objective of the EULEX mission is to *"support Kosovo towards European integration in the area of rule of law and EULEX expertise are being used in support of the EU's main goals in the visa liberalization process , Feasibility study and Pristina-Belgrade dialogue. EULEX also supports the structured dialogue on the rule of law, led by Brussels. EULEX is continuing its devotion to the fight against corruption in close co-operation with local peers to achieve the EU's solidarity and best practices in Kosovo. At the same time, EULEX is giving priority to the establishment of the rule of law in the north "* (eulex-kosovo.eu, 2012) according to the Brussels plan since its mandate remained largely to assist Kosovo in strengthening security and order in co-operation with potential donors of European states, with beneficial, developmental, legal-economic, recommendation and cognitive interest for Kosovo in the processes of integration.

Integration into the European Union over these years has become an indisputable priority for any government in Kosovo. The integration process turns into the government program of any political force, not just on paper. Often, the priorities set out in the reports are more or less the government program of the ruling political and opposition power. Not only that, but the EU's reports, criticisms and assessments become the epicenter of the debate and discussions on the achievements, challenges and decisions of the present and the future. This logic [is promoted more by the public. Many consider membership in the EU as a guarantee for controlling the irresponsibility of the local political elite.

The high level of confidence in EU structures is illustrated by the results of surveys conducted by international specialized institutions. In this context, the political elite uses this indicator as a way of justifying cooperation with international institutions in general, European ones in particular and political credo. But this creates a problem from the point of view of representation. Many lectures and priorities coming from EU institutions do not necessarily reflect the main concerns of the electorate. This often creates problems with regard to representation.

For many scholars, such an approach, from a content point of view, focuses mainly on democratization technology, which is not left or right but right or wrong. On this logic, the "people" emerged in relation to its European future rather than on certain social - or in the context of an ideological universe. As long as the Albanian society emerged through its European future, it is logical that integration into the EU, symbolizing precisely this future, would turn into an end in itself. In this logic, categories such as farmers, young people, marginalized groups, civil society, small business representatives are articulated in the framework of a future European society rather than the milestones upon which this society should be established. Consequently, their special interests are subject to European integration emergencies.

According to Kaldor and Ivan in the conditions when faced with the inability to purely and simply follow the evolution of the public, we stand before the emergence of new features of politics, which distract the latter from public opinion. Here we are talking in the first place about the technical nature of politics. Often the differences between PDK and LDK are minimal, the role of ideology becomes negligible. Between them it becomes very difficult to find fundamental changes in ideology, economic policy or foreign policy. More important to be considered as a technical, procedural rather than an ideological aspect. Matrices, reforms, models, procedures, standards, dominate the discourse of political actors.

As long as such Europeanization processes are reduced to the technical implementation of standards, procedures, laws and practices dictated by the EU, no matter which political force is in power, the issue of ideological structuring of parties remains unresolved. Much more such an approach is also stimulated by the public. This latter end is used by political forces

to increase co-operation with international institutions with the ultimate goal of improving legitimacy lost to this electorate, despite the fact that this behavior often contradicts the ideological profile they claim to belong to.

Party positions related to European integration may depend largely on two main factors: the ideology or party strategy. According to Timus (2008), in the case of candidate countries, ideology may be the main factor explaining the parties' positions towards EU integration.

The EU is currently in the spotlight. Although there are debates about the future of Europe and sometimes the emergence of the Eurozone, there are also countries that are interested in becoming new members of the EU. Kosovo is also one of these countries.

LDK's policy, in relation to Kosovo's EU and NATO membership, also consists in more co-ordinated co-operation with international institutions deployed in Kosovo. LDK believes that the integration of Kosovo and the Western Balkans into the EU brings peace, prosperity and stability to this part of Europe<sup>2</sup> (LDK's political program).

The strategy used by the European Union during the enlargement process relies on giving or holding rewards, then punishing some party for unwanted and rewarding behavior of the other party for good behavior. During the integration process, the EU works with two types of rewards. The first is technical or financial assistance,

So that it becomes a market economy. The second reward consists of institutional links, such as trade links and association / association agreements, greater involvement in the EU market and finally full membership.

How successful is this conditionality strategy depends on the domestic political conditions a place?

All political parties in Kosovo are supporters of Kosovo's EU integration Other Euro-Atlantic structures, since Kosovo's goal is to build strategic partnership relations with the United States of America, to integrate the Republic of Kosovo into the European Union, NATO, the UN, and other international mechanisms (PDK's political status).

The party system in Kosovo is characterized by unpreparedness in terms of social regulation. Political parties in Kosovo, after the declaration of independence, were challenged on issues of building states. Continued support from the European community to market reforms and the European integration agenda are the two main factors that show the ambiguity of structuring the relationship between Ideology and political parties, respectively the difference between the right and the left. When we look at the programs of Albanian political parties in Kosovo and take into account the economic and political side, it is difficult to make a distinction between the left and the right. All parties promise the development of Kosovo's economy by improving the livelihoods of its citizens; Promise gradual reform, deeper social connections from the state, providing the state with a stronger position.

Political parties in Kosovo have not explicitly expressed their ideological orientation. The two largest parties in Kosovo analyzed, PDK and LDK, are considered to be center-right parties. Both parties, according to their programs, have conservative ideologies. LDK since its inception has started its political activity as a right-wing party, while the PDK starts as a left-wing party while retaining the "heir of war values", to change its party profile at the party of the center Right. Even after analyzing the programs of these center-right parties, they are almost the same and often appear to have created an ambiguity in structuring their ideological profiles.

### **The effects of the IMF on political ideologies in Kosovo**

Kosovo's membership in these two international IMF and World Bank mechanisms will enable the country an even greater access to global monetary co-operation and the international market.

Kosovo's membership in the International Monetary Fund and the World Bank will create Kosovo's economic security, enhance its image in financial markets, and it is expected that many foreign investors will enter the Kosovo market with a much greater confidence.

"As a member of the IMF, the state of Kosovo will enjoy an even greater access to global monetary cooperation and the international market, with this decision coming to the state of Kosovo with greater opportunities, but also with very serious responsibilities."

The International Monetary Fund and the World Bank have their offices in Kosovo since the end of the war. The World Bank has helped with some small money projects, while the IMF office has overseen the Kosovo budget (*Kosovo Prime*

*Minister Hashim Thaci: "Statement after Kosovo's membership in the IMF, June 29, 2009, available at: <http://dw.com/p/lddH>).*

The International Monetary Fund does not support specific economic funds, but this mechanism supports economic initiatives in general and, on the occasion of allowing different credits, this mechanism requires certain reforms to be made in fiscal policy. Example on the privatization of enterprises or on the balance of payments deficit. So the essence of funding from the IMF relates to overall economic financing, for example when countries do not have sufficient liquidity to meet their external obligations. Since Kosovo's membership in the International Monetary Fund in 2009 to date, politics, media, civil society and our institutions have officially treated everything officially between Kosovo and the IMF.

Politics, seen from the point of view of the position or the opposition, have in many cases been forced under the tutelage of this institution. Be it for pragmatic reasons but also as part of the obligations stemming from the related agreement. During these years, the phrase "forces the IMF", "has set the IMF", "is an IMF estimate," etc. have been constantly present throughout these years. Our institutions have respected and have tried to maximally benefit from their performance from the IMF's "tips" and "suggestions". Every IMF mission in Kosovo, or any agreement with it, has been an event in institutional and political life in Kosovo.

To understand the role of the International Monetary Fund (IMF), it is necessary to look at the context of the circumstances that created this important mechanism for the development perspective of each country in the world. And some of this context is related to the phenomenon of globalization or the process which, apart from re-arranging (transforming) reports, primarily economic, political, social, and especially cultural, between countries, regions and continents, reorganizes and accelerates massively The process of relations between the social and financial dinosaurs such as the World Bank, Transnational Companies and the International Monetary Fund, which we are talking about, is also delightful.

The role of the IMF therefore has to do decisively with: rules, instruments, services and organizations to accurately enforce payments and credits received from countries and countries around the world.

It is the criterion of acceptance for all member countries the process of capacity verification and national assets in the exchange plan with other countries. So the height of the trade exchange rate in one way determines the voting power of the member country in this institution.

With this dioptra, the question of the "weight" of each country is judged by "specific weight", which in the case of Kosovo as a small country seems extremely pernicious also due to late membership. But what is the role of this very important mechanism for countries that are still in transition?

According to many analyzes, it seems to us that the main role of this institution with planetary dimensions and tasks is largely related to: the tendencies of promoting a co-operation and the global financial institutional mediation that is imperative to holding international consultations in the field of finance only Not only to cause deficiencies and sufficiency, then to provide assistance to create an equilibrium or an equilibrium of international trade; Promoting and maintaining a constant high level of employment and income, as well as a permanent development of products, with a view to preserving a stable economy and without obvious dissolution in international relations; Creation of stable preconditions for non-discrimination of the currencies of countries and countries across the world; As well as creating the preconditions for a single payment system between various regional and sub-regional partners, along with the various processes that go hand in hand with a multilateral exchange in the world.

In addition to the positive thoughts of this international institution, there are those who have very harsh warnings and suggestions about it. So eg. One of the greatest economists of the last century (according to most world economics experts), well-known Professor Jim Saxton (Jim Saxton), the institution of the International Monetary Fund, is recognized as one of the most arrogant, most counterproductive and most destabilizing institutions "That they have ever been able to happen to the civilized world (!), And that this international institution in essence" possesses more capital than at first glance impresses in the broader international opinion. Realistically the countries in transition, as a single address almost when it comes to economic development capabilities, have the IMF, but some of them are disappointed with the facts that we now have no time to elaborate even so much because They have more political reasons than economic reasons.

Kosovo, with its claims to monitor this important international institution, must nevertheless prove its integrative, but not conflicting, journey as it has done in disregard of standards for raising salaries (Maloku). It remains to be seen which of the

routes will take Kosovo in the period we are entering, alongside there are many dilemmas recently displayed by different experts ... !?

## Conclusions

For some experts, the 8-year experience of co-operation of all governments following the country's independence with the IMF in the framework of the agreements results to be very successful and decisive for managing public finances and maintaining the country's key macroeconomic balances. It is precisely the criteria established by this Institution that maintained the acceptable level of public debt expressed as a percentage of GDP; The budget deficit, also expressed as a percentage of GDP, reforming the social security system. Any deviation from IMF standards in these indicators may provoke a chain of effects of the type: price hikes, inflation, lower purchasing power, debt growth, public spending cuts, shocks to macroeconomic balances, unemployment, fictitious and superficial development. The role of the IMF has been the financial and economic stability in general, which they have offered. Whereas, the World Bank which has offered grants has now turned it into a loan form for the results to be expected.

Precisely, this fact makes the IMF's presence with its recommendations and certifications for the performance of our financial system as positively positive from the point of view but also imposing. However, if we look at this role of the IMF from an ideological perspective, we notice that its role significantly limits the ability to stay strictly assigned to a certain doctrinal profile.

The moments where this aspect of the IMF can be tested are the privatization processes of former public enterprises. Almost all small and medium-sized enterprises were privatized under the IMF's "blessing".

The 2.7 percent growth of Kosovo's economy for 2014 has been appreciated by non-optimistic tones from the country's central bank.

The public sector in Kosovo remains the main sector of employment. Meanwhile, the International Monetary Fund (IMF) in the concluding statement of Kosovo's economic assessment, published on March 30, 2015, highlights specifically employment in the public sector as one of the risks for the country's economy's sustainability. During the presentation of this report, it was emphasized that this growth was made possible by the increase of public sector wages (as a result) the growth of lending by consumer credit and remittance banks, while foreign investments experienced a drastic decline of about 50 percent.

Meanwhile, the International Monetary Fund (IMF) in the closing statement of Kosovo's economic assessment, published on March 30, 2015, highlights the overcrowding in the public sector as one of the risks for the country's economy's sustainability. However, in June 2015, Kosovo has reached agreement with the International Monetary Fund for economic reform. "This program fully addresses the needs of the state of Kosovo, Kosovo's economy to provide future development opportunities.

It is worth underlining the fact that following the IMF guidelines has influenced the behavior of political forces in relation to their possible identities. No matter what political force has been in power, each has had to follow its guidelines and recommendations in order to benefit from its expertise and the funds it accords to cooperative countries. A legitimate attitude towards some of the political parties for the country's own development stage. The need to gain experience and to participate in international bodies was accompanied by conditionalities that governments, despite the political wing, were obliged to fulfill. As we tried to explain above, governments, regardless of the political wing they belonged, maintained the same line as regards the implementation of guidelines set by the IMF.

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## Transcultural Poetics: Dissolving Borders in the Poetry of Li-Young Lee

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### Abstract:

In a world characterized by a loss of direction, an absence of hope, and a disbelief in spirituality, a world that disrespects differences, obliterates human relations, and undermines emotions, man tends to lose faith in humanity. Amidst this debris of human fragmentation and disconnectedness, Li-Young Lee ventures to reach the whole world by transcending time and space, appealing to the metaphysical, and excluding the cultural. This research paper aims to highlight Li-Young Lee's endeavors at creating tight bonds between himself and the rest of the world by unifying the dichotomies of the self and the other, interlacing a web of mutuality to embrace the entire universe. Lee calls into question the separation between beginning and end, birth and death, past and future, man and woman, and body and mind attempting to create a universal dialogue reflecting transcultural hybridity. To attain his goal, Lee depends on his memories to write poetry that is deeply personal but is universal in its appeal. Borders dissolve and language opens up to become the go-between the self and the other, giving meaning to what is invisible and evanescent.

**Keywords:** Transculturalism – Ethnic American Poetry – Li-Young Lee – Universalism

### Introduction

Amidst wars, destruction, and bloodshed, man faces the problem of coming to terms with a world that seems to lack real spiritual significance, a world often visualized as a wasteland. The accelerated rate of killings, environmental disasters, and unaccounted for racism make the world a place of purposelessness, alienation, and bleakness. That sense of loss is usually not only outer, as it were, but also inner, producing an 'objective' world that lacks meaning or intention and a fragmented 'subjective' world. It is a challenge to any artist, thus, to deal with such loss of unity, order and belief that seems to characterize this world. In such chaos and fragmentation, human beings suffer from loss of moral and spiritual compass and "chronic absence of resources with which they could build a truly solid and lasting identity, anchor it and stop it from drifting" (Bauman 26). The rise "of relativism and skepticism to the level of a guiding doctrine has not only turned the world into a labyrinth of endless questions and humans into automated passive subjects, but it has also deprived humanity from spiritual peace, social stability, and hopes for a better future" (ElHayawi 176). Li-Young Lee exerts strenuous efforts to place himself in this world, being always placeless and diasporic. Looking beyond this world, not at it, he attempts to underscore transcultural encounters, engaging himself in universal dialogue.

### Transculturalism: An Overview

In the world of today, we can no longer categorize individuals according to their origins since the idea of origin itself has become very much destabilized due to many factors including colonization, wars, immigration, diaspora and others. In his book *L'impurite*, Guy Scarpetta maintains that "impurity is the order of the day. The 'we' and 'you', include also the 'he' and the 'she' of all linguistic groups, of all nationalities, of all the sexes. We are of all the cultures. Each person is a mosaic" (qtd in Cuccioletta 3). Scarpetta here implies the view that culture is an evolutionary process and that one usually recognizes oneself in the other.

The term 'transculturalism' is sometimes used alternately with the term cosmopolitanism. A cosmopolitan is defined as "someone who thinks that the world is, so to speak, our shared hometown, reproducing something very like the self-conscious oxymoron of the global village" (Appiah 217). Transculturalism was originally coined in 1940 by the historian Fernando Ortiz in his book *Cuban Counterpoint: Tobacco and Sugar*. Ortiz defines transculturalism as a:

Synthesis of two phases occurring simultaneously, one being a de-culturization of the past with a metissage with the present. This new reinventing of the new common culture is therefore based on the meeting and the intermingling of the

different peoples and cultures. In other words, one's identity is not strictly one dimensional (the self) but is now defined and more importantly recognized in rapport with the other. In other words, one's identity is not singular but multiple. (qtd. in Cuccioletta 8)

Hence, transculturalism proposes a deconstruction of cultural boundaries. We no longer speak of "integration of a minority culture into the mainstream, but of an interweaving of all cultural identities present in a nation-state" (Grosu 108). This idea calls for encompassing, respecting, and embracing the cultural specificities of different races and ethnicities, leading to the recognition of the self in the other.

In Germany, a group of scholars including Frank Schulze-Engler, Sabrina Brancato, and others have introduced the field of transcultural English Studies. Schulze-Engler maintains that transcultural English studies:

Stands for a genuinely transnational and transcultural perspective that is capable of encompassing both the literary practice of writers who can no longer be related to one particular 'national literary space' and the complex articulations that link individual works of literature not only to local or regional modernities with their specific social, linguistic, and cultural constellations, but also to the world-wide field of English language, literatures and specific forms of communicative interaction and political conflict engendered by it. (qtd in Dagnino 2)

Thus, transcultural literary works "engage with and express the influential nature of cultures overcoming the different dichotomies between North and South, the West and the Rest, the colonizer and the colonized, the dominator and the dominated, the native and the (im)migrant, the national and the ethnic" (Dagnino 3). The foundation of transcultural literature springs from its globalizing or universalizing forces which tend to restructure our cultural, economic, and social landscapes as in the "literary discourse related to mobility at large, including its migrant, diasporic, postcolonial, and transnational variants" (Dagnino 4). It is not by coincidence, then, that immigrant literature has recently been seen in a transcultural light:

Migrant literature considers, and urges readers to consider, people, places, histories, languages, and especially poetics ... dynamically, in continuous relation to each other, rather than as mutually exclusive absolutes ... Attention is focused on the recognition ... of porous borders, on the construction of zigzagging trajectories, and on the reconsideration of the complexity of cultural systems traditionally codified as univocal and contaminated ... Yet, what makes migrant writing specific ... are its contemporary trans-cultural ... aspects ... and its consequent resistance to being exclusively appropriated by traditional national canons. (Di Maio 1-2)

Talking particularly about the "New Literatures in English", Schulze Engler claims that "the idea of 'locating' culture and literature exclusively in the context of ethnicities or nations is rapidly losing plausibility throughout an 'English-speaking World' that has long since been multi-rather than monolingual" (qtd in Dagnino 4). Thus, the notion of making the strange stranger and the foreign more foreign that is taking place in the world of today, could no longer be tolerated. The division of the world "between the West and the rest; between locals and moderns, between a bloodless ethic of profit and a bloody ethic of identity; between 'us' and 'them'" (Appiah xxi) is not applicable anymore. In our globalized way of living, "culture should be perceived as a universal contract negotiated through a comprehensive dialogic agenda that not only accepts the otherness of the other but also allows human beings to dwell in-between cultures, unshackled by the bonds of belonging, yet bound up with an obligation to create a better future" (ElHayawi 178).

### **Li-Young Lee**

Li-Young Lee (1957 - ) was born in Jakarta, Indonesia to Chinese parents. His first five years were spent in exile throughout Hong Kong, Macau, and Japan until his father was able to settle in the United States. Critics such as Wenying Xu underscore that Lee's condition of exile has proved to be immensely productive of emotional intensity and imagination. His poetics, Xu adds, "derive largely from his ontological condition as an exile, driven by the desire to transcend time and space by appealing to the metaphysical, to the exclusion of the cultural and material" (129). While educating his experience as an ethnic 'other', Lee's poems resist social inscriptions, racial definitions, and ethnic stereotypes. Being a 'winged' seed, Li-Young Lee does not identify himself with a specific place or a specific culture. His Chinese memories seldom link him with his homeland or awake any kind of nostalgia for Asia as he spent a very long time of his life in exile. This sense of belonging to a particular land is completely lost for Lee who always describes himself as a 'guest' on earth. The first common denominator that gathers all humanity under its umbrella is this sense of loss on planet earth and the incessant search for a place that could encompass and tolerate all differences and variances. For Lee, this place is the whole cosmos, to which he is always associated. The whole human race belongs to this universe, and thence, all people are similar in that they share many common realities. In his poetry, Lee expresses feelings of alterity and inferiority, being an Asian American

trying to assimilate in a foreign culture that does not respect differences. To pave the way for his transcultural poetics, Lee proposes a universal self that experiences similar knowledge, trajectories, and even destinies. In his interview with Tod Marshall, Lee states:

I am perfectly convinced that that's what I am, the universe. I can't live it. Why? So the poetry comes out of that. The poetry comes out of a need to somehow – in language – connect with universe mind, and somehow when I read poetry – and maybe all poetry is quest, a poetry of longing – when I read poetry, I feel I'm in the presence of universe mind;...SO that's why I read poetry, and that's why I write it, to hear that voice, which is the voice of the universe. (130)

Lee believes that the role of poetry and poets is of immense importance in the society to the extent that he puts poetry and religion on equal levels. "It [Poetry] is the practice of the sacred ...", Lee explicates in an interview with Tod Marshall (139). Poetry is a spiritual activity that starts individually and then moves outward to contain the whole world. In the same interview, Lee adds:

We're in service to poetry. Poetry is something greater than we are. You see, the whole universe is a poem! It has no rational meaning. It has no reason for being. Yet it is. All of the laws, all of the universes' laws, are poetic laws. None of them are logical; all of them defy understanding. All of them are great. Everything we say about a great poem is true about the universe. (145)

Poetry becomes Lee's means to reach universalism and underpin transcultural ethos.

### **Transcultural Encounters in the Poetry of Li-Young Lee:**

#### **Memory**

Lee is contingent on his personal memory as a way of identity-formation. This process of recovering personal heritage reveals both the confusion of the immigrant condition and the underlying universality that emerges from this confusion. In his poem 'The Cleaving', for example, the Chinese immigrant self is portrayed as being chopped and cut into pieces like the meat at the butcher's. For the poetic persona, the Chinese butcher does not only bring back images of ancestors back in China and of the painful process of immigration, but also induces the fear of cutting and fragmentation, wounds and bleeding in socio-cultural and personal terms. Images of migration to the US gradually metamorphose into images of the chopping of the duck, and finally evoke a metaphorical halving of the 'I. In his book *Cities, Borders and Spaces in Intercultural American Literature and Film*, Jesus Benito explains:

Lee's intervention ... underlines the immigrant's assimilation of the wound, the self's metaphorically fingering the open wound and sucking up its blood. The bridging of the gap between self and other, immigrant and local, is dramatized in the poem not so much through the jump into the other's territory as through the permanence in the painful middle ground. Despite its emphasis on cleaving and cutting, the poem veers toward communion and restoration; rather than hoping for unattainable healing, it manages to extract sustenance from the wound. (104)

The sense of 'placelessness', of being "lost in America" (Lee *Seed* 76) – of being an outsider, a shadow, an inhabitant of a "city I call home, in which I am a guest" (Lee *Seed* 51) pervades Lee's poetry. The feeling of displacement and disconnectedness is particularly disturbing for the poet, since he cannot even re-create the Chinese homeland, which he never really knew or felt. Lee "represents the figure of the dweller of the nowhere, the inhabitant of the places of nonexistence who struggles to make 'placelessness' his home" (Benito 105).

This feeling of fragmentation and disintegration becomes deeper due to Lee's ideologies and convictions. Lee rejects the common definition of the word 'culture' and sees it as a low version of oneself. In *The Winged Seed*, Lee's poetic alter ego describes himself as a ghost who "got lost and now is trapped between two worlds" (120). Rather than spanning two cultures, Lee decides to occupy the abyss, the gap separating them, as represented in 'The Cleaving'. In his interview with Tod Marshall, Lee explicates:

I have no dialogue with cultural existence. Culture made that up – Asian-American, African-American, whatever. I have no interest in that. I have an interest in the spiritual lineage to poetry – through Eliot, Donne, Lorca, Tu Fu, Neruda, David and the Psalmist ... Somehow an artist has to

discover a dialogue that is so essential to his being, to his self, that is no longer cultural ... but a dialogue with his truest self. His most naked spirit. (132)

For him, cultural identities are works of the rational mind, and true poetry works against it. Thus, Lee proposes an escape from culture as particular location, culture "built on sand" (Lee 'Marshall' 133) that looks solid but is misleading. Lee never referred to himself as an Asian American writer. He believes that reading Asian American Literature through the lens of ethnicity only empowers a certain population and potentially 'ghettoizes' the writer and treats him/her as a subaltern figure rather than a talented individual. Instead, the poet appeals for a 'nobodyhood' that defies material and cultural political emplacement and chooses to rebuild the moment of the cutting of the self from its sheltered place. Paradoxical as it seems, this 'nobodyhood' is turned into an 'everybodyhood' that strives to achieve the state of the naked self in relation to God and the universe. Presenting the fundamental vision of a space where all beings, "through splitting and connecting life and death as well as immanence and transcendence, exist immanently without divisions between transcendental and materiality, animality and humanity, and subject and other" (Kim 29) is the aim of Lee's poetry in general. The poem ends with an image of gathering of all diverse immigrants into one common place:

The terror the butcher  
scripts in the unhealed  
air, the sorrow of his Shang  
dynasty face,  
African face with slit eyes. He is  
my sister, this  
beautiful Bedouin, the Shulamite  
keeper of Sabbaths, diviner  
of holy texts, this dark  
dancer, this Jew, this Asian, this one  
with the Cambodian face, Vietnamese face, this Chinese  
I daily face,  
this immigrant,  
this man with my own face. (*City* 86 – 7)

The poem's conclusion suggests a bridging, if not a destruction, of any gap that separates between different entities in the universe. This bridging of the gap between the self and the other is not confined to Asian American immigrants only but also to the Asian Diaspora, as well as the Middle East and Africa, concurrently dissolving the gap between genders ("He is my sister") and highlighting the state of 'universality' that Lee believes in. That is why when Li-Young Lee discusses his art in interviews, he often speaks of the universal self and the link between all beings even though the context of his poems, like 'The Cleaving', are focused much more on the struggles of alienation, isolation and disconnection between people and the universe around them. Lee digs deep in his memory in an endeavour to place himself in context of a more universal existence.

### Language

Upon his arrival to the United States, Lee found linguistic communication a burden. In his poem 'Persimmons', Lee narrates a situation that happened to him at school when his class teacher scolded him physically and psychologically for not being able to differentiate between the two words 'persimmons' and 'precision':

In sixth grade Mrs. Walker  
slapped the back of my head  
and made stand in the corner  
for not knowing the difference  
between *persimmon* and *precision*. (*Rose* 17)

The word 'persimmon' is not easily pronounced by the poet because English is not his mother tongue and because the system of the Chinese phonetics "does not include the complex syllable onset of the pr- at the beginning of the word *precision* as an allowable sequence" (Yao 7). In the next stanza, the persona shows his masterful knowledge of the English language by explaining the difference between these two words as well as other words such as 'fright' and 'fight' and 'wren' and 'yarn'. The narrator, then, begins to bring forth vivid images of his mother and father and their interconnectedness with

the 'persimmons' which tends to be an image of love and tenderness. The poem earnestly relates various aspects of immigrant experience in America underpinning the dilemma linked to learning (or failing to learn) English pronunciation, the sense of profound alienation and otherness that "arises from a confrontation with mainstream ignorance and cultural insensitivity, and finally the anxiety over a loss of connection with the original or parental culture" (Yao 5). The narrator's varied experiences, in this poem, "reveal complications of living as an ethnically Chinese person in America: assimilation into American culture, orientalist exoticization and white mainstream appropriation of Chinese culture" (Chan). The fact that Lee, in the coming stanzas, succeeds in explaining the difference between the two words and other words too indicates that language is not an impediment for him, but the difficult thing is to emerge into a foreign society; the act that became more problematic from his teacher's scolding and racial hints. The poem "achieves a triumphal narrative of integration and synthesis wherein the poet ... enters fully into (indeed, contributes to the formation of) multicultural American society by mastering its operative language, as evidenced by the poem itself" (Zhou 32). In his interview with Tod Marshall, Lee explains that everything in life is discourse. He says:

... It's like a big roar, a big hum. Everything is language. Trees are language; birds are language. A bird is a little cipher. A bird is a word. Beyond the word for bird, bird is a word ... A tree is a word that refers to something else. The ocean is a word; each wave is word. The whole world is language to me ... A word is a vibration; a leaf is a vibration ... Branches are words! ... I feel like it's all language. It's all conversing. Apples on the trees: I look at them and see all these words on the trees. It's all language. All of it. This table is a very bad form of language. This room is language; when you walk into this room, it's saying something. (143)

In his interview with Dianne Bilyak, additionally, Lee talks about his concept of 'word'. He states:

When I was a kid, I felt as if everything was talking to me. I would walk to school by the river, and it was as if everything knew my name; I mean I literally felt that I thought, "Oh, okay, then everything is talking, everything is in discourse, everything is in dialogue ... (607)

Lee's conviction that everything in life is conversing gives language a role of being not only a mediator between people, but also a means of communication between different parts of nature. Language, for Lee, does not only refer to what is visible, but creates the 'invisible' harmony between earthly and sublime matters. Thus, when writing about abstract notions such as language, Lee seeks connections even if he is describing alienation and disconnection. Although the poem appears to be dominated by lack of communication and misunderstanding, Lee "is always seeking to show how there is a oneness that binds everything together" (Duncan 32). The "multiplicity of meanings and materiality of persimmons and the sensibility and spirituality of the speaker's immigrant parents, challenge mainstream America's reductive view of difference" (Zhou 33). This 'oneness' or 'allness' is one of the main aims of language.

## Eating

In his poem 'Always a Rose', Lee explicates: "So I was given the remedy of the rose, / made to eat you whole, / swallow your medicinal taste" (*Rose* 39). In one of his interviews, Lee confides that his father taught him that roses could be eaten and that the rose is a main ingredient in many Chinese dishes cooked by his mother. Ostensibly, through this autobiographical reference to eating roses in general and to eating roses as remedy in particular, Lee introduces the motif of eating which refers to the idea of opening the self to the other as well as transforming the self through otherness. Thus, eating becomes the pattern for accepting otherness into sameness for the sake of self-metamorphosing. As the poem develops, eating becomes a symbol of resisting suffering, comprehending the self and the other, as well as exploring otherness:

Odorous and tender flower –  
body, I eat you  
to recall my first misfortune.  
Little, bitter  
body, I eat you  
to understand my grave father.  
Excellent body of layers tightly  
wound around nothing,  
I eat you to put my faith in grief.

Singed at the edges, dying  
from the flame you live by, I  
eat you to sink into  
my own body. Secret body  
of deep liquor  
I eat you  
down to your secret. (Rose 40)

In his book *The Ethics and Poetics of Alterity in Asian American Poetry*, Xiaojing Zhou maintains that eating as a reaction to otherness renders the self defenceless and susceptible to the other because of the self's corporeality. Thus, "eating serves more than a cognitive function; it enacts openness to and contact with the other through what Levinas might call 'sensuous exposure' to alterity" (40). Lee's sumptuous experience with alterity prevents the lyrical 'I' from assuming mastery over the other.

In 'The Cleaving', the image of the butcher gives way to succeeding images of eating and devouring. Though eating becomes the ultimate image of death and dissolution, it also signals growth and blending of opposites. A recurrent trope in Asian and Asian American literature, eating is "a cultural activity that evokes family ties and generational continuity ... Ingestion is the physical act that mediates between self and non-self, nature essence and foreign matter, the inside and the outside" (Partridge 82 – 3). It, thereupon, represents the split, the wall, or the dividing line. In 'The Cleaving', eating reads as the chief metaphor for the marrying of opposites, "as well as the opening of the self to whatever is new, painful, violent, and transformative" (Huang 195).

In 'The Cleaving', the speaker eats all kinds of things in life, both material and immaterial. From duck brains, he moves on to eating non-food items, such as people, their actions, their manners, and their history:

What is it in me would  
devour the world to utter it?  
What is it in me will not let  
the world be, would eat  
not just fish,  
but the one who killed it,  
the butcher who cleaned it.  
I would eat the way he  
squats, the way he  
reaches into the plastic tubs  
and pulls out a fish, clubs it, takes it  
to the sink, guts it, drops it on the weighing pan.  
I would eat that thrash  
and plunge of the watery body  
in the water, that liquid violence  
between the man's hands,  
I would eat  
the gutless twitching on the scales,  
three pounds of dumb  
nerve and pulse, I would eat it all  
to utter it. (City 82 – 3)

The speaker of the poem 'devours' everything in life suggesting that to 'eat' something is to understand it and be part of it. In his book *Eating Identities Reading Food in Asian American Literature*, Wenying Xu maintains that "turning inward into our multiple and sometimes competing selves, we understand that we eat (live on) our identities, for they actualize and sustain our selves". "Identities", he presumes, "are to our social being what food is to our body. Without them, we do not exist" (168). Hence, the poem suggests Lee's endeavours at 'eating' the American identity to understand it and be part of the American community.

Later, in the sixth stanza, Lee hints at the possibility of eating 'death' itself. On the one hand, to eat death is to understand its essence and accept its existence. On the other, death could be used as a metonymy for history; the Asian American

history in general and Lee's history of alienation and fragmentation. His eating of this history, therefore, could "serve as an elegy for all the Asian Americans who die after eating much bitterness. By eating their misery and deaths, he endeavours to understand and place himself within the Asian American history" (Xu 153). According to Sau-ling Cynthia Wong, big eaters in Asian American Literature are defined by "an ability to eat unpromising substances and to extract sustenance, even a sort of willed enjoyment, from them; to put it symbolically, it is the ability to cope with the constraints and persecutions Asian Americans have had to endure as immigrants and racial minorities" (25). Eating becomes a way of understanding the self and accepting the external other.

Lee, then, explains the cause of the anti-Chinese sentiments:

I would devour this race to sing it,  
this race that according to Emerson  
*managed to preserve to a hair*  
*for three or four thousand years*  
*the ugliest features in the world.*  
I would eat these features, eat  
the last three or four thousand years, every hair.  
And I would eat Emerson, his transparent soul, his  
soporific transcendence. (*City* 83).

The part in *italics* is a quotation from Emerson's journals and it is at this point that Lee overtly enters into a conversation with the American culture. The fact that the speaker agrees to eat such negative comments on the Chinese race and eat the person who uttered them himself makes him look like a hero who cuts the head of his foe off after a fight. Hence, swallowing hardship or eating 'bitter' is represented in this poem as a heroic act. The speaker turns the "seemingly useless into the useful" when he eats Emerson's racist remarks, hence "embrace[ing] the notion of the champion eater; he does not adopt white American eating habits but makes his pride in his own culture's customs his weapon" (Partridge 112). The rule of turning the useless into useful could also be applied to the act of eating Emerson himself. While eating Emerson would explicitly and viciously disassociate the speaker from Emerson and his ideas, as a 'food' substance, Emerson also becomes a nutrient for the speaker's poetic utterance. The poem suggests, therefore, that "positive change requires ... an 'embrace' and a 'covenant' between the racialized self and the racist other" (Partridge 114).

The trope of eating paves the way, thus, for two opposing actions on the part of Lee. It figures, on the one hand, for the poet's negation of his adversary, in this case racial hostility, and on the other, it "stands for the poet's eager loving absorption of all that is around in order to turn daily life into poetry" (Xu 153). That is why the protagonist switches from the idea of eating and devouring to the act of uttering: "I would eat it all / to utter it" (*City* 83). Poetry is the result of the poet eating the world and just as eating symbolically tears apart and brings back together, poetry, for Lee, carries within its boundaries the double meaning pervading the poem. In this regard, Benito explains that for Lee, the physical bodies of his fellow immigrants, as much as the world itself, become the source and sustenance of poetry. Eating becomes both "a signal of cultural communion with other Chinese immigrants (i.e. the larger cultural community) as well as the aggressive weapon against racism in American society and American culture" (Partridge 108). Eating is, thus, deployed in the poem as an active gesture of opening the self to what is new, afflictive, coercive, and diversified.

## Death

Death is one of the most crucial topics that Lee's poetry discusses. In his poem 'Rain Diary' from his earliest volumes, *Rose*, Lee explores deeper implications of the protagonist's relationship with death as the mysterious, unknowable other. In this poem, death, like rain, arrives suddenly and unpredictably and leaves without a trace, "stirring the lyric speaker and compelling him to explore its unknowable mystery" (Zhou 42). The encounter with death, as 'other' in this poem, "challenges the subject's mastery over the self and the exterior world" (Zhou 42), giving him room to explore this inaccessible, ungraspable other.

However, in 'The Cleaving', it appears that Lee began his journey towards understanding the meaning of death. In the eyes of the speaker of 'The Cleaving', animals, the butcher, and the speaker are all related ontologically via death. The reason behind Lee's interest in death and dying is that it is one of the most known common denominators shared by all creatures on this earth. Death does not differentiate between Asian or American, white or black, or even human and animal. In the speaker's imagination in the poem in hand, the duck while being dissected by the executioner, imagines that the butcher

retreats from his fear of his own death. Death is, thus, “a common, factual element among living beings, regardless of a being’s hierarchal position in nature” (Kim 22). It is, also, according to the speaker the ultimate fixed truth in life that no one can escape from:

All of the body’s revisions end  
in death.  
All of the body’s revisions end.  
Bodies eating bodies, heads eating heads,  
we are nothing eating nothing,  
and though we feast,  
are filled, overfilled,  
we go famished.  
We gang the doors of death.  
That is, our deaths are fed  
that we may continue  
our daily dying, our bodies going  
down, while the plates-soon-empty  
are passed around, that true  
direction of our true prayers,  
while the butcher spells  
his message, manifold,  
in the mortal air.  
He coaxes, cleaves, brings change  
before our very eyes, and at every  
moment of our being.  
As we eat we’re eaten (*City 85*).

The speaker portrays death as a process that every human being must pass through. Human beings live by the dying of other creatures in the world and the opposite could be quite true as well. Having this kind of conviction made the poetic persona feel that life is about nothing since everything in life is built on the processes of eating, devouring and then dying.

In his poem ‘Stations on the Sea’, from *Book of My Nights*, Lee meditates on his dead family members. “I don’t want to seem morbid,” Lee states, “but it feels to me that the process of dying is actually dying into a greater presence ... we die into greater awe, greater splendour, greater terror, and greater presence” (Jordan). In ‘To Hold’, in addition, he begins the poem with the assumption that “we’re dust” (*Behind 98*). Death is, thus, a recurrent motif in the poetry of Lee. Even if, at the beginning at least, it was tackled as an ungraspable idea, eventually, it was utilized as a means of transcultural hybridity in his poetry in general.

## Conclusion

Despite its autobiographical and personal particularities, “the lyric I in Lee’s poems is not defined or confined by autobiographical details or by his socially constructed identities” (Zhou 53). Lee’s poetry tackles universal and transcultural themes masked by his personal experience. In an attempt to find a place for a self, traumatized by division and disconnectedness, the poet reconstructs reality, paving the way for a universal dialogue. Lee recreates a world, within and without, to interweave a network of relationships that would connect the people of the world. He redefines cosmic themes and relations to prove that even through multiplicity, there still is a common ground to be shared by all humans. For Lee, his immigration memories are transformed into universal interconnectedness where all distinctions and differences are destructed including race and gender. Language, which tends to accentuate ethnic hierarches, especially, in a multiracial society like the United States, is changed to a universal discourse. Everything in the world talks to Lee, and especially a poem. Poetry becomes a means for transcendence, spirituality, and morality. A word, a text, or a poem – all are synonymous for Lee – are the major constituents of his microcosm and macrocosm as well. He even turns eating into a cognitive, epistemological activity that helps connect the people of the world. Death, as dark and gloomy a concept as it appears to be, is seen by Lee as a transcultural destiny encountered by all people, notwithstanding any hierarchal standards. Seeking connection and creating dialogues with the whole universe is Lee’s aim behind his poetic vocation.

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## The Relationship Between Personality Traits and Managers` Leadership Styles

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### Abstract

This research study starts with the hypothesis that the personality traits of managers influence their leadership styles. Personality traits are taken from the model Big Five (McCrae and Costa) since it is one of the most dominant models of personality in modern psychology. Management styles (leadership) were investigated within the theories of transformational and transactional leadership, including laissez-faire style (Bruce Avolio & Bernard Bass). The research was conducted with 160 lower-level, middle-level and high-level managers in Serbia, employed in private and public sectors. From the questionnaire the NEO Personality Inventory (Serbian version, Kostić, P. 2002), and with the analysis of the main components, five dimensions of personality have been extracted: extraversion, neuroticism, conscientiousness, agreeableness and openness to experience. From the shorter version of Multifactor Leadership Questionnaire, three factors of leadership have been extracted: transformational, transactional and laissez-faire. The relationship between the received factors was checked by Pearson's correlation coefficient and by multiple regression analysis. The received information showed that there is a statistically significant relationship between personality traits and leadership styles, and the most dominant relationship is between the transformational leadership style and extraversion (in a positive sense) and neuroticism (in a negative sense).

**Keywords:** the Big Five, Leadership styles

### Introduction

This paper deals with leadership, as a process in which manager leaders have certain interactions with the employees in order to create conditions for a greater work productivity.

Leadership in the organization is the most important human resource, and the most important figure is the manager with leadership abilities. Leadership involves many processes that are created by the organization or adjusted to the circumstances that are constantly changing. Leadership is defined as a need how a future should look like, how to guide people towards the vision and the mission of the organization and how to achieve the goals despite many obstacles (Koter, 1999). Leadership is a process which directs the work of the employees towards the accomplishment of the tasks (Stoner & Gilligan 2002).

### Dominant leadership styles

The study of the leadership was very popular in the middle of the 70s of the last century with the theory about transformational and transactional leadership, the study of the charismatic leadership in organizations and it became the most dominant research direction in this area.

Transformational leadership is a process among individuals, but also a process of establishing power and the reform of institutional systems. Transformational leadership (Burns J. M. 1978) raises consciousness of the followers by initiating their greater values such as freedom, justice, equality, peace and similar. Transformational leaders is possible to be used by anyone within the organization and at any level. Contrary to transformational leadership there is transactional leadership in which followers are initiated on their own interests. Transactional leadership also includes values, but those are values

that are significant for the exchange process, such as honesty, responsibility and reciprocity (Yukl, Van Fleet, 1992). Bass's (1985) conceptualization of transactional and transformational leadership included seven leadership factors, which he labelled as charisma, inspiration, intellectual stimulation, individual consideration, contingent reward, management by exception and laissez-faire leadership. Liberal (laissez-faire) type of leadership is a style in which a leader makes all the decisions together with all the employees. The leader trusts his employees, he knows their education, skills and characteristics, and they are free to discuss all issues. This leadership style is applied in all types of companies, regardless of their size, and they are structured in teams and work groups. The companies are mostly sophisticated with high-educated employees that cannot bear limitations and patterns (Mandic et. al 2016).

In the study using 14 samples and nearly 4,000 leadership reports, Avolio et al. (1999) found that a six-factor model (inspirational motivation, intellectual stimulation, individualized consideration, contingent reward, management by exception– active, and combined management by exception passive–laissez-faire) represented the structure of the transformational and transactional leadership. However, when only transformational leadership behaviors are considered, a single transformational leadership factor appears to represent the data well (Carless, 1998; Judge & Bono, 2000). The results show that the higher end of transformational leadership can be distinguished from its lower-end connections to individualized consideration and transactional contingent reward leadership (Avolio, B. J., et.al 1999).

### **Personality of the Big Five**

The Big-Five representation within sets of trait terms that are far more representative of the total English trait lexicon and are broad dimensions or domains of personality encompasses a variety of related traits, or facets, and a fully systematic approach to the investigation of stability and change in personality traits within each of these five domains. The five-factor model consists of Neuroticism (N), Extraversion (E), Openness to Experience (O), Agreeableness (A), and Conscientiousness (C) (McCrae & Costa, 1987).

The first dimension is Extraversion, and traits frequently associated with it include being sociable, gregarious, assertive, talkative, and active. Hogan (1986) interprets this dimension as considering ambition and sociability. The second factor is emotional stability, stability, emotionality, or neuroticism (John 1987). It includes being anxious, depressed, angry, embarrassed, worried and insecure. Agreeableness or likability traits associated with this dimension include being courteous, flexible, trusting, good - natured, soft – hearted and tolerant. The fourth dimension, conscientiousness or conscience is association with volition. It reflects being careful, thorough, responsible and organized. Openness to experience of culture is associated with imaginative, cultured, curious, original, broad – minded, intelligent and sensitive (Barrick, M. R., & Mount, M. K. 1991).

### **Personality and Ratings of Leadership Behavior**

Several studies have linked the Big Five traits to leadership. Bono and Judge (2004) used the five-factor model to describe the relationship between the transactional leadership and the transformational leadership.

All personality measures can be categorized under the umbrella of a 5 factor model of personality which is called „Big Five“ (Goleberg, 1990). The dimensions composing the 5 factors model are neuroticism, extraversion, and openness to experience, agreeableness and conscientiousness (Judge, T. A., et. al 1999). Extraversion appears to be the most relevant to leadership styles and leadership criteria (leader emergence and leadership effectiveness) (Crant & Bateman 2000).

Extraversion is a prominent factor in personality psychology as evidenced by its appearance in most personality measures. Extraversion is related to the experience of positive emotions, and extraverts are more likely to take on leadership roles and to have a greater number of close friends (Watson & Clark 1997).

Individuals high in neuroticism, according to Costa and McCrae (1992), tend to experience negative effects, such as fear, sadness, guilt, and anger. Individuals high in neuroticism should not lead (Bass, 1985, p. 173), and they should avoid leadership responsibilities. Furthermore, they are not likely to be seen as role models, are unlikely to have a positive view of the future, and may be too anxious to undertake transformational change efforts. They will exhibit transformational leadership behaviors.

Individuals high in this trait are emotionally responsive and intellectually curious (McCrae, 1996) and may also exhibit inspirational leadership behaviors. Because they are imaginative and insightful, they are likely to be able to see a vision for the organization's future. Since agreeableness represents the tendency to be cooperative, trusting, gentle, and kind (Graziano & Eisenberg, 1997), individuals high in agreeableness value affiliation and avoid conflict, they may score high in

idealized influence and may be seen as role models because of their trustworthiness and consideration for others. Finally, agreeable leaders are likely to be available when needed, leading to low scores on passive leadership.

Conscientious individuals are goal and detail oriented. They may more likely be engaged in management by exception-active, which involves both setting and monitoring goals. Also, because they are dependable and unlikely to shirk their work responsibilities, they are unlikely to exhibit passive leadership behaviors, which involve lack of self-discipline and the default of leadership responsibilities (Bass, 1998).

### Research Methods

The aims of this research are the following:

To study the relationship between personality traits and managers' leadership styles, and to determine, based on the results, which personality traits can be predictors for a certain leadership style.

### The hypothesis:

There is a statistically significant relationship between personality traits of the managers and their leadership styles.

### Instrumenti:

MLQ short version - the questionnaire consists of 21 claims that describe leadership styles. The questionnaire is in the form of 5-point Likert scale. The summation scores of the answers are reduced to three sub-dimensions, three management styles: Transformational, Transactional and Laissez-faire.

NEO Personality Inventory - Dimensions of personality operationalized by NEO-PR personality inventory (Serbian version, P. Kostić, 2002). With the analysis of the main components, five dimensions of personality model have been extracted, 'The Big Five': Neuroticism, Extraversion, Agreeableness, Conscientiousness and Openness to experience.

### The sample:

The research was conducted with 160 lower, middle and high managers in Serbia, employed in both private and public sectors. The sample included 45 women and 115 men. The respondents were from 31 to 65 years old. The average age of the respondents is 47.

### Data processing:

The data received with this research were processed with SPSS. The statistical methods that were used were the main component analysis that extracted five dimensions of personality from the questionnaire NEO-PR, Pearson Correlation and Multiple Regression Analysis.

### Research results

The relationship between personality traits of the managers and their leadership styles

With the aim to test the hypothesis about the existence of the relationship between personality traits of the managers and their leadership styles, we have correlated the leadership style variables and five dimensions of personality with Pearson Correlation Coefficient.

Table1: Pearson Correlation Coefficient of personality traits of managers and leadership styles

		Transformational style	Transactional style	Laissez-faire style
EXTRAVERSION	r	,695	,394	,231
	p	,000	,000	,000
AGREEABLENESS	r	,327	,325	,341
	p	,002	,000	,000
CONSCIENTIOUSNESS	r	,344	,357	,219
	p	,001	,000	,000
NEUROTICISM	r	-,602	-,159	,145
	p	,000	,017	,033
OPENNESS TO EXPERIENCE	r	,342	-,167	,288
	p	,021	,028	,000

r- Pearson Correlation Coefficient, p- level of significance

The received results showed that there is a statistically significant connection between personality traits and leadership styles. All received correlation coefficients are statistically significant, and the correlations of transformational style and

extraversion (in positive correlation) and neuroticism (in negative correlation) have the highest correlation coefficients. The other correlations are of moderate or low intensity. Transformational leadership style is statistically significantly correlated with Agreeableness, Conscientiousness and Openness to experience. Transactional style has statistically significant correlation coefficients with Extraversion, Agreeableness and Conscientiousness, in positive correlation and of moderate intensity, while with Neuroticism and Openness to experience has negative correlation of very low intensity. Laissez-faire style most significantly correlates with Agreeableness, then with Openness, while it has the lowest correlation with Neuroticism.

Since one of the aims of the research was to determine which personality traits can be predictors for a certain leadership style three Multiple regression analyses have been done in which leadership styles were criterion variables, while the personality traits (Extraversion, Agreeableness, Conscientiousness, Openness to experience and Neuroticism) were predictor variables.

1) The first multiple regression analysis in which the criterion variable was Transformational leadership style. The regression model is statistically significant at the level  $p=0,000$ . Coefficient of multiple correlation is  $R=0,640$ ,  $R^2=0,41$ .

Table 2: Partial contribution of predictors

	Beta	t-test	p- level of significance
(CONSTANT)		,236	,814
EXTRAVERSION	,307	6,117	,000
AGREEABLENESS	,025	,444	,657
CONSCIENTIOUSNESS	,053	,934	,351
NEUROTICISM	-,406	-7,762	,000
OPENNESS TO EXPERIENCE	,020	,387	,699

Statistically significant beta coefficient with the criterion has Extraversion, positive and of low intensity, and Neuroticism, negative and of moderate intensity. Other predictors do not have statistically significant beta coefficients.

2) The second multiple regression analysis in which the criterion variable is Transactional leadership style. Regression model is statistically significant at the level  $p=0,000$ . Coefficient of multiple correlation is  $R=,531$ ,  $R^2=0,282$ .

Table 3: Partial contribution of predictors

	Beta	t-test	p- level of significance
(Constant)		,179	,858
EXTRAVERSION	,458	8,280	,000
AGREEABLENESS	,157	2,717	,007
CONSCIENTIOUSNESS	,141	2,521	,012
NEUROTICISM	-,051	-,816	,415
OPENNESS TO EXPERIENCE	-,035	-,568	,570

Statistically significant partial contribution to the prediction of the criterion variable (Transactional style) primarily has Extraversion, while Agreeableness and Conscientiousness have statistically significant beta coefficients of low intensity, but positive. In this analysis Neuroticism and Openness are not statistically significant for the prediction of Transactional leadership style. Statistički značajan parcijalni doprinos predikciji kriterijumske varijable (Transakcioni stil) ima prvenstveno Ekstraverzija, dok Saradljivost i Savesnost, imaju statistički značajne beta koeficijente niskog intenziteta, ali takođe pozitivnog predznaka. U ovoj analizi Neuroticizam i Otvorenost se nisu pokazali statistički značajnim za predikciju Transakcionog stila rukovođenja.

3) The third multiple regression analysis in which the criterion variable is laissez-faire leadership style. Regression model is statistically significant at the level  $p=0,000$ . The coefficient of multiple correlation is  $R=0,601$ ,  $R^2=0,361$ .

Table 4: Partial contribution of predictors

	Beta	t-test	p- level of significance
(Constant)		,208	,835

EXTRAVERSION	,082	1,415	,158
AGREEABLENESS	,503	9,633	,000
CONSCIENTIOUSNESS	,073	1,234	,218
NEUROTICISM	,075	1,373	,171
OPENNESS TO EXPERIENCE	,065	1,236	,217

Based on the received values of beta coefficients we may conclude that Agreeableness contributes to the prediction of criterion variable (Laissez-faire style), while the other personality traits are not significant predictors for this leadership style.

## Discussion

Based on the received research results we may say that the hypothesis about the existence of the connection of the personality dimensions from the Big Five Model and managers' leadership styles has been confirmed. The research showed that more pronounced Extraversion and less pronounced Neuroticism make managers tend towards Transformational leadership style. This leadership style is more frequently found with individuals who are more conscientious and open to new experience.

Transactional leadership style is also connected to Extraversion, Agreeableness and Conscientiousness, and with these traits more pronounced, managers tend towards this leadership style. Laissez-faire style is most significantly connected to Agreeableness.

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## African American Postmodern Supernaturalism

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### Abstract

African American postmodern supernaturalism is the last stage in the development of African American literature, but also contemporary world literature in general. By embracing one's own African elements and enriching postmodern literature, African American supernaturalism experimented with the syncretism of the past and the future, tradition and futurism. Seeking for a new kind of literary expressionism, the African American writer strives to preserve ancient cultural features by combining them into something completely new and what separates them from the rest of world literature.

**Keywords:** African American literature, postmodernism, supernaturalism, fantasy, epic fantasy, science fiction, magical realism, afrofuturism

### Introduction

"Postmodern" and "Supernaturalism" are two terms that are often encountered in literature. Both indicate a particular literary movement or genre. However, what do we get by combining these two expressions into a single sense? Does such a literary movement exist at all?

In 2005, Amy Hangerford used for the first time the term "postmodern supernaturalism" in her essay "Postmodern supernaturalism: Ginsberg and the search for a supernatural language", writing about the works of the poet Allen Ginsberg. Using magic as a common element of all African American genres of postmodernism, we come to the conclusion that all of them can be classified under "postmodern supernaturalism". In order to clarify this conclusion, we first start from the explanations of both words.

### Classification

Postmodern is the term that first appeared in architecture in 1980, and soon after it was taken over by writers, painters, photographers, musicians, etc. (Bell, 2004:190) According to critic Linda Hutcheon (1988:6), postmodernism takes over the form of "self-conscious, self-contradictory, self-undermining statement. It is rather like saying something while at the same time putting inverted commas around what is being said." The result is emphasis, alteration and knowledge. "Like modernism, postmodernism undermines the traditional grounds for the stability and universality of truth and reality; it also compels us to consider that truth and reality are social constructs, that literature has no meaning, that its meaning exists only in our consciousness, or that its meaning is to be found in the indeterminacy of its language." (Bell, 2004:190) The postmodernism in literature represents the world of intertextuality with diverse themes and genres. Extremely tempting for the reader, the literature of postmodernism is distinguished by the actuality of the topic or expression, with mystical elements that often require the analysis of the reader's own consciousness.

Postmodernism defies the classification of literary movements, but it still features certain characteristics such as:

- irony and black humor
- paranoia
- paradox
- fragmentation
- minimalism
- fabulation (rejection of realism and the use of magic and mythical elements
  
- pastiche (combination of verses and genres (science fiction, fantasy, horror, western, detective novels, etc.) to show postmodern chaotic society)

- historiographic metafiction (the term created by Linda Hutcheon denotes works that reveal true historical events or personalities)
- magical realism
- technoculture and hyperreality
- involvement of the reader

Postmodern literature emerged as a reaction to the stylistic and ideological limitation of modernism, as well as to the changes that the world experienced after the Second World War. While the writers of modernism describe the world as separated, full of problems and on the verge of collapse, the writers of postmodernism portray the world as if it had already experienced countless disasters and for it beyond redemption.

The term supernaturalism is also a broad term. According to the definition of SF encyclopedia: "Any story whose premises contradict the rules of mundane world can be defined as supernatural fiction, but a definition so broad would logically incorporate all categories of Fantasy, all nonmundane Horror, all Technofantasy, and all Science Fantasy, and arguably all Science Fiction." (Clute, 1997) According to Eberhard Alsen (1996:134) : "The most common response of a reader to the supernatural in literature is to doubt it and to demand an explanation for it. When not only the reader but also a character in the story hesitates to accept the supernatural as real, then the story in which the supernatural occurs belongs to the genre of the fantastic."

Bulgarian literary critic Tzvetan Todorov (1975:33) gives a more detailed clarification of supernaturalism and supernatural by setting three basic conditions with the help of which we define something within the fantasy.

1. The text must oblige the reader to consider the world of the characters as a world of living persons and to hesitate between a natural and a supernatural explanation of the events described.
2. This hesitation may also be experienced by a character; thus the reader's role is so to speak entrusted to a character, and at the same time, the hesitation is presented, it becomes one of the themes of the work – in the case of a naive reading, the actual reader identifies himself with the character.
3. The reader must adopt a certain attitude with regard to the text: he will reject allegorical as well as "poetic" interpretations.

Although magical realism can be included in postmodernism, with Todorov's third condition it excludes from supernaturalism, i.e. from postmodern supernaturalism, precisely because of the rejection of allegorical and poetic. While reality and magic alternate in the magical realism to the very end, in supernaturalism, the reader immediately puts the choice to decide what is real, and what is supernatural.

How fantastic elements can contribute to the work?

1. The fantastic produces a particular effect on the reader – fear, or horror, or simply curiosity – which the other genres or literary forms cannot provoke.
2. The fantastic serves the narration, maintains suspense: the presence of fantastic elements permits a particularly dense organisation of the plot.
3. The fantastic has what at first glance appears to be a tautological function: it permits the description of a fantastic universe, one that has no reality outside of language.

The use of fantastic in postmodernism, or in the case of African American literature, magic in postmodernism, emerged from the framework of magical realism. Postmodern supernaturalism gives the reader the knowledge that certain phenomena is supernatural, but with many of its techniques he is in doubt or his attention is attracted by its intertextuality. The reader actively participates in the development of the action, awaiting the final outcome, although he knows consciously that he is in the domain of the supernatural. The world of magic does not coincide with the real world, as is the case in a magical realism where the borders between the two worlds are immeasurable.

Alsen Eberhard discerns a clear distinction between magical realism and postmodern supernaturalism and explains their characteristics in his work *Romantic Postmodernism in American Fiction*. It should be noted that Eberhard defines magical realism under the notion of neo-romanticism, and the characteristics of postmodern supernaturalism coincide with

Eberhard's neomodernism. He says (1996:150): "While the neo-romantics tend to create what Nathaniel Hawthorne called "a neutral territory in which the Actual and the Imaginary may meet and each imbue itself with the nature of the other", that is, a real world into which they introduce the supernatural, there is no such interweaving of the actual and the imaginary in the fiction of the neo-modernists because they tend to create worlds which are not supposed to be mirror images of the real one we live in. Thus, while in neo-romantic stories and novels we are able to accept the fantastic as real, in neo-modernist stories and novels we do not have that option because the fantastic events are just as obviously contrived as the world in which they occur."

African American postmodern supernaturalism is the latest stage of African American literature in its development process. Although magical realism remains popular, both among African American writers and readers, postmodern supernaturalism appears as the necessary literary product of the new age. The readers of African American postmodern works demand a new theme, which is moving away from their roots and the struggle for identity. As part of the American society, African American readers want to belong to that community.

African American writers strive to fit into genres that were until then ruled by white writers. In the foreground, these are works of fantasy and science fiction. Therefore, a considerable number of African American writers of fantasy appear in the period of postmodernism. However, their African heritage and the use of specific African magic makes them special in the field of American literature of the respective genres.

In terms of fantasy, the most common subgenre among African American writers is Sword&Soul. The possibility of freedom of combining fantasy and historical fantasy produced a subgenre in which the main hero inevitably uses the sword as the main weapon, but the elements of magic and supernatural are also to a great extent represented. Playing with imaginary worlds mainly leads to the creation of a fantasy world that metaphorically represents Africa itself. Charles R. Saunders, who is also considered to be the founder of the African American Sword&Soul subgenre, began in 1981 *Imaro* series - a series about the African warrior Imarou who is constantly encountering supernatural dangers. In 2008, Saunders published *Dossouye*, a novel about the female African warrior, after he was inspired by female warriors from the ancient African kingdom of Dahomey. Milton Davis is the second giant of this sub-genre. His most famous works include *Meji* (2010), a story about the fate of sacred twins from the imaginary continent Lihuru (which is so similar to Africa), who must master the basic principles of magic, but also come into conflicts with those who use it in wrong way; *Changa's Safari* (2011), a story about a 15th-century Swahili mercenary who experiences unusual adventures across Africa; *Woman of the Woods* (2013), a story about the African warrior Sadatina (Shoshi) who must protect her people from demonic enemies; *Griots* (2011) a set of fantastic stories full of magic, myths, sorcery, and brave African warriors.

Balogun Ojetade, a writer of science fiction, horror and fantasy, was celebrated with the novel *Once Upon a Time in Africa* (2012) and the story of a princess warrior from the ancient African kingdom of Ojo. Contrary to African American fantasy writers who place their events in Africa or imaginary worlds resembling Africa, Wendy Raven McNair compiles African motifs and magic within the urban African American community. Her most famous novel *Asleep* (2009), with which she started her own series, deals with the magical flying powers with whom the main characters of the novel, African American teenagers, meet. Science fiction has also been among African American writers before the fantasy. Proof of this are the works of Samuel R. Delany, published since the 1960s, and the works of Octavia Butler.

### **Samuel R. Delany and afrofuturism**

Samuel R. Delany, although he holds the title of an international science fiction writer, and although his works are full of universal futuristic characters, occasionally reveals his African trait. His novel *The Stars in My Pocket Like the Grains of Sand* (1984) is considered one of the most representative works of afrofuturism. The term was first used by Mark Dery in 1993, combining elements of science fiction, historical fiction, fantasy, afrocentrism, magical realism with non-western cosmology to portray and criticize the dilemmas of blacks, but also to investigate and re-examine historical events. The main feature of afrofuturism is the presentation of various topics related to the African Diaspora through technoculture and science fiction. Afrofuturism can not be called a movement, because it does not exist for itself outside of certain literary genres. Therefore, afrofuturism can be seen as a sociocultural critique that explores the potential of the African diaspora to the foreseeable future.

Delany's works of afrofuturism are metaphorical critiques at the expense of social opportunities and the racial immaturity of American society located in the imaginary future. However, what the authors of the African-American postmodern supernaturalism, and especially in afrofuturism, are trying to find, Delany was best illustrated by his novel *Nova* (1968:54-

55): "In most of my futures the racial things have changed and changed for the better. As a young writer I thought it was very important to keep an image of such a possibility before people. I don't ever remember subscribing to the idea that 'being black doesn't matter'. I wanted to write about worlds where being black mattered in different way from the ways it matters now."

### **Octavia Butler and parapsychological realism**

Unlike Delany, Octavia Butler strives to create a world of racial and gender equality, with a strong feminist views. Exploring the influence of race and gender on people in the future, both on Earth and on other planets, Butler creates worlds where rulers are women and blacks. The reason why Butler writes is given in her essay "Why I write" (Stevenson, 1993:210): "I began to write consciously, deliberately, about people who were afraid and who functioned in spite of their fear. People who failed sometimes and were not destroyed... Every story I write adds to me a little, forces me to reexamine an attitude or belief, causes me to research and learn, helps me to understand people and grow... Every story I create creates me. I write to create myself."

In addition to numerous novels placed in the future and on far-off planets, such as *Clay's Ark* (1984), *Dawn* (1987), *Imago* (1989), *Survivor* (1978), Butler returns to the past with *Kindred* (1979), a book that combines elements of travel through time and historical romance located in the South at the beginning of the nineteenth century, and *Wild Seed* (1980) with a combination of historical romance and parapsychological realism, with strong magical elements of the Igbo people's heritage and the appearance of vampires as telepathic beings.

Parapsychological reality is another important part of supernaturalism with many distinctive features such as : telepathy (which transfers information outside of the five senses), precognition (transfer of information about the future), clairvoyance (transfer of information about far away places), psychokinesis (the ability of the mind to influence things outside one's body (matter, time, space or energy), apparitional experience (the attribution of physical events to paranormal), etc. Using these features in literature, the writer creates a parapsychological reality that is at the boundary of unrealistic fantasy and reality. This common literary mysticism also belongs to postmodern supernaturalism.

### **Ishmael Reed and magical parody**

African American postmodern supernaturalism does not have to exist solely in the works of fantasy and its subgenres. The works of Ismael Reed show that supernatural, in the service of social criticism, can exist as a parody element of the postmodern novel. Using supernatural and magic, Reed creates grotesque characters and situations, examining individual historical events, points to the actual and reveals the hidden intentions of an individual or society that are on the verge of good and evil. Magic helps him to bring a certain action to its absurd climax or to induce individuals to think, even to repentance. African mythology in Reed's novels is equally represented. The appearance of legendary African characters and ancient African gods keeps pace with the magic that is still used by African Americans today. The mention of ancient African kingdoms (such as Ojo, Aksum, Egypt, Ethiopia) whose history is still cherished throughout the African diaspora is only creating an even stronger African American identity.

How does Reed manage to combine magic with parody depicting current social problems of the United States? In *The Terrible Twos*, and its sequel *The Terrible Threes*, a powerful American corporation monopolizes Christmas, and one crazy member of the Nicolettian sect tries to thwart their strings using voodoo magic and creating zombie in the guise of Santa Claus. The clash of soulless capitalism with a religious fanatic is more than obvious, but their goals are almost the same; both sides want to rule, not to help the US population. Wiping out the spiritual values of Christmas, and after being reduced to pure buying and selling, the nation remains lost. In the most difficult moments, Black Peter, an assistant to St. Nicholas, arrives from the South, for whom we gradually discover that is none other than Esu, an African deity. Reed's message is more than clear here - discard commercialized holidays and turn to your own roots. Reed does not belittle the culture of white people, but also demands respect for his own. He does not belittle Christmas, but he shows how much commercialism prevails in the greatest Christian holiday. Like in Dickens' *Christmas Story*, or Dante's *Hell*, Reed takes the US President into an American hell accompanied by St. Nicholas, where he encounters historical mistakes and sins of previous presidents. Taking into account all supernatural elements in Reed's works, we find that his creativity is at the border between magical realism and fantasy. But, precisely thanks to parody, we place it in postmodern supernaturalism. Due to the parody, his works can not be accepted within reality, as is the case with magical realism. Nor can they be regarded as acts of pure fantasy, because Reed constantly introduces historical figures, facts and issues which we must take seriously.

However, even without social criticism, Reed's works are unique. It is a treasure trove of an African American culture in which we can find everything from ancient Egypt, African deities, ancient texts and legends, people who fly, voodoo to hoodoo. In addition to the already mentioned two works, magic is largely represented in *Mumbo Jambo* (1972) and *Flight to Canada* (1976). According to Madhu Dubey (2003:47), *Mambo Jambo* is even considered a representative work of African American postmodernism, as it represents a set of texts and various hyperlinks (including photos, drawings, invitations, posters, and newspaper articles) that helps the action take place in the form of an audiovisual film-like work. Henri Luis Gates (Dubey, 2003: 47-48), moreover, advocates the idea that in this postmodern fashion, Reed successfully alters the representative methods of the African American literary tradition of stylistic techniques of pastiche and parody, because the very dynamics and energy of African American culture can not be tamed by standard literary narration.

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## Implementation of Voice Recording Activities in Improving Mandarin Oral Fluency

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### Abstract

The purpose of this study was to investigate the effectiveness of voice recording activities in improve undergraduate language students' oral fluency in Mandarin as a foreign language. The data collected for this study from 44 year two undergraduate Level three Mandarin learners in semester 1 2016/2017 participated Online questionnaire, and data collected and analyzed according to the attitudes and effectiveness of using voice recording activities in the classroom. The study find out that voice recording activities are effective to help foreign language learners to improve oral fluency. Mandarin language teachers might consider devoting additional attention to Mandarin oral fluency teaching by using new technology like voice recording, whatApp, Wechat ect. to help Mandarin learners to improve their Mandarin oral fluency especially for learners who are shy and lack of confidence. It will help learners to improve their foreign language leaning in general.

**Keywords:** Mandarin oral fluency, foreign language learning, voice recording

### Introduction

Mandarin course has been offered by many universities in the world. It has been offered in Islamic Science University of Malaysia since 2007, there are three levels: Mandarin I, Mandarin II and Mandarin III. It is compulsory subject for faculty of Major language studies undergraduate students. Majority of students are Malay students. Students need to complete all three levels before they graduate. Students have been taught by part time instructors since the subject has been offered till 2016. There are total fourteen weeks, three hours per class. There forty two hours for each level. Students who are taking Mandarin three have already completed Mandarin I and Mandarin II in their previous semesters, however as a new lecture in faulty major language studies, I have been observed students in Mandarin III are not able to speak even simple sentences in Mandarin, some of them even cannot pronounce some of Pinyin which they should be able to master it at their Mandarin I. Another issue I have faced is a lack of opportunities for students to speak Mandarin outside the classroom. In the Mandarin as a foreign language (MFL) setting, generally, the only chance for students speaking Mandarin occurs in the classroom. Learners are very shy and passive in the class activities at beginning of semester. One of research has been done by Siti Maziha & Nik Suryani Melor Md (2010) the factors discourage Malay students participate in classroom activities are:

- (1) Negative classmate traits ways such as creating disturbances, testing, not being cooperative or patient.
- (2) Negative lecture trains ways such as lectures' poor teaching skills, being impatient and unapproachable.
- (3) Negative students' traits such as afraid to speak in the foreign language, afraid to make mistakes and did not want to feel embarrassed in front of class.

Those factors discourage students from participating in class activities. As foreign language learners the main objective of learning foreign language is to be able to communicate with the target language. One of the ways to help learners to

improve their oral fluency is to speak the target language inside and outside of classroom. Another study has been done by Pandianet al. (2011) who stressed that students' inability to speak as fluently as they can is often reflected as unwillingness and lack of confidence when it comes to speaking. Most of the students often need to be encouraged by their lecturers to participate in speaking activities. Students should realize that when they are in the university; they must be physically and mentally prepared to face all challenges.

This study aims to investigate the effectiveness of voice recording activities in improve undergraduate language students' oral fluency in foreign language classrooms.

## **Literature Review**

### **2.1 Voice recording activities**

Technology use in the foreign language classroom is not new now, it has been moving from audiotapes to CD. Unwieldy cassette players and poor-quality microphones are a thing of the past. Now, modern technology in the form of digital audio recording offers unprecedented ease in student-produced voice recordings in classroom settings. Digital audio recording is a useful tool in foreign language classrooms where a primary goal is for students to practice speaking the target language, hear how they sound, and improve their speaking proficiency. This kind of self-monitoring is an important part of language production for all levels of foreign language learners.

Nowadays Free, easy-to-use smartphone application such as voice recorder is tool that facilitates and document student practice speaking the target language. By recording themselves speaking with the application, students' original language production is recorded and students have the opportunity to go back and hear their own speaking before they send it to their language instructors. Students are able to reflect on their accent, grammar, fluency, intonation, etc. The power of audio recordings is that the student can build up a whole collection of recordings that show their development over a period of time. These can easily be shared with their peers and instructors. Voice recording App is to be one of the easiest tools that language learners used for making simple audio recordings. Learners just need to click one button, record their voice and then choose from a variety of ways of saving the recording including as a downloadable MP3 file. They can send their audio file to their class whatsapp group for their language instructors and their peers to view and get feedback.

### **2.2 Voice recording activities in improving students' oral fluency**

Study has been done by Pop, Tomuletii, & David voice recording tools have been introduced and used in a variety of ways in language instruction in an attempt to provide learners with opportunities to produce oral output "as they allow language students to practice and enhance their speaking skills outside the classroom while receiving feedback on their performance" (2011, p. 119). With easy-to-use voice recording available on smart phones, learners can capture their speaking for self-assessment. The development of mobile and tablet applications are offering numerous ways for students to explore their own voice by recording themselves speaking. The teachers can then listen and provide feedback on their oral performance or get students to review or even self-review their work.

### **2.3 Statement of the Problem**

Malay undergraduate students in Mandarin III are not able to speak the target language although they have completed the Mandarin I and Mandarin II; some of them even cannot pronounce Pinyin properly which they should master it in Mandarin I. There are no full time instructors to teaching this subject since the subject has been offered in 2007 till 2016. The part time instructors are not well-trained to teach this subject. Students are lack opportunities to speak the target language that often and they have no confidence to speak in the target language since they are afraid to make mistakes.

To study foreign language, learners should be able to read, write, comprehend and speak. These are four skills are emphasized by all of the language learners. The speaking skills are the most of important skills, because to be able to communicate is the main objective of foreign language learning. See &Ching (2013) in their study mentioned that more attention should be paid on the audio-oral skills because the main reason an individual learns a foreign language is to communicate in the language especially orally. However, study find out those students experienced the most stress when having to give face-to-face oral presentations with the instructor. (Woodrow, 2006) Research hopes that through this study to find out the perception of students towards the oral recording activities and effectiveness of these activities in improving learners' oral fluency. The study hopes to answer the following research questions:

1. What is learner's attitude towards voice recording activities in foreign language classroom?

## 2. How effective of voice recording activities in learners' oral fluency?

### 2.4. Classroom participation

Classroom participation is very important because students' learning taking place through classroom participation (L.S. Vygotsky, 1978) according to L.S Vygotsky students' learning through social interaction and cultural. Therefore, classroom as social context which students interact each other through the classroom activates. L.S. Vygotsky's theory emphasized that teacher-student and students-students interaction becomes medium of sharing knowledge and communication. Thought interaction students are communicating each other. However, through observation the researcher realizes that majority of Malaysian university students are not eager to participate in the class activities, they are not willing to speaking in front of peers. The factors of discourage Malaysia undergraduate students from participate in the classroom in the foreign language There are few studies found that the factors of discourage Malay undergraduate students to participate in class activities. Voice recorder has been required in BMA3033 class. Students are using voice recorder in their free time to record the topics have been given by their instructor. Its help students and motivate foreign language learners to practice their listening and speaking skills more often after class.

### 2.5 purpose of this study

The main purpose of the current study aims to assess the extent of voice recording activities to improve Malay undergraduate students' oral fluency in Mandarin language based on the module provided. It also helps lecturers to choose suitable strategies and approach in teaching Mandarin language. Besides that, this study also helps the lecturer to build up self confidence among students in speaking foreign language inside and outside classroom.

## 3. Research Methodology

### 3.1 Participants

The data used in in this study collected by 60 university undergraduate students who were enrolled in Mandarin level three classes during semester one academic year 2016/2017. All of them are year two major in Arabic and communication non-native mandarin speaker. Those students have completed Mandarin level one and level two in their previous semesters. Two instruments were used in this study. One was a student online survey questionnaire and other on is based on classroom observation.

### 3.2. Data collection

This research has conducted in semester one 2016/2017 academic year. The research used a set of online questionnaire which set in Google form send it to the participants at the end of semester. The objective of survey has been informed students before they complete the questionnaire. There were 44 students out of 60 responded online questionnaires. The questionnaire is divided into two parts. First part includes items to gather information about learner's attitude towards voice recording activities in Mandarin classroom. The part two includes items to gather information of the research objectives. The participants of this research were students who took Level 3 Mandarin as a foreign language course in Islamic Science university of Malaysia Nilai campus. The sample of this research consists of respondents. After all of the questionnaires were returned, the researcher first checked the number of completed questionnaires to determine the number of respondents involved in this research.

## 4. Data Analysis and Results

Quantitative data from student survey were analyzed via the online survey tool "Google form".

The data collected by Google Form were analysis.

### 4.1. Learners' attitude towards voice recording activists in Mandarin language learning.

#### Table

Table 1.Participants' attitude towards using the voice recording actives in Mandarin learning

	Always	Usually	Sometimes	Rarely	Never
I redo the voice recording entries when the speech does not flow well.	45.5%	25%	15.9%	3%	3%

I redo the voice recording entries when the intonation does not sound right.	38.6%	27.3%	18.2%	9.1%	6.8%
I redo the voice recording entries when there are grammatical mistakes on it.	31.8%	45.5%	13.6%	2.3%	6.8%
I redo the voice recording entries when the word choice is not quite right.	29.5%	36.4%	18.2%	9.1%	6.8%
I redo the voice recording entries when the pronunciation does not sound right	27.3%	45.5%	15.9%	4.5%	6.8%
I redo the voice recording entries when the organization of ideas is not right.	29.5%	36.4%	18.2%	9.1%	6.8%
I practice my mandarin voice recording on regular basis.	38.6%	29.5%	27.3%	2.3%	2.3%
I always listen to the voice recording sent by my classmates.	22.7%	27.3%	40.9%	9.1%	0
I always listen to others 'recording to improve my own recording	34.1%	34.1%	20.5%	4.5%	6.8%

From the table above we can conclude that the attitude of using voice recording in improve learners' Mandarin oral fluency is quiet positive. Learners practiced before they send their final work to their group WhatsApp group. After their first attempt learners normally will listen to their work first, once they realize there are some errors they will redo their voice recording. Sometimes they will listen to their peers' work that has sent early in order to improve their own work. From the data collected the research found out that 92.2% of learners would like to listen to their peers work in order to improve their own work. Learner will redo their voice recording when the pronunciation and intonation does not sound right, or speech does not flow well, or there are some grammatical errors. There are less than 10% of learners will not redo their work.

After one semester I have been observing my Mandarin three students from both classroom, I have found that learners' Mandarin speaking have been improving from not be able to produce simple sentence to able to introduce themselves in complex sentences with minor errors in their presentation. The attitudes of Learners' participation are also positive: majority of learners are willing to participant in class activities and eager to speak out in class who are very shy at beginning of semester.

## **4.2. Effectiveness of using voice recording in learning Mandarin language by Malay foreign language learners.**

### **4.2.1 Improve listening skills**

Majority of students have trouble understanding every spoken Mandarin word when they first listen to the conversation or presentation which their peers have posted in their WhatsApp group. Later they can listen to it again and hear any of the words they might have missed the first time. These recordings will also help students become familiar with the sound of their classmates while they speak.

The results from participants' survey indicate that 62.5% of the students agreed and 25% strongly agreed that the Voice Recorder activities helped their listening skills. Students' statements indicate that the reason for this is mainly because students could listen to others' recorded for each time again and again until they could understand it and get some idea for their own work. Another reason has been given that the language instructors' feedback provides the learners opportunities to improve their listening skills. Thus the tool offered the students more listening opportunities.

### **4.2.2 Improve pronunciation**

Improving learners' pronunciation is an important goal when learning Mandarin, due to unique of tone language of Mandarin, good pronunciation is even more important because will cause misunderstanding between speaker and receivers if your do not pronounce correctly. Voice recorder is a useful tool to help learners to improve their pronunciation.

From data collected in this study, researcher found out that 36.4% of participants strongly agree and 54.5% of participants agree that this voice recording activity help them improved their Mandarin pronunciation. The reasons have been given that learners record their own speaking on regular basis, and then they can listen back to the recording. Listening back the aim is to find incorrect tones and other repeated mistakes. After listening back they pick up the wrong pronunciations and correct it then re-record the work that correcting the mistakes or problems that they found earlier. Learners are trying to do

this on regular basis with a new passage of text and to make sure their Mandarin pronunciations are getting better from time to time.

#### **4.2.3 Improve grammar**

From the data collected there are 31.8% of participants strongly agree and 59.1% of participants agree that this voice recording activities helped them to improve their Mandarin grammar accuracy. There are less than 10% (9.1%) of participants disagree that the activity helped with their grammar accuracy. In terms of grammatical accuracy in oral output, learners generally performed better after Self-reflection. This has been approved by many researchers (Cooke, 2013; Huang, 2008; Lynch, 2007; Stillwell et al., 2009)

#### **4.2.4 Help learners with their speaking skills**

When learners speak Chinese they are not aware of their own pronunciation, tone and voice. Recording their own voice and listen it back can help them to be aware of their own mistakes. They can record as many times as they want and try to compare the files will reveal their strength and weaknesses. This reflection will help learners in improving their oral fluency. Data from this study find out that 97% of participants indicated that voice recording activities help them a lot in their Mandarin speaking skills, only 3% of participants indicated that this activity help them a little in their Mandarin speaking skills. One of participant wrote that "using voice recording to record what I want to say and then can listen to my own voice. I used to force myself to listen to the sound bites until I understood every word and then I would reply myself. This was much more like a real conversation, but being able to listen as many times as I wanted. I believe that using voice recording is a great way to increase our confidence in improving our Mandarin speaking skills, exercising our ability to communicate in Mandarin using real-life conversation".

#### **4.2.5 Help learners with their self-reflection and confidence**

Mennim (2003) suggested that rehearsed oral output and revisions of their recording after self-reflection would promote more sophisticated and complex use of vocabulary and language form. Students notice their use of simple vocabulary in their recordings. Increase in complexity after recording, self-assessing and revising students' oral output. Learners do a lot of practices record their own voice before they are satisfied with their final pieces of the work. Each time they record and listen it back they might find their weakness and try to improve it. The more times they record their own work, the better they are getting. After they sent their final work to their WhatsApp group, they received the comment and feedback from their peers and language instructions. This gives them more confidence and courage to speak more in target language. One of participant mentioned in the survey "it gives me confidence to speak Chinese fluently" another participant also indicate that "it rise my confidence in speaking the language more often and I am not afraid now to make mistakes."

### **5. Conclusion and Suggestios**

The study investigated the voice recording activities in Mandarin language in improving learner's oral fluency. The integration of voice recording of learners' own practices outside classroom could be useful for promoting students' oral output outside the classroom as well as awareness of their performance and strengthening their sense of ownership over their own learning.

Voice recording activities give a lot of benefits to improve Mandarin oral fluency among Malay undergraduate students. The findings of the study indicate that students' interest in learning Mandarin speaking skills is influenced by this activity. The voice recording allows the students to practice speaking Mandarin language fluently with the guidance from the lecturer. Besides that, voice recording activities were fun, motivating, and useful to help avoiding the gap between active students and passive students, helpful to build self-esteem and confidence among students. The learning process also becomes more student-centered rather than a teacher-centered. Therefore it is important to create an environment that will support the students' learning process and offer opportunities for acquiring Mandarin speaking skills as well as other basic skills in Mandarin language. Pop, Tomuletiu, & David mentioned that attempt to provide learners with opportunities to produce oral output "as they allow language students to practice and enhance their speaking skills outside the classroom while receiving feedback on their performance" (2011, p. 1199). There is no doubt that more research is needed to investigate the audio-based activities in improving foreign language learners' oral performance.

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## Project-based learning and student development skills

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### Abstract

This study presents the results of a research work, which aims to highlight the benefits of learning through projects in the development of cognitive and psycho-social skills of students. Project-based learning is a contemporary teaching method where students work on a project about a topic or a particular problem that seeks to develop a variety of learning skills such as cognitive skills, social and collaborative skills, self-affirmative and leadership skills. To accomplish this work, students rely on prior knowledge of the subject and in-depth research on issues to be answered. The purpose of this paper is to highlight the positivity that the projected hours for the development of the special potentials the students have, aiming at the successful inclusion of students in the learning process. To substantiate the problem, we have also raised the research question: How does project work affect the students learning, leadership and social skills? To answer the research question of this study, we have raised the hypothesis that project work encourages the development of student learning, leadership and social skills. We have proved this problem through a qualitative observation method that was realized with the students of the eighth grade in the 9-year school "Abdulla Hida" in Elbasan, in the interlocutor project hours. From the results of the research we have come to the conclusion that through project-based learning is achieved the cognitive, social and self-empowering development of students.

**Keywords:** project-based learning, cognitive development, social development, self-promotion of the individual

### Introduction

#### Learning with projects

Project learning is a contemporary method that includes multiple learning abilities, such as cognitive ability, social and collaborative skills, self-affirmative and leadership.

Project-based learning is a teaching method where students work on a project about a topic or about a particular problem. To accomplish this work, students rely on preliminary knowledge about the subject and in-depth research on issues to be answered.

Through this teaching method, the aim is to deepen the knowledge of the classroom students and to apply them in practice. At the center of this research work is collaborative work between students, who work together in groups, focusing on individual jobs and shared tasks.

Project learning integrates theory with practice. Pupils receive knowledge and core curriculum elements, but they also apply their knowledge in solving authentic problems and achieving the right results. Project learning refocuses the education of students with the right skills that the global world requires, such as creativity, sensitivity and elasticity, which can not be taught by a text, but must be activated through practice<sup>1</sup>.

Project-based learning is a comprehensive perspective, focused on learning the students involved in the research. Within this framework, students pursue problem solving, seeking and processing questions, debating ideas, making predictions,

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<sup>1</sup> Blumenfeld et al 1991, EDUCATIONAL PSYCHOLOGIST, 26(3&4) 369-398 "Motivating Project-Based Learning: Sustaining the Doing, Supporting the Learning." Phyllis C. Blumenfeld, Elliot Soloëay, Ronald E. Marx, Joseph S. Krajcik, Mark Guzdial, and Annemarie Palincsar.

compiling plans and experiments, collecting and processing data, drawing conclusions, communicating their ideas to others<sup>1</sup>.

Project-based teaching has the following advantages:

- Deep understanding of concepts;
- A wider knowledge base;
- Improving writing skills;

Social, interpersonal and improved communication skills

Through project learning, students need to organize their work and manage the time needed for each stage of the project. Students become active digital explorers. Technology enables students to think actively about the choices they make and execute. Each student is likely to be included individually or as a group.

Project Learning supports student groups who identify a topic or problem around which they will investigate problem solving.

Project-based learning is of particular importance to these components:

- The main content of the project;
- Key Project Competencies;
- Deep research into the topic selected for the project;
- Building the questions. Each research is based on one or more research questions, so their construction is important for designing the project structure;
- Choices and decisions of students around time, resources, etc.
- Review the work done step by step by students about the project;

How can we plan a project-based learning activity (MBP)

Selecting the topic is one of the most important moments, as the topic needs to fill some mitigating conditions, such as: - the topic should be interesting to the students; - have space and opportunity for information; to fit certain age groups, given their level of knowledge.

### **Learning in collaboration**

Based on project-based learning is learning in collaboration. According to Stevens & Slavin (1995), learning in co-operation increases the learning outcomes of students of all levels of ability, reading, writing, math, calculus and mathematical applications, in understanding and critical thinking<sup>2</sup>.

Learning in co-operation improves interpersonal relationships, improving students' emotional status, self-assessment, coping skills, and attitudes to school tasks. (Musai, 2014, 279)

According to B. Musai, collaborative learning:

- Improves understanding of the content of the subject;
- Improves social habits;
- Encourages student decision-making abilities;
- Creates an active learning environment;
- Increases student self-confidence;
- Assess the different ways of learning;
- Increases student responsibility;
- It focuses on everyone's success. (Musai, 2014, 279)

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<sup>1</sup> B. Musai, Metodologjia mësimore (2014, 278)

<sup>2</sup> B. Musai, metodologji e mësimdhënies (2014, 278)

According to Sharon (1995), the characteristics of learning in collaboration are:

- Use small groups of three or four students;
- It focuses on tasks to be carried out;
- Requires collaboration and communication of the group;
- Provides individual responsibility for learning;
- Supports group compactness<sup>1</sup>

#### **The role of teachers in project-based learning:**

In cooperative teaching, the role of the teacher does not fade. He is the organizer or conductor of the lesson.

- Teacher is a partner in communication and interaction in class
- Teacher reduces the level of stress and workload during an activity, teaching them to help each other in the tasks assigned
- Teacher provides advice on the activities that the learner will develop
- Teacher encourages pupil-student action
- Teacher acknowledges student feedback about the method to be developed and creates the opportunity for the student to be free to inquire
- The teacher exercises the students for an independent evaluation of achievements in their activities

#### **The role of student in project-based learning:**

- Pupils are actively involved in the learning process and with interactive methods students have the right to take initiatives
- Students join initiatives
- The students speak on behalf of the group in which they perform the job
- Set certain rules for certain situations
- Create new communication relationships with each other
- Increase the quality of classroom learning

The rapid changes in society undoubtedly brought about the need for changes in our education system as well. Change in the education system is obvious. The curriculum is based on competencies, where emphasis is placed on developing students' skills, attitudes and knowledge.

In Europe, the European Commission has developed "Essential Competences for a Knowledge-based Society" that defines the knowledge, skills and attitudes of the 21st century. These can be found in EC 2004 report.

Competencies:

1. Communication and expression competence;
2. Competence of thinking;
3. Learning competence;
4. Competence for life, work and the environment;
5. Personal competence;
6. Civil Competence;
7. Digital Competence.

The development of these competences is achieved through cooperative teaching, with the student centered, which requires mutual teacher and student engagement and cooperation. In contrast to teacher-centered teaching, student-

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<sup>1</sup> Banks, T. (2000). Teaching learning process. Center for Aide Regulation and education. North Carolina

centered teaching makes the student not to remain a passive audience, but makes the student an active thinker and researcher.

While Kolbi (1984) puts the student at the center of learning, evaluating his participation in the learning process as crucial to his learning experience. Silcock and Brundert (2001) defined the teaching with center the student as an approach where the teacher is facilitating and guiding the learning process towards the teaching where the teacher exercises control in each direction for achieving the learning objectives. One of the most common activities in the classroom that is in fact the basis of all learning and education activities is communication between teachers and students. It is implemented in many forms throughout the classroom and involves directly or indirectly all students. It aims at improving the quality of teaching.

According to Banks<sup>1</sup>, teaching is an active process in which a person shares information with others to provide them with knowledge, which lead the behavioral changes. Rather<sup>2</sup> emphasizes that teaching is a tripartite process, involving the teacher, the student, and the learning situation and leading to changing student behavior. Student-centered learning is part of contemporary, interactive, comprehensive learning strategies, methods and techniques.

Some of the features of this process are:

- a. The basic function of this lesson is learning, which in this case has a wide understanding and includes all learning models such as fact preservation, modeling, critical thinking, integrated learning, global education, learning with projects and so on.
- b The student-centered teaching is distinguished by its asymmetrical nature, which includes the interaction between mature individuals and those of those who have high level of general development and those with low level of development.
- c The student-centered teaching is organized around some knowledge that may be conceptual knowledge, practical knowledge, skills and abilities, procedural knowledge, etc. Schematically, a simple student-centered teaching model would be;

### **Methodology**

The study is based on the importance of project-based learning as a contemporary and effective method of student learning, the implementation in practice and the comprehensive education of students.

This study is based on the challenges of today's education, which must respond to the challenges of human society in the face of global change. The proper education and education of students today makes them worthy citizens of tomorrow's global society, with creative minds in the face of information and communication technology developments. This tomorrow's mission, alongside various factors, can also be achieved through project-based learning, where knowledge-practicing weaving is given priority.

The study was raised around the research question:

How does project work affect student learning, leadership and social skills?

To answer the research question, we have raised the hypothesis that: Project work fosters the development of student learning, leadership and social skills.

The research was conducted through a simple survey method, which was realized in 8th grade students of the 9-year school "Abdulla Hida" in Elbasan. The survey was carried out in 3 hours of inter-project, on topic selection time, on assignment of tasks and on project presentation time.

The survey was conducted through the registration of project hours. For this, I need permission from the school board.

### **Purpose of survey application:**

- Evidence of how the project hours are realized;
- Evidence of innovations that bring learning through projects as one of the contemporary methods, based on which theory-practice co-ordination lies.

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<sup>1</sup> Rather A. R. (2004). Essentials Of Instructional Technology. Publisher, Discovery Publishing House

<sup>2</sup> Constitution from the 17th of February 1994, published on <http://mjp.univ-perp.fr/constit/be1994-0.htm>

## **Sampling**

In this study were attended by 14 students of the seventh grade. Of these, 8 students are female and 6 students are male. Also, out of the total number of students, it is noticed that students are of different levels of learning outcomes. Since the project was interlinked, it was a good opportunity to look at the students at different levels involved in the different trends in the project.

The students were grouped into four groups, namely: 1- a group of languages and literature that worked on gathering the traditions and customs of the area, with regard to celebrations and hospitality; 2- the collection of traditional song songs; 3- the group that took care to paint the traditional costumes of the area; 4-story group that gathered stories and legends from the history of the area.

Since the project was interlinked, the study included 4 teachers, namely subjects: Albanian language, history, music education, figurative education

The theme of the project was "Our Popular Traditions and Customs".

The study belongs to the "Abdullahida" school, a common public school.

## **Practical Findings**

Theories from the theory help us to focus on focusing on field research, specifically, the observation, the subjects and goals of the survey, the way the survey is conducted, the observation time span.

Starting from the discovery of videos recorded during the survey, the following findings result in the confirmation of the hypothesis that project work fosters the student's learning, leadership and social skills.

- In the composition of the working groups, the students belonged to different levels of achievement;
- Of the three students in the history group, two of the students were above the average, while one of them was below the average, but it was noticed that this student had brought interesting legends of the Zone. Through his assertion, it is noticed that he has used the positivists with the close relationship with his grandparents, who have confessed to their grandson legends.
- Out of the three drawers of the drawing group, one of the students, which is below the average achievement level, chosen as the leader of the group, has the passion for painting and has realized the costume paintings found by the other two members of the group . All three students in this group like paintings.
- Of the four music group students, three of them are undergraduate students below the average level, one of whom is a middle-level student. A group leader was selected by a student with poor academic achievement. All four students have talent music.
- Out of the four language group students, three of them result to be above the average level of achievement, while one of them scores below the average level of achievement, but it resulted to have brought interesting information about how the weddings were organized 50 years ago .
- Through the discovery of relevant videos it was noticed that students within the groups cooperated in harmony with one another, were motivated to work. Despite the different levels of learning outcomes, each contributed to the successful realization of the task assigned;
- Leaders of the drawing and music group, despite their difficulties in the subject, showed good leadership skills;

## **Analysis and interpretation of research results**

Through this research, as Markham points out (2011), the analysis of data shows that for a comprehensive inclusion of students of different levels of learning achievement in the learning process, for an all-encompassing development of the cognitive and psycho-social learners, productive project learning, as project-based learning is a contemporary, student-centered approach.

From theoretical findings (Mouse, B, 2014) and data analysis, it is taught that learning based on projects, such as collaborative learning, creates an active learning environment that improves social habits and increases the student's

responsibility. In the practical findings, it was noted how the students cooperated with one another and carried out highly charged tasks.

Teaching is a tripolar process (Rather A. R. 2004), which includes the teacher, the student, and the learning situation, and which leads to changing student behavior. Silcock and Brundert (2001) defined student-centered teaching as an approach where the teacher is facilitating and guiding the learning process toward teaching where the teacher exercises control in each direction for achieving the learning objectives. This was also noticed in the project hours, where teachers directed and instructed the students, when needed, especially in time management.

Through research, as noted by Blumenfeld et al 1991, it was noted that each one had acquired new knowledge through the project, exploring and discussing with one another. This was noted through student discussions on issues and sub-issues addressed at the discussion hours of the collected materials and on the hour of presentation of each group's work.

### Conclusions

From the results of this empirical study, it was found that project - based learning positively influences not only the intellectual and psycho - social development of students but also the practical implementation of the knowledge acquired at school. From the research it is concluded that through project-based learning it is possible to:

1. A cooperative learning teacher - learner and learner - student;
2. Project-based learning develops intellectual skills of learners and promotes their critical thinking through discussion of project themes;
3. Develops the students' social skills and develops their self-evaluation skills through the task as a leader of the group;
4. Give another approach to the teacher's role in the classroom, from being a dictator of student information, to facilitating and guiding the learning process. The learner is placed in the learning center.
5. By project-based learning, scientific knowledge is coordinated with their implementation in practice;
6. Students develop the ability of research and problem solving, as well as make pupils' inclusion in the learning process by developing their special skills.

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## Local Referendum – mechanism of the participative democracy

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### Abstract

In this study we have theoretically and practically approached the institution of the local referendum. Therewith, the European life of Romania has compelled us to view aspects of the institution within the legislation and practice of other European states, such as France and Italy. We have found as appropriate this analysis due to the fact that the local referendum, whose involvement in the local or regional communities' life is more and more visible. In our country the local referendum benefits from a thorough regulation, even if the legislative frame in which the institution is framed is perfectible. In practice, in the last years a multiplication of the local referendums may be observed, in its forms prescribed by law, which proves that the young Romanian democracy has learned to use this mechanism of the participative democracy. The performed compared law analysis has allowed us to also make a comparison, outlined in the conclusions of the study, between what happens to the referendum in other European states, and how the Romanian people understood, through its legislator, to legislate the local referendum and especially how to apply it.

**Keywords:** semi-direct democracy, participative democracy, local referendum, local administration, types of local referendum

### Introduction

1. *General references.* The local referendums are those organized within a territorial subdivision of a national state and concern a matter that interests almost exclusively that community. On a doctrine level multiple definitions of the referendum were elaborated, on this day unanimously accepted as a political-judicial-social phenomenon (see the recent Scottish referendum, out of which so many disputes, controversies, prognosis arose). Thus, *the referendum is the democratic proceeding through which the people manifests directly and independently its sovereignty, by the people's vote, over a precise matter of general interest, with national or local impact.*

The place occupied by the local referendums in the semi-direct democracy is very variable. As a general rule, we may state that, the more a state is decentralized, the more the local referendum has a preferential area of application. In order for the local referendum to play an important role, the notion of "local businesses" must be widely understood and the state authorities tutoring mustn't be very expansive (F. Hamon, 1995, p. 17). For example, the United States of America and Switzerland are the most trained states in the exercise of the local referendum, and, as no coincidence, they are the oldest federal states in the world. In the USA, since the half of the XIX century (year 1840) an emphasized vitality of the local referendums was reported, which generated a real platitude of its use (M. Paoletti, 1997, p. 27).

From a historical point of view, the direct democracy was first developed in the parishes, regions or districts, and only afterwards at a national level. At its origins, the democracy on a local level was developed under the form of direct democracy, thus the citizens directly participated to the decisions regarding the local communities. With the passage of time, the public tasks have become more and more complex and numerous, and the direct democracy gave place to the representative democracy. Within it, the citizens of a community named their representatives and only they made the decisions. Nowadays, the public tasks and the dimension of the parishes have known an ascending trend, which renders impossible the administration of the local communities under the form of direct democracy. Despite this evolution, the institution of the local referendum has been mentioned and even legislated in most of the representative democracies (J. Meylan, 1993, p. 45). However, the current legislative dedication did not arise easily; for example, in France, at the end of the XIX century, the government has explicitly forbidden the practice of the parish referendums (1889-1909), with the argument that a parish is an administrative organization and not a component of political decision (M. Paoletti, 1995, p. 29).

Only in 1971, the local referendum has been legislated, although with a limited object, namely only with the perspective of merging of the parishes (between 1971 and 1993, only 202 parish referendums were organized).

In the British constitutional order, instead, the institution of the local referendum never even existed as concept prior to Blair administration (1997), due to the fact that even the constitutional referendum represented a constitutional innovation (e.g. the referendum regarding the adherence of Great Britain to the European Economic Community from 1975), and their number (just four) proves the ignorance of the British constitutional system related to the referendum. Up to this moment, each referendum has been organized based on an ad-hoc legislation proposed by the government and approved by the Parliament (Kobori, 2009, p. 2-3). After acceding to power, the British government led by Tony Blair was implemented through the normative act by the White Paper *Modern Local Government: In Touch with the People*, a new system in which the local referendum found its place and utility. It could only aim the insertion of the elective system for electing the mayors directly, and the result of the referendum was a mandatory one (Kobori, 2009, p. 7), fact with no precedent in the Anglo-Saxon constitutional and administrative law.

The generalized acceptance of the institution of the local referendum was based on the three qualitative and defining components of the local democracy, which is administrative, representative and participative, the latter having the role to promote and implement the referendum on a local level. This, mostly because the contemporary democracies have the particularity that the principle of majority is transformed in that of legitimacy, thus resulting the attractiveness of the referendum.

Conceptually, the local referendum is the result of the interaction between the universal suffrage and the administrative power. This, by the result generated by it, will either strengthen the proposal or initiative of the local authorities, or block it. Due to its recommendation character – the legislative or decisional, or revoking referendums are rare, their purpose is not to reach a decision, but to demonstrate a point of view.

In the federal states, where the people are seen as divisible, the local referendums may be developed on different levels, but the favourable ground for this category is represented by the smaller communities, because the matters of interests that may occur are less complex than the national ones, and the questions asked may be more concrete: for examples, the building of an auto race track, of a stadium; contracting public loans for the development of the said infrastructure of the administrative – territorial unit; selling, concession, rental of some public property assets with a considerable or strategic importance for the municipality. In a state such as California, whose population reaches about 20 million inhabitants, the issues subjected to the referendum aren't that different from those that may incur on a federal level (F. Hamon, 1995, p. 18).

In the unitary states, instead, such as Romania, where the local communities don't have an autonomy range delimited by law, and the people are considered an indivisible entity, the local referendum occupy an isolated position in the system of the participative democracy.

Anyhow, the usage of the referendum on a local level has various forms, and on the level of its put into practice substantial differences may be found between the states and their legislations, as well as between the concrete ways of usage. The referendum may only be regional, only local, or both, without omitting that there are also categories that are exercised on intermediary levels of territorial statist organization. This depends on the types of territorial communities existing in a state. From another point of view, in some cases, the referendum gets near a trusting vote granted to an individual, which is more a plebiscite, and in others is no different to a simple pole.

First of all, in an authentic form, the authentic local referendum is the one that influences the adoption or the rejection of an important project or decision for the local community, and its intrinsic purpose is to attribute legitimacy to the public decision. The themes of the referendum are extremely diversified, but generally they can be grouped as follows: territory improvement, statute of the parish, city or municipality, equipment purchase, waste disposal, local tax, transport and thermal, electrical, pluvial networks etc, environment and energy.

By the effects a local referendum produces, it places the local population in the position of upper power and it constitutes a mean of control over the actions of the chosen local representatives. Due to this, the local referendum expresses in the clearest way the dispute between the direct democracy and the representative one. Even if the institution managed to impose itself on the legislative plan, in many democracies, as far as its application is concerned, it is still at the discretion of the local officials, which only use it when the political interests call for it.

In contradiction to the generalized passivity of citizens when it comes to the structure and administration of public activities, whose purpose is to improve the public life, the existence of the local referendum is a way to revive the citizens' interest for a better administration of the general interests. In this respect, the local referendum must be considered a concrete and practical procedure regarding the exercise of the citizens' right to participate in the administration of public affairs, right that belongs to the common democratic principles to all the member states of the Council of Europe. This opinion must also be kept despite the fact that most of the referendums are restricted to the alternative yes/no, and the freedom of the citizen is highly reduced: not only is his choice concentrated on what it is being proposed to him to vote, but he can only choose between the acceptance or the rejection of the municipality project.

Reported to the administrative law, the referendum is found at the confluence of several principles of the public administration: the principle of local autonomy, the principle of decentralization and the principle of citizenship consultation. By the referendum the citizens are associated to the decision process and they become co-decision makers in the matters of particular interest of the local community. The referendum instrument regarding administrative acts is being used in all the administrative systems, but only locally, not centrally.

Synthetizing, it may be said that despite the fact that the practice of the local referendums may engage certain disadvantages, a judicial appeal to this instrument is susceptible to enrich the local political life and to produce concrete judicial effects, for the decisional local referendum.

## **2. Compared law.**

In Europe, only a minority of the member states of the Council of Europe doesn't foresee local or regional referendums: Belgium, Denmark, Greece, Lithuania, Latvia (countries members of the European Union), or Georgia, Turkey, Norway (countries that aren't members of the European Union). The local referendum is foreseen in the Constitution of state in Bulgaria, France, Italy, Hungary, Poland, Portugal, Russia, Romania and through special laws in Croatia, Estonia, Finland, Ireland, Malta, Sweden. Also, even if the local referendum is of constitutional order, certain states have set a legislation for its application: Albania, Bulgaria, Czech Republic, Romania, Portugal etc.

In Belgium<sup>1</sup>, it was claimed that the Constitution itself forbids the local referendums, since it foresees that only the municipal or county councils are responsible for the decisions on a local level. In Denmark, the absence of the pertaining disposition in the legislation leads to the fact that neither the local population nor a minority of the local council may ask the organization of a referendum. In the Netherlands, the local referendums, the consultative type, are generally accepted and practiced. In Greece, where the national referendum is regulated, locally this instrument is not being used. In France, the law regarding the territorial administration of the Republic from 1992 foresees the peoples consultation at the level of the parishes for matters in their competence, the initiative belonging to the mayor or to the municipal counsellors. In Spain, the legislative dispositions that regulate the peoples consultation are found in the law regarding the local administration from 1985, and foresee that the initiative of the referendum belongs to the mayor, which needs the previous agreement of the majority of the municipal council and the authorization of the national Government. In Italy, a law dating 1990 authorizes, but does not oblige, the local communities to foresee in their statute dispositions regarding the consultative referendums as a mean of citizens' participation to the public life. In Germany, the issue of citizens' participation through referendum to the businesses concerning the community is treated in a very different manner in the legislations of the various Lands (for details, see chapter II of the Report of the Commission from Venice "The referendum in Europe – Analysis of the judicial rules of the European States").

As for the effects that it produces, in most states where legislative dispositions foresee the local referendum, it is states that it only has a consultative character (Finland, Italy, Norway, Spain). In these cases, the result of the consultation of the local population does not have a mandatory force for the municipal council, but this does not mean that it can neglect the clearly expressed result of the local population. In countries like Hungary, Czech Republic, Slovakia, German Lands, instead, the result of the referendum is being imposed to the local authorities, such that a positive referendum produces an equivalent of a final decision of the local or regional council. This result may either cancel a previous decision, either decides to put into practice a new project.

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<sup>1</sup> For details, <http://www.e-democracy.md/files/elections/venice-code-good-practice-referendums-17-03-2007-ro.pdf>

The institutionalization of the local referendums in the various national or regional legislations allows the setting of the fundamental and uniform rules, which guarantee the good usage of this instrument of peoples consultation, in order to avoid the organization mistakes.

The importance attributed to the local isn't casual or transient, in this regard the European Ministers responsible with the local communities, gathered in the Netherlands at Hague, at the 10<sup>th</sup> conference, have adopted in 1993 a Resolution over the local Referendums, meant to set a general frame, of principle and perspective, which should be the ground of the uniform evolution of this instrument of direct democracy, which activates and strengthens the principle of local autonomy.

Given the importance of the referendum, seen as an element of the semi-direct democracy, the concern for it was manifested also at the level European Union which, through a commission, the European Commission for democracy through law, has adopted in 2007 the Code of good practice in the matter of referendum<sup>1</sup>. Within it, an attention was also given to the local referendum, being stipulated in the chapter 3 item 4 several rules with general character for the member states, out of which we remember: the right of each holder of the political rights to sign a referendum application; the setting of certain clear terms for signature gathering and of the precise number of signature; interdiction to remunerate out of private resources the signature gathering activity; the coerciveness of signature verification; the institution of a competent authority which may verify and correct, prior to voting, the errors that result from drawing the question or from its content.

These rules represent some sort of charter for a future European regulation of the local referendum, but currently it is reflected in a very diversified manner in the legislations of the member states, so that in practice, the forms of local referendum and the range of matters that it covers are extremely diverse.

*Italy.* The local or regional referendum also occupies an important place in the Italian democracy. The Italian constitution foresees, as a general regulation, in article 123, that the Statutes of the Regions regulate the referendum related to laws (abrogative referendum) and administrative provisions, as well as for the territorial alterations of the local communities. According to the articles 132 and 133 of the Constitution, the mergers, the scissions, as well as other territorial alterations of the regions, provinces or parishes require a direct consultation of the communities involved. The statutes of the ordinary regions and of those having a special statute (except for Sicily) foresee the possibility to submit the laws (thus a legislative referendum, which constitutes the most expressive form of the peoples' association to the legislative process, so that it is called to expressly pronounce itself in the matter of a law project that will eventually be adopted), the regulations and acts of the region of an abrogating referendum, in conditions similar to those foreseen nationally. The main difference between them derives from the fact that the regions cannot attribute new functions to the judicial power, to the courts. The rules of these referendums are contained in the statutes or in the special laws of each region.

The control of the regularity or of the admissibility or the referendum application is entrusted to some regional organs, generally to its presidential Council or Committee. On the other hand, even the Italian Constitutional Court has been called to pronounce itself in the case of the referendum from Sardinia about the location of foreign military bases, and by its decision clarified (decision nr. 256/1989) that the regional referendum may only aim matters of local interest and related to the local territory, not matters that aim the national interest. The regional consultative referendum can't have the importance assigned to the national one, considering that it only assumes the participation of the local people.

In the debate of the raised matters, the Court has also decided that the consultative referendums have nothing to do and are not part of the decision making process of the authorities that organized it. Nevertheless, they must be regarded as an expression of the political participation of the people, as the articles 2 and 3 of the Constitution foresee. This participation has an important political relevance and is appropriate for comparing the decision power of authority and the one of the community. Furthermore, this participation is also relevant for the assessment of the political responsibility related to the decisions that the authority wishes to adopt (Celotto A., 2012, p. 5).

Given the oscillation of the referendum, instrument found at the discretion of the local authorities, that may and will use only to their interest, The Constitutional Court also cleared some matters through the decision nr. 372/2004: the referendum is part of the warrant entrusted to the Statute of the Regions, to whom it is permitted to regulate the use of the referendum, even by the legislative alteration of the institution, because the Regions may freely elect forms, proceedings and criteria of the people attendance within the democratic control mechanism for the decisions and resolutions on a regional level

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<sup>1</sup> For the classic constitutional doctrine, the referendum is by excellency a democratic institution, a way to exercise the sovereignty of the people, while the plebiscite only presents aspects of democracy being the weapon of dictators or great demagogues.

(Celotto A., 2012, p. 5). However, Regions have only made limited use of this power. In some cases, they have called abrogation referendums substantially identical to the national ones, with a modification of the validity quorum in order to grant a higher effectiveness.

Numerous regional statutes also foresee the possibility to proceed to consultative referendums. But the low number of regional referendums has left no important marks in the way of functioning of the Italian institutions.

Together with the regional referendum, it is regulated and more noticeable practiced the local referendum which, same as in the Romanian law, it is related to very important local matters: e.g. the settlement of an Italian – Yugoslav industrial area in Trieste, the construction of an incinerator in Cengio, closing the historical centre in Rome or Milan, or the adoption of the master plan of the city Pavia. All these referendums only had a consultative nature and may have as an object strictly matters that are part of the exclusive competence of the local authorities, and the legal frame for organizing the consultations is foreseen by the Law nr. 267/2000, article 8. The initiative of consultative referendums is usually attributed to a certain quorum of the members of the Councils or a percentage of the citizens.

For example, the Statute of the Municipality of Perugia (art. 20) provides that the Mayor is obliged to call the referendum (whether it is consultative, propositional or abrogative) on Municipal measures, when he or she is required to do so by a) the absolute majority of the Municipal Council, for the consultative referendum; b) the majority of two or more Councils of District or c) five thousand citizens (Celotto A., 2012, p. 9-10). Still, the law leaves out from the thematic area of the local referendum the matters related to taxes and duties, and can't take place on the day of the municipal or regional elections.

The Statutes also foresee that after the referendum is set, the municipality must restrain itself from making a decision related to the matter subject to consultation, except for the case when the decision aims a similar change to that foreseen by the referendum.

Statistics show that the local referendum doesn't have an important role in the democratic exercise of the sovereignty of the Italian people, probably due to its lack of force, which made it unattractive, even if there were referendums that generated a high degree of interest and of participation.

*France.* Traditionally a centralized state, France has started in the early 80s an ambitious reform of administrative decentralization, which in a first stage was limited to representation, being focused on the chosen ones, and subsequently produced an institutionalization of the participative democracy, which included as its main actors the local referendum (M. Paoletti, 2007, p. 56). This is the only way which brings together, between two local legislatures, by the vote of the majority, the participation function, alongside the decision one; in other words, in the referendum there is participation and decision, more precisely, participation to decision.

For a long time, this has been seen as being incompatible with the local democracy, fact proven by the resistance encountered in its enactment, even in the 90s; in the last 15 years, the French legislator has intervened four times (1992, 1995, 2003, 2004, through ordinary, organic and constitutional laws) in order to trace the usage procedure of the local referendum. This legislative feverishness is in contrast with the practice of the local referendums, rarely used, frequently controlled. The current local referendum has been legally outlined by the organic law from 2003 (year when, due to the constitutional reform, the local referendum has also been registered in the Constitution) and it is a decisional or a consultative one. Its organization may only be decided by the parish, department or regional executive for matters that are within its competences. According to the law, only the executive of a territorial community may propose to the deliberative gathering of the said community to submit a project regarding its attributions, which it exercises on behalf of the community. Thus regulated, the local referendum fully respects the presidentialism of the French local democracy (M. Paoletti, 1997, p. 59). The law also institutes a quorum of half plus one of the citizens registered on the lists, and the project is being adopted with the majority of the validly expressed votes.

Due to its initiator, according to the current regulation, the parish referendum appears as a decisional instrument all more effective for the mayor (the mayor's permit or the permit of the local majority is accompanied by the vote), as it controls its result (between 1982 and 1993 only 7 cases are signalled when the mayor's suggestion wasn't respected on voting), first from the aprioristic perspective of its release.

It is true that through the legislative alteration from 2004 (Law from August 13) the citizens were also given the right, hard to capitalize, to generate a referendum on a certain theme. More precisely, in a parish, 5% of the citizens registered on the election lists, and in the other communities, 10%, may ask the deliberative gathering to register on the agenda and to

pronounce themselves over the issue for which the consultation through referendum is intended; but, as we have *supra* shown, the decision to organize the referendum also belongs to the deliberative gathering of the said territorial community.

In this legal context, in practice, the decision process is usually a process of reproducing the predetermined and by the mayor desired decision, not one of its transformation (M. Paoletti, 2007, p. 132). The practice of the parish referendums proves that these usually have aimed matters that have engaged local finances: equipment purchase (for example means of transportation), solving the waste issues (serious expense for a small or medium place). This due to the fact that the mayors, active subjects of the procedure, have chosen to strengthen their decision by citizens' association, owed to the value of the investment that will engage the parish in the future and will determine a growth of the local taxes, in order to cover the investment.

Thus, the French local referendum is decisional if its initiator is the local, department or regional executive, and consultative when being initiated by its citizens, but in this case the organization agreement expressed by the local deliberative gathering is necessary. Concluding, the French political culture is marked by a flagrant paradox: if nationally the referendum is admitted as an instrument able to define the public issues to be solved, locally, the usage of the procedure remains scattered.

*Spain.* The construction of the new Spanish political system has been mostly influenced by two factors that have blocked a more flexible enactment of the referendum. First the Franco regime used the plebiscite<sup>1</sup> in order to strengthen its power, which drew a general suspicion related to the referendum and second, the political parties have felt threatened by any type of decision making, such as the referendum, thus they limited its regulation, so that it could not be used.

Regionally, all the Autonomous Communities have introduced in their own laws the citizenship legislative initiative, which excludes the issues not found under their competence and those related to taxing. According to the law, the reform of the fundamental laws (the Statute of autonomy) within the four autonomous regions that have gained full autonomy (Basque Country, Catalonia, Galicia, Andalusia) must always submit a mandatory referendum (B. Kaufmann, M. Dane Waters, 2004, p. 113). Locally, in a few municipalities facultative referendums may be organized, which must respect the following requirements: the referendum may only aim matters in the competence of the municipality and of local interest for residents; it may only aim local taxing; the initiative must be approved by the majority of the municipal council; the mayor may organize the referendum only after it gains authorization from the central government, which must also be requested. Certain Autonomous Communities have developed their referendum legislation; for example, in Catalonia, even the citizens may request the organization of a referendum, and the petition must be signed by a part of the residents having the right to vote (between 5% and 20%) and is subjected to the approval by the municipal council and by the central government.

*Norway.* Norway has a long tradition of the local referendums; locally, the direct peoples initiative has only aimed two matters, namely the selling and purchase of alcohol, and the choosing of the language in primary school. In the municipal laws, the words referendum and initiative are absent, but several municipal councils have organized consultative referendums, the casuistry indicating at least a referendum per year regarding the municipalities merging. Between 1970 and 2000 at least 514 local referendums were organized, meaning a percentage of 16 every year, and the issues of alcohol and of the language in schools hold by far the primacy (75%); other issues subjected to the referendum aimed environmental protection, the place territory or its identity: name and degree (city or parish) (B. Kaufmann, M. Dane Waters, 2004, p. 101).

*Sweden.* Municipally, the direct democracy is found on an ascending trend as usage. The recent initiatives from the city of Kalix, when the citizens were asked how high may the local taxes be and how should the money be spent, have been highly appreciated nationally and have attracted suggestions that other municipalities should also proceed the same. According to the legal provisions in this matter, a simple majority of the local council (kommunfullmaktige) may start a referendum with no limitation regarding the theme and the matter subjected to consultation, nor regarding the moment when it should be organized. This provision has been introduced in the municipality law in 1977 and has remained unchanged. Together with the referendum at the initiative of the authority, the law also foresees the right to referendum initiative of 5% of the citizens having the right to vote (full name, address and signature of each of them will be verified) that must address themselves in writing to the local council, the latter being the organ deciding if it will organize or not the requested referendum (B.

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<sup>1</sup> Law nr. 3/2000 regarding the organization and development of the referendum, published in the Official Gazette, Parte I nr. 84 from 24.02.2000, in force since 25.03.2000

Kaufmann, M. Dane Waters, 2004, p. 116). If it decides the organization of the referendum, the local council will set the questions and time of the referendum. Since 1977 about 80 referendums were organized, all at the initiative of the authority, most of them aiming the territorial limits of the municipality, and the others aimed the infrastructure (roads and bridges). Regarding the referendums at the citizenship initiative, 90% of them have been rejected by the local councils, for the reason that either the issues was already solved, either it is too complicated or too simple and is not worth engaging the costs for organizing a referendum.

### 3. The local referendum from Romania.

The law nr. 3/2000 regarding the organization and the development of the referendum<sup>1</sup> foresees in the article 2 paragraph 2 that the local referendum may only concern „issues of particular interest for the administrative – territorial units”. This means that the object of the referendum is very wide and not even exemplifies the local issues of particular interest. These issues are set, at the proposal of the mayor, of the president of the regional council, or of a 1/3 of the number of local or regional counsellors, by the local or regional councils (article 14 paragraph 1 of the law nr. 3/2000, altered).

Regarding its release, out of the interpretation of the provisions of the law nr. 3/2000 it results that the Romanian local referendum is generally a facultative one. The only situation of local referendum, mandatory in its development, is regulated by the article 13 paragraph 3 of the law and it concerns the alteration of the territorial limits of parishes, cities and counties. Thus, the legislative bills or proposals will be filed to the Parliament only after previous consultation, through referendum, of the citizens from the said administrative – territorial units. This is a classic object of the local or regional referendums, even if the final decision will be taken centrally: Croatia, Estonia, Hungary, Russia, Netherlands, Switzerland, Italy, Portugal etc.

Regarding its effects, the local referendum is a consultative one, and is developed out of the initiative of the mayor or of the president of the regional council, accompanied by the councils, but its result is one that compels the local authorities.

The only type of *decisional* local referendum is the one that concerns the mayor's dismissal or the dissolution of the local or regional council.

Related to the legal classification, a conclusion that may be drawn is that the local referendum is not only a way of solving an issue of high interest for the community, but at the same time it constitutes a political act that strengthens for the citizens, members of that community, the feeling that they form the „people” with an autonomous existence (F. Hamon, *op. cit.*, p. 18). For example, the inhabitants of the municipality of Mangalia have participated in a referendum on the 10<sup>th</sup> of June 2012, the same day as the local elections, being asked if they agree to the annulment of the contract with the heating and hot water C.T. company. The referendum was validated because 56,73 % of the individuals with the right to vote were present and, out of them, almost 80 % agreed to the annulment of the contract. The new local administration, resulted following the elections, took into consideration the opinion of the inhabitants and annulled the agreement with C.T., currently the heat supply being ensured by a company held by the Local Council.

#### 3.1. The general type local referendum

In the local referendums first the facultative referendum regarding particular issues is registered, foreseen by the articles 13-14 of the law nr. 3/2000. Thus, particular interest issues from the administrative – territorial units and the administrative – territorial subdivisions of the cities may be subjected, under law conditions, to the approval of the inhabitants, through the local referendum. The text does not indicate not even as example these particular interest issues. Such a referendum has as an object the consultation of the local population regarding the production of carcinogen substances in a factory of formaldehyde on the territory of the city of Sebeş (the question was: “Do you agree to the production of carcinogen chemical substances on the range of the city of Sebeş?”), organized in September of 2007, and had a negative result: out of the 25.414 citizens with the right to vote, only 6.956 were present to voting (27,37%), out of which 6.794 voted „no”.

This means that the legislator, in the virtue of the fundamental principles that institute the local autonomy, has granted a wide freedom to the leading local forums in choosing which matter of interest for the community becomes, in certain conditions, an issue of particular interest. Additionally, in its initiator's vision, this issue requires, for its solution, the organization of a referendum, whose result will legitimate the solution adopted by the local public authority. A recent and

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<sup>1</sup> Law nr. 351/2001 regarding the approval of the Plan of national territory improvement - Section IV The places network, published in the Official Gazette, Parte I nr. 408 from 24.07.2001

famous example is given by the exploitation of the shale gas in certain areas from Romania (parish Pungești from the county of Vaslui in 2013, or the city Mangalia in 2012), which created very fierce debates due to the necessity of environment protection, sensitive matter and of maximum interest for any community, regarding which the local councils appreciated that is absolutely necessary the consultation of the inhabitants.

Although the legal text uses the term of "inhabitants", creating a certain ambiguity, it must be interpreted as being a synonym to that of "citizens", that are resident or live on the territory of that administrative – territorial unit. Only those citizens may participate to the referendum, as they are authorized through their territorial belonging, and the legal argument also results from the provisions of the article 20 paragraph 1 of the law, which says that the citizens resident in another place than that in which they live may request the mayor of that place, in case of organization of a local referendum, to register them on additional lists; 3 days prior to the date set for the referendum no more registrations are made on those lists.

The law foresees that the local referendum may be organized in all the villages and places composing the parish or the city or only in some of them, directly interested. The issues subjected to the local referendum are set by the local or regional councils, according to the case, at the mayor's proposal, namely at the proposal of the president of the regional council or of a third of the number of local councillors, of the regional councillors respectively. Starting from this provision, it may be concluded that the initiator of the local referendum may only be the local or regional council, the proposal coming from it (1/3 of the number of the local or regional elected individuals) or from the representative of the administrative – territorial unit, mayor or president of the regional council.

Thus it results that the promoter of the referendum is an official subject, fact that seizes the proceeding in free conditions; in other words, if a group of citizens is being mobilized in a great number in order to initiate a referendum on a certain theme, it does not have the possibility to start the proceeding, because the law does not allow it. This censorship in part embezcles the purpose of the local referendum, namely the consultation of the inhabitant population in a matter of particular interest.

Of *lege ferenda*, this provision must be altered, meaning the inclusion amongst the initiators of the referendum of a group of citizens, estimated in a certain percentage (5% or 10%, so that the limit isn't prohibitive), in order to widen the spectrum of its starting and to put it at the easy and palpable disposition of the citizens, so that it does not stay at the discretion of the local authority, which will only promote it when it has an interest in legitimizing its decisions. For example, in such a way, the group of citizens will be able to also start referendums on themes regarding which they would have another position than that of the local authorities, that may be such compelled to withdraw or modify its projects (the year or the time period in which they would develop major sewage works, the opportunity to pitch certain driving arteries, rather than others).

Only such, with this type of initiator included in the germination phase of the procedure, the local referendum strengthens its purpose. Besides, the system of the "initiative" is an extremely popular institution in the United States.

In the current regulation, the local referendum is biased. If the official subject, for example the mayor, personally controls the initiative and chooses to start a local referendum on a clear theme, rarely opposable to its ideas or projects, will fix the development frame: the time of its organization, the referendum question and the terms in which is drawn up, as well as the possible answers.

The interest of the local public authority, politically invested and politically influenced in the hierarchy of the party of which is part, is the one that dictates if and on which theme a consultative local referendum is being organized. Thus, a pertinent example is given by the decision of the Constanta Regional Council nr. 179, adopted at the end of June, regarding the approval of the organization of the referendum on the matter of citizens consultation regarding the dissolution of the territorial administrative unit – Constanta region, which was challenged in court by the prefect of the region. The Court of Constanta has the Prefect's request and tried to deprive the citizens of the region of Constanta of their fundamental right to be consulted and to express, by free vote, the options regarding the future of this administrative – territorial unit.

Regarding the object of the local referendum, the question is if that high interest issues exists and really interest the said community, influencing its life, and, based on this importance, also the mobilization dose may be established. Among the quantification criteria of the referendum object, we enunciate: the theme of consultation is a debatable subject in the said community?; is there an association that has any connection to the particular interest issue? (for example, on the premises of the alarming increase of the number of street dogs, the issue of their euthanasia is being risen); if previously were filed petitions on the referendum theme, or if public debates existed?; were there manifestations related to the high interest theme?. The answers to these questions, that have an exhaustive character, grouped, classify the theme as being useful,

pertinent and conclusive for the community or, on contrary, that it may not be the object of a local referendum, being an isolated incident, or a matter of interest for a minority of the said community etc.

In Great Britain for example, that has a tradition in the matter of the local referendum similar as a starting phase with the inland one, had a referendum organized by the citizens in St. Osyth and Wivenhoe, Essex, which held parish referendums on whether or not genetically modified (GM) crops should be allowed in their parishes, despite the fact that the GM crops issue was a major national concern (Kobori, 2009, p. 13).

The history of the local referendum developed in Romania, and not exclusively, indicates a majority of the referendums developed in difficult contexts: as moments, but especially as theme. An eloquent example is given by the multiple local referendums initiated on the territory of Romania regarding the controversial issue of shale gas exploitation, many of them being blocked by the prefect's offices; thus generating a real judicial conflict amongst the local authorities: local councils and prefect's office.

### **3.2. The mandatory local referendum**

Adjacent to this form of facultative local referendum, there are also two mandatory forms: when the alteration of the parishes territorial limits is being aimed, and when the degree at the said place is being aimed.

In the first case, the law projects or the legislative proposals regarding these territorial alterations are filed to the Parliament for adaptation only after the previous consultation of the citizens from the said administrative – territorial units, through referendum. Thus, the expression of the will of the local population is a previous mandatory condition to seizing the Parliament in this matter (article 13 paragraph 3 of the law nr. 3/2000). The law does not foresee what happens when the citizens don't want the alterations of these territorial limits; given the importance of the peoples' will, it may not be ignored, the Parliament may not surpass it, so that it should reject the alteration proposal subjected, but which has been rejected by the local population. To proceed the other way, and give course to the bill of law or to the legislative proposal would mean to empty the referendum of its purpose, inadmissible conception.

Another form of mandatory local referendum is also foreseen in a special law, law nr. 351/2001 regarding the approval of the national territory improvement, altered and completed several times<sup>1</sup>, which, in the article 3 foreseen, as a general rule, that the passage of the places from one range to another is made by law, at the proposal of the local councils, respecting the main minimum quantitative and qualitative indicators foreseen in the appendixes to the law. Thus, any alteration in the statute of the place, for example from city to municipality, may only occur after consulting the population, by referendum. Also, the administrative – territorial units that are re-established are delimited and marked, territorially, based on the old existing borders at the time of their dissolution and according to a cadastral plan set by the initiator and authorized by the regional office of cadastre and real estate publicity. The authorized cadastral plan is submitted to public consultation, by *local referendum*, and after approval will be integrant part of the approving law for the establishment of the new administrative – territorial unit (article 5<sup>1</sup>). For this purpose, the local councils submit to the consultation of the population, by local referendum, together with the decisions to establish the administrative – territorial units and the cadastral plans of their territorial delimitation.

In conclusion, it may be noticed that for the matters that concern the establishment of cities, parishes, the alteration of their territorial limits, the local communities are sovereign in taking the decisions. We appreciate that direct democracy in such cases gets and efficient and appropriate application and is useful in deciding the matters of local interest of this type.

### **3.3. The enforcement local referendum**

Along these forms of local referendum, the law nr. 215/2001 regarding the local public administration, republished<sup>2</sup>, restrictively enunciates the mandatory local referendums concerning the revocation of the mayor's warrant (article 70), dissolution of the local council (article 55) or of the regional council (article 99), that may be produced following a referendum.

According to the law, the referendum for the dismissal of the mayor has a revoking character and, if it is drawn a request in this matter, it is mandatory to organize the referendum whose effect will be a decisional one, which will have as a result

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<sup>1</sup> Law of local public administration nr. 215/2001, republished in the Official Gazette, Parte I nr. 123 from 20.02.2007, in force since 23.05.2001

<sup>2</sup> Normative acts that should be altered would be the Law nr. 3/2000, Law nr. 215/2001.

either the mayor's dismissal either he will remain in its position. This type of referendum is one of the peoples' initiative and has a local character, because it involves only the population residing in that administrative – territorial unit.

More precisely, the article 70 foresees that the mayor's warrant ceases following the result of a local referendum having the object his dismissal, organized by law, according to the procedure foreseen by the article 55, paragraphs 3-7 of the law. The referendum for the ceasing of the mayor's warrant is organized following the grounded request, filed in this matter to the prefect by the inhabitants of the parish, of the city or of the municipality, following the fact that the mayor disregarded the general interests of the local community or due to the lack of exercise of the attributions concerning him, according to the law, including those that he exercises as a representative of the state.

The procedural stages are the following: the quasi-generalized appreciation that the mayor disregarded the general interests of the local community or that he did not exercise his attributions, according to the law, including those that he exercises as a representative of the state; the drawing of the express request, by the inhabitants of the parish, of the city or of the municipality, for the ceasing of the mayor's warrant, request that will be filed to the prefect; the request must be grounded and will contain the surname and name, date and place of birth, series and number of his ID card and the holograph signature of the citizens requesting the organization of the referendum; so that the referendum may be organized the request must be filed in writing, by at least 25% of his inhabitants with the right to vote, and this percentage must be met in every place composing the parish, city or municipality; a commission named by the order of the prefect will be responsible for organizing the local referendum, composed by a representative of the local and regional council and by a judge of the court of law in whose jurisdiction the concerned administrative – territorial unit is found, and the secretary of the commission is part of the prefect's institution (the expenses caused for the organization of the referendum are supported from the local budget).

In 2010, for example, following the analysis of the request of a group of citizens from Cernavoda, the prefect has started the proceedings for organizing a referendum in this city, having as object the dismissal of the mayor. Due to the fact the for more than two years both the Cernavoda City Hall and the Regional Council have abstracted themselves from the obligation to appoint a representative that was to be part of the referendum organization commission, the prefect has sued them in order to determine them to respect the law. The Court of Constanta pronounced itself in the file 487/118/2012, through which the Prefect of the Constanta Region has requested the application of fines to the mayor of the city of Cernavoda and to the president of the Regional Council, worth 20% of the gross minimum wage on economy, per delay day, each, for the non-execution of the civil decision 1522/CA/30.11.2011 pronounced by the Court of Appeal in Constanta in the file 2951/118/2010. The Court has decided to compel the two to pay the fine until the actual execution of the decision, meaning until the appointment of the representatives that were to be part of the Commission for the referendum organization regarding the dismissal of the mayor of the city of Cernavodă (<http://www.prefectura-ct.ro>).

From the given case may be noticed how easily the start of a sanctioning referendum may be blocked by the concerned authorities, having a political interest, and that the legislation must be adapted, in the sense of its orientation towards the actual application of the citizens right to demand the organization of a local referendum for the mayor's dismissal.

The participation of a judge, in his quality of representative of the judicial power, in this commission, is meant for the guarantee of the commission's impartiality, as well as for law observance.

The referendum is valid if to voting at least half plus one out of the number of inhabitants having the right to vote were present to voting. The mayor's warrant ceases prior to term is in this matter half plus one out of the total number of the validly expressed votes were pronounced in this matter, meaning if an absolute majority is reached, which is deducted from the participation quorum.

Article 55 paragraph 1 and article 99 paragraph 1 of the law nr. 215/2001, republished, institutes the possibility to dissolve the local or regional council, either in full law, either through the local referendum. Obviously, the difference between the two types of referendum is generated by their spread, determined by the administrative – territorial division that exists in Romania, meaning that one concerns a parish, a city or a municipality and the other a county. Part of the conditions and the procedure stages that concern the ceasing of the mayor's warrant are also regulated for the local or regional council: file of the request, by the inhabitants of the administrative – territorial unit, for the dissolution of the local or regional council, request that will be filed to the prefect; the request must be grounded and will include the surname and name, date and place of birth, series and number of the ID card and the holograph signature of the citizens requesting the organization of the referendum; in order for the referendum to be organized, the request must be filed in writing, by at least 25%, for the

local council and 20%, for the regional council, out of the number of citizens having the right to vote registered on the election lists of the administrative – territorial unit; for the organization of the referendum for the dissolution of the local council will be responsible a commission named by the order of the prefect, composed out of a representative of the prefect, a representative of the mayor, of the local and regional council, and a judge of the court of law in whose jurisdiction the concerned administrative – territorial unit is found, and the secretary of the commission is ensured by the institution of the prefect; instead, for the organization of the referendum for the dissolution of the regional council a commission composed out of the prefect, a representative of the regional council named by the decision of the regional council and a court judge will be responsible, and the secretary of the commission will be part of the prefect's institution;

The referendum is valid if to voting were present at least half plus one of the total number of the inhabitants with the right to vote; therefore, the law institutes a participation quorum, that consists of 50% plus 1 of the number of the active inhabitants. The activity of the local or regional council ceases prior to term if in this matter pronounced themselves at least half plus one of the total number of the voted validly expressed, meaning if an absolute majority was reached, which is deducted from the participation quorum;

Hence, there are two major differences between the referendum for the dissolution of the local council and for that of the regional council: the initiative quorum (25% for the dissolution of the local council, 20% for the dissolution of the regional council), and the composition of the commission which is responsible for the organization of the referendum.

### 3.4. Procedural rules

As a general procedure, the article 16 of the law nr. 3/2000 foresees that the object and the day of the local referendum are set and brought to public knowledge at least 20 days prior to the day of its development.

The local referendum may only be organized one day, that may only be a Sunday.

In all cases, the citizens are called to pronounce themselves through "YES" or "NO" in the matter subjected to the referendum, deciding with the majority of the votes validly expressed at the level of the said administrative – territorial unit. The participation quorum is the general one, written in the article 5 paragraph 2 of the law, meaning at least half plus one of the number of individuals registered in the permanent election lists. If the quorum of the referendum isn't met, the referendum will not be validated.

The public awareness of the day of the referendum will be made by any mean of mass information.

The prefect is the one supervising the organization and development of the local referendum, including the observance of the terms for realizing the activities foreseen in this law. He will inform the Department for Local Public Administration within the Ministry of Public Position (nowadays, this ministry has changed its name, but, generically, it is the Ministry of public administration) within 24 hours since the reception of the decision of the local or regional council through which the organization of the local referendum is set. The Ministry of Public Position will inform the Government on the result of the local referendum.

Neither the law nr. 3/2000, the referendum frame law, nor the law nr. 215/2001, institutes an administrative or judicial organ which is authorized to control the way in which the local referendum proceeding was respected, as it is the Constitutional Court for the national referendum. In order to cover these gaps, we think that such a control should be granted to a judicial organ, which is presumed by the law as being objective and impartial, and not to an administrative organ. An argument for this position is being constituted by the fact that the local public administrative authorities, mayor, local or regional council intervene in various stages of the procedure: for the local referendums, giving penalties, it is the said organs that are concerned, therefore they are excluded *ab initio*, and for those foreseen by the law nr. 3/2000, according to the object of the referendum, various political or economic interests may incur, which would alter the objectivity of these organs. Besides, even the political nature of these positions would negatively influence the control. Out of the judicial authorities, the competency must devolve upon the judicial courts, and among them, according to the territorial competence, to the regional court. Thus, *lege ferenda*, the control of the legitimacy of the local referendum should be entrusted to the court that functions in the territorial circumscription where the procedure was developed<sup>1</sup>.

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<sup>1</sup> Presentation on the Findings from the National Survey on Bullying and Violent Extremism in the Education System in Albania. 2017. Founded by the European Union, Implemented by the Council of Europe and ISOP. pp.19. Retrieved from <https://rm.coe.int/168070c3be>

#### 4. Conclusion

The referendum, with reference to the local one, is the sole procedure of participation that associates, thanks to voting, the positions of the citizenship participation to those of decision making. However, it does not produce a final decision, except for the decisional local referendum, as it is the enforceable one foreseen by the Romanian law.

The synthesized analysis of compared law that I have made proves that the Romanian regulation in the matter of local referendum is sufficiently developed, compared to those of the European legislations. The young Romanian democracy knew to take and insert in a solid manner this instrument of participative democracy, over which the scepticism of its lucrateness still exists. Besides, the recent initiatives of local referendums organized prove that the Romanian people, divided in local communities, wants to become a co-participant to important administrative issues that influence his life (for example, environment issues, such as the extraction of shale gas, and not only limited to territorial alteration of the administrative – territorial units).

Such as any regulation, also that concerning the Romanian local referendum is perfectible, especially as far as its initiator is concerned, that must mandatorily be the citizen. In the matter of the local referendum foreseen by the various European legislations a variety of points of views may be found, legislatively expressed or not (for example, in Ireland there are no judicial norms that allow the organization of a local or regional referendum), which denotes a discordance of its institution and application. In fact, the local/regional referendum is and will be highly influenced by the political – administrative system in which is legislated and where it manifests itself, but we found as appropriate the outline of some general ruled from which the member states of the EU shouldn't derogate. And a first step would be the coerciveness of its regulation in all the member states, wither directly in the constitution, either in an important law. It is understood that to each state the freedom to conceive a system of co-participation to the local administrative life should be granted, according to the state structure and to its traditions and customs. It is important that the local referendum is regulated.

Anyway, the local level of exercise of the referendum is illustrative in order to show to what extent there is a way of political dialogue between the citizens and the local authorities. But, to render it more efficient, it is crucial that the warrantee that the municipalities will respect the result of the local or regional referendum, exists (Celotto, 2012, p. 12). It may also be noticed that the legislators (e.g. Romanian or Italian) have given a lot of attention to the regulation part of the local referendum, creating an entire system of substantial and procedural norms, different from a system to another.

The case of the referendum shows that despite the political profit that the mayors may extract, these are hostile during the warrant to this remarkable multiplier of legitimacy, fact which proves their lack of trust in the universal vote, more precisely in the result of the referendum, which gets out of their political control. This effective participation in the local businesses is perceived as a danger to the representative democracy, feeling that is clearly experienced in case of the local referendum, as against the national one (M. Paoletti, 1997, p. 133). However, in time, it would be a benefit if this reserve regarding the referendum would be surpassed, in its whole but especially as for the local one is concerned, whose utilities we found as indisputable in the current businesses of a community. And the local administrative power would have a real control mean, fact that would determine it to be more cautious and more attentive to the interest of citizens.

Finally, in the current stage of the vision over it, legislatively reflected, the local referendum isn't a support element of the local administrative system, which is fully representative, nor it presents itself as a procedure which allows to choose an option out of the two, based on public debated. However, it may be used as a palliative meant to consolidate the representation. In the future, this institution still has a long way to go, but the current European democracies know about its existence, and the danger to become caduceus is definitively eliminated.

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- [20] Law nr. 351/2001 regarding the approval of the Plan of national territory improvement, altered and completed
- [21] Law nr. 215/2001 regarding the local public administration, republished in the Official Gazette nr. 123 from 20<sup>th</sup> February 2007

## Variables that affect the purchase intention of Peruvian gastronomy

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### Abstract

The purpose of the research is analyze the association of the purchase intention of Peruvian gastronomy with the following set of variables: the country image of Peru, the gastronomy's product image, the familiarity with Peru, and the gastronomy's product familiarity. Such association has not been studied for country familiarity variable, and for Peruvian gastronomy. A qualitative method to compile the primary information and the survey technique was used. Additionally, a questionnaire of closed questions was applied to undergraduate and graduate students in two selected samples that correspond to the consumers of two countries with different levels of familiarity with Peru: United States whose level of familiarity is high and France whose level of familiarity is low. It was concluded that there is a positive relation between the intent to purchase of Peruvian gastronomy with the country image of Peru, the gastronomy's product image, the familiarity with Peru, and the gastronomy's product familiarity. In addition, the country image of Peru is statistically significant associated with purchase intention of Peruvian gastronomy for the case of foreign consumers with high and low familiarity with Peru.

**Keywords:** purchase intention, familiarity, gastronomy, Peru.

### 1. Introduction

According to Khan et al., (2012), Fishbein & Ajzen (1975), purchase intention is the individual and subjective decision that consumers make towards a brand, product or service which has been selected by them after a certain level of evaluation. Additionally, Huy & Svein (2012) affirm that it is essential to analyze the purchase intention of goods and services offered by a company, since marketing managers are involved to analyzing it with the aim of predicting sales, estimating the demand for their products and services, segmenting the market and designing promotional strategies.

Similarly, Madahi and Sukati (2012) point out that purchase intention is an increasingly critical element for studies on consumer behavior; consumers will decline in their purchase based on their evaluation and appreciation of the product or service bought. According to Keller (2001), the purchase intention can be affected by many external factors; however, the ultimate decision between accepting or rejecting a product or service will depend on the purchase intention of the consumer.

The general objective of the present investigation is analyze the association of purchase intention of Peruvian gastronomy with country image of Peru, gastronomy's product image, familiarity with Peru and gastronomy's product familiarity variables. In addition, specific objectives are following:

- I. Analyze the association of the country image of Peru with the gastronomy's product image.
- II. Analyze the association of the country image of Peru with the purchase intention of Peruvian gastronomy.
- III. Analyze the association of the gastronomy's product image with the purchase intention of Peruvian gastronomy.
- IV. Analyze the association of familiarity with Peru with the purchase intention of Peruvian gastronomy.
- V. Analyze the association of gastronomy's product familiarity with the purchase intention of Peruvian gastronomy.
- VI. Analyze the effect of country image of Peru, gastronomy's product image, familiarity with Peru, gastronomy's product familiarity with the purchase intention of Peruvian gastronomy.

## 2. Literature Review

It's analyzed the main models that explain the relationship between the variable purchase intention with image country, image product, country familiarity and product familiarity variables.

Han - Construct Summary (1989) proposed a model that researched the variables that influence the consumer purchase intention, identifying as main variables: country image and product familiarity. Han concluded that when the consumers doesn't have knowledge of a specific product; the image country of this product impacts on the consumers purchase intention through their perceptions and beliefs relative to the product.

In addition, Han - Halo Effect (1990) developed a new model that analyzed the consumer's perception of product quality through evaluation of the product's country of origin. His model studied the impact of this evaluation on their purchase intention. The main finding was that the country of origin may affect the perception of product's quality; and it influences the consumer purchase intention. However, country image isn't the unique variable that can impact on the perception of product's quality.

Other perspective was researched by Hong and Wyer (1989) who proposed a model that demonstrated that the information relating to product's country of origin generates more awareness in knowing information regarding the other attributes of the product by the consumers. Subsequently, the information of product's country of origin stimuli the final evaluation of the product. However, the analysis of this model doesn't allow to conclude when it is wise to promote product's country of origin.

In contrast, Roth and Romeo (1992) studied a model integrating the country image and product image, with purchase intention. They defined country image in terms of four dimensions, which are evaluated at the same time when the consumer analyze a specific product. This lets determining when it is advisable to promote the product's country of origin and when not, it allows prioritization of the dimensions of the country image that require greater care.

In addition, Papadopoulos and Heslop (2000) presented the model based on Roth and Romero (1992) research, however, it focused on a multi-country study. Consequently, they were able to study the influence of product's country of origin on the consumer purchase intention. Similarly, Lin and Kao (2004) developed a model based on Roth and Romeo (1992). However, they model analyzed the relation of the variables concerning to the brand and country image and its influence on the consumer purchase intention. They found that the country of origin impacts positively the intention purchase of consumer.

On the other hand, Long Yi and Chun-Shuo (2006) suggested a model that studied the effect of the country and product image, the degree of product's entailment and knowledge on the consumer purchase intention. They main finding was that product's knowledge and entailment moderate the final impact that the country of origin has on consumer purchase intention. Although this model studied in greater depth variables concerning to the product; it doesn't test the brand effect on consumer intention of purchase.

However, Wang and Yang (2008) proposed a model that studied the impact of brand personality and the country of origin on the consumer purchase intention. They concluded that the brand personality and product's country of origin produce combined effect that favor the consumer purchase intention. In addition, Khan, Ghauri and Majeed (2012) analyzed the impact of product's country of origin on the consumer purchase intention. They main discovery was that the impact of the product's brand on the consumer intention of purchase is directly and determined by the brand components: brand awareness, past experiences of the brand, and the association between brand awareness, and past experiences of the brand.

Xianguo, Yang & Wang (2012) evaluated the influence of the country image on the perception of product quality; and the impact of ethnocentrism and customer animosity on such association. They concluded that ethnocentrism impacts positively on the consumer purchase intention of national products, unlike, with imported products. A new viewpoint was presented by Guina and Giraldi (2012) who appraised the impact of product's country image and familiarity with the country of origin of the product on the consumer purchase intention. The authors concluded that the country familiarity impacts positively on the country image, and consumer purchase intention.

Correspondingly, Sinrungtam (2013) analyzed the effect of product's country of origin on the consumer's purchase intention. Additionally, the author studied in depth the country of origin developing six dimensions to study it, and concluded that four of the dimensions that form country of origin impact directly on consumer purchase intention; while the country of assembly

and country of design dimensions are not associate with the consumer purchase intention. Similarly, Ortiz (2014) studied the association between the product's country of origin and brand personality; as in besides, its impact on the consumer purchase intention. His results specified that country of origin image has a direct and significant impact on the brand personality; and this interaction has a positive effect on consumer purchase intention.

On the other hand, Liu and Guo (2016) studied the effect of product's access, satisfaction, reputation and familiarity on consumer purchase intention. Their results showed that both product's familiarity and access don't directly impact on the consumer purchase intention; highlighting that both variables indirectly impact consumer purchase intention through product's trust and social benefit variables.

A critical finding in the review of the literature is the scarcity of studies on the consumer's purchase intention for agricultural and gastronomic products from emerging countries. Additionally, country's familiarity was studied in the model, such variable have not been analyzed in the literature frequently. As a result, the following are the hypotheses (see figure 1):

**Hypothesis 1 (H<sub>1</sub>):** The better the country image of Peru is, the better the gastronomy's product image is.

Numerous researchers have analyzed the relationship between country image and product image. Nevertheless, other researchers have associated these two variables with others in their studies, as Nagashima (1970); Narayana (1981); Agarwal and Sikri (1996); Roth and Romeo (1992); Martin and Eroglu (1993); and Kotler and Gertner (2012).

**Hypothesis 2 (H<sub>2</sub>):** The better the country image of Peru is, the higher the intent to purchase gastronomy will be.

Various authors researched the association between the country image and consumer purchase intention. However, others have studied the relationship between both variables with others in their research, as Han - Construct Summary (1989); Hong and Wyer (1989); Roth and Romeo (1992); Papadopoulos and Heslop (2000); Long-Yi and Chun-Shuo (2006); Wang and Yang (2008); Xianguo, Jing, and Da Xia (2012).

**Hypothesis 3 (H<sub>3</sub>):** The better the gastronomy's product image is, the higher the intent to purchase gastronomy will be.

According to the review of the literature, several authors analyzed the correlation between product image and consumer purchase intention. Nevertheless, other authors have researched both variables with others in their studies, such as Han - Halo Effect (1990); Roth and Romeo (1992); Papadopoulos and Heslop (2000) ; Long-Yi and Chun-Shuo (2006).

**Hypothesis 4 (H<sub>4</sub>):** The better the country familiarity with Peru variable is, the higher the intent to purchase gastronomy will be.

According to the review of the literature, Guina and Giraldi (2012) and Roth and Romeo (1992) researched the country familiarity and consumer purchase intention with other variables in their analysis.

**Hypothesis 5 (H<sub>5</sub>):** The better the gastronomy product familiarity is, the higher the intent to purchase gastronomy will be.

Han - Construct Summary (1989); Han - Halo Effect (1990) and Lin and Kao (2004) studied the association between product familiarity and consumer intention to purchase, with other variables in their researchers. Particularly, Roth and Romeo (1992) made a short comment of products familiarity and its association in the consumer purchase intention, however, they didn't study it in their model.

**Hypothesis 6 (H<sub>6</sub>):** The country image of Peru, the gastronomy's product image, the country familiarity with Peru and the gastronomy's product familiarity used together have a significant impact on the intent to purchase gastronomy.

Han - Construct Summary (1989); Han - Halo Effect (1990); Hong and Wyer (1989); Papadopoulos and Heslop (2000); Lin and Kao (2004); Long-Yi and Chun-Shuo (2006); Wang and Yang (2008); Xianguo, Jing, and Da Xia (2012); Khan Ghauri and Majeed (2012) and Sinrungtam (2013) studied the association between the following variables country image, product image, country familiarity and product familiarity with the consumer purchase intention, with other variables in their studies.

### 3. Method

A descriptive confirmatory study was carried out studying the variables analyzed in the literature review. It is possible to conclude their associations (Kumar, 2000). It was used a qualitative method to collect the primary information and the survey technique was performed. Additionally, a structured questionnaire of closed questions was formed organized into five sections; adapting the questionnaire designed by Roth and Romeo (1992).

Two samples were studied for data collection, each sample was formed by countries with different levels of familiarity with Peruvian gastronomy. The first sample was acquiesced of undergraduate and postgraduate students from the United States (U.S.) whose familiarity with Peru is high; while the second sample was acquiesced by undergraduate and postgraduate students of France whose familiarity with Peru is low, based on the research of Verbeke and Vackier (2004).

It was selected a non-probabilistic sampling for convenience, according to Douglas and Craig (2007), this sampling is suitable in international marketing research, given the time and money limitations and restricted access to the population analyzed, see table 1.

The selection of the components of country image of Peru and gastronomy's product image were based on the items of the country image and product image analyzed in the review of the literature. The items studied by Roth and Romeo (1992): prestige, design, innovation and manpower were used, while country familiarity, product familiarity and consumer purchase intention were measured through a single item.

The interval method was performed to measure the various categories of response by consumers to the items analyzed. For this reason, the semantic differential scale was useful as a measurement scale based on response categories ordered on a seven-point scale. It's represented the degree of acceptance, preference or agreement with each of the items studied, given their simplicity, speed of application and tabulation of results (Kineear & Taylor, 1999).

#### **Preliminary analysis**

Table 2 shows the statistical reliability for country image of Peru and the gastronomy's product image scales. The individual corrected item-total correlations and the total value of Cronbach's alpha are extensively satisfactory according to Nunnally (1967).

Tables 3, 4, 5 and 6 shows the outcomes of dimensionality for the country image of Peru and the gastronomy's product image. The first factor of the Principal Component Analysis (PCA) explains much more variance than the second, and this more than the third; additionally, the first factor of the PCA is the unique that has an eigenvalue greater than one, in both cases. As a result, both scales are one-dimensional (Carmines & Zeller, 1979).

Table 7 shows ANOVA test of equal means for France and U.S. samples, it was made for each analyzed variable, results indicates that the null hypothesis of equal means isn't accepted in any case based on F values, since  $p < 0.000$  in all the studied variables. Similarly, Turkey test was carried out in order to analyze the homogeneous subsets of samples. Table 6 shows that the mean of French sample is significantly less than the mean of the U.S. sample for Peru country image, familiarity with Peru, and purchase intention of Peruvian gastronomy. Specially, for the gastronomy product image and familiarity with gastronomy; samples of USA and France determine a homogeneous group.

#### **4. Conclusions**

It was analyzed the peer correlation of the country image of Peru with the gastronomy's product image. Additionally, it was studied each of the four variables researched with the purchase intention of Peruvian gastronomy, through bivariate analysis.

##### **Study of H<sub>1</sub>: The better the country image of Peru is, the better the gastronomy's product image is.**

In the sample of France, country image of Peru is directly and non-significantly correlated with the gastronomy's product image ( $r=+0.106$ ;  $p=0.272$ ). In contrast, in the U.S. sample, the correlation is direct and significant; the country image of Peru is significantly correlated to the gastronomy's product image ( $r=+0.324$ ;  $p=0.001$ ), at 5% level of significance; see table 8. This outcome of the empirical part confirms what was studied in the literature concerning the relationship between the country image and the product image researched by Nagashima (1970), Narayana (1981), Agarwal and Sikri (1996), Roth and Romeo (1992); and Martin and Eroglu (1993).

**Study of H<sub>2</sub>: The better the country image of Peru is, the higher the intent to purchase gastronomy will be.** In the sample of France, there is a positive and significant relation of the country image of Peru with the intent to purchase gastronomy ( $r=+0.334$ ;  $p=0.000$ ), at 5% level of significance. Similarly, in the sample of U.S., the association of the country image of Peru with the intent to purchase gastronomy is direct and significant ( $r=+0.489$ ;  $p=0.000$ ), at 5% level of significance; see table 9. This empirical result validates what has been analyzed in the literature, relative to the association between the country image and the consumer intention to purchase, as studied by Roth & Romeo (1992); Papadopoulos

& Heslop (2000); Lin & Kao (2004); Long-Yi & Chun-Shuo (2006); Wang & Yang (2008); Xianguo, Yang & Wang (2012); Khan, Ghauri & Majeed (2012) and Sinrungtam (2013), see table 9.

**Study of H<sub>3</sub>: The better the gastronomy's product image is, the higher the intent to purchase gastronomy will be.**

In the sample of France, it was found a positive and significant correlation between the gastronomy's product image of Peru and the intention to purchase gastronomy from Peru ( $r=+0.259$ ;  $p=0.007$ ), at 5% level of significance. Similarly, in the case of the US sample, the correlation between the gastronomy's product image of Peru and the intent to purchase gastronomy from Peru is positive and significant ( $r=+0.471$ ;  $p=0.000$ ), at 5% level of significance; see table 10. This finding in the empirical part corroborates what has been researched in the literature, concerning the existence of an association between the product's image and the purchase intention, as can be observed in Han - Construct Summary (1989); Roth and Romeo (1992); Papadopoulos and Heslop (2000); Long-Yi and Chun-Shuo (2006).

**Study of H<sub>4</sub>: The better the country familiarity with Peru variable is, the higher the intent to purchase gastronomy will be.**

In France sample, the correlation between country familiarity with Peru and the purchase intention of gastronomy is positive and significant ( $r=0.111$ ;  $p=0.250$ ), at 5% level of significance. Similarly, in the case of the US sample, the correlation between the country familiarity with Peru and the purchase intention of gastronomy is positive and significant, ( $r=0.511$ ;  $p=0.000$ ), at 5% level of significance; see table 11. This insight in the empirical part represents scientific contribution, since there aren't studies that incorporate an association between the country familiarity with the consumer's purchase intention. Specially, the model of Roth and Romeo (1992) is the unique research that mentions country familiarity, but doesn't include this variable in its study.

**Study of H<sub>5</sub>: The better the gastronomy product familiarity is, the higher the intent to purchase gastronomy will be.**

In the sample from France, it was found that the correlation between the familiarity gastronomy product of Peru and the purchase intention of gastronomy from Peru is positive and not significant ( $r=0.155$ ;  $p=0.107$ ). In contrast, in the U.S. sample, the correlation was found to be positive and significant ( $r=0.599$ ;  $p=0.000$ ), at 5% level of significance; see table 12. This finding in the empirical part corroborates what has been studied in the literature, as Han - Construct Summary (1989); Han – Halo Effect (1990); Roth and Romeo (1992); Lin and Kao (2004).

**Study of H<sub>6</sub>: The country image of Peru, the gastronomy's product image, the country familiarity with Peru and the gastronomy's product familiarity used together have a significant effect on the intent to purchase gastronomy.**

In equation 1, the dependent variable is the intent to purchase gastronomy from Peru and the independent variables are gastronomy's product familiarity, country familiarity with Peru, country image of Peru and gastronomy's product image. All these variables have a quantitative nature and form the regression equation; it was used the intro method. The purpose of this regression was identify which independent variables are significant in the intent to purchase gastronomy from Peru. In consequence, the null hypothesis to test was:  $H_0: \beta_1=\beta_2=\beta_3=\beta_4=0$ .

**Equation 1: Regression equation of H<sub>6</sub>.**

*Intent to purchase gastronomy from Peru = Constant +  $\beta_1$  \*  
Gastronomy's product familiarity +  $\beta_2$  \* Country familiarity with Peru +  $\beta_3$  \*  
Country image of Peru +  $\beta_4$  \* Gastronomy's product image + error.*

Where:

*$\beta_1$  = Regression coefficient of gastronomy's product familiarity ,*

*$\beta_2$  = Regression coefficient of country familiarity with Peru,*

*$\beta_3$  = Regression coefficient of country image of Peru,*

*$\beta_4$  = Regression coefficient of gastronomy's product image.*

As a preliminary analysis to test H<sub>6</sub>, it was identified the presence of extreme cases or outliers. The outcomes presented that there isn't residue with standardized value lower than -3 or higher than +3 in both samples. Additionally, it was identified that no factor variance inflation was greater than 5, and the condition indexes were all under 30. Therefore, there isn't multicollinearity in the regression variables for both samples.

Table 13 presents the regression results for the sample of France, it's identified that R squared corrected is 0.139. Additionally, table 14 shows that the amount of variance explained by the regression model for the sample of France is significant ( $p=0.001$ ). In consequence, it is not accept the null hypothesis ( $H_0: \beta_1=\beta_2=\beta_3=\beta_4=0$ ). It means that all beta coefficients of the regression equation are not zero.

Table 15 indicates which regression coefficients are significant to explain the intent to purchase gastronomy from Peru, it allows contrast the null hypothesis,  $H_0: \beta_1=\beta_2=\beta_3=\beta_4=0$ ; for the sample of France. The results indicate that the null hypothesis isn't accepted for the country image of Peru variable ( $p = 0.001$ ). As a result, country image of Peru is a significant variable to explain the purchase intention of Peruvian gastronomy. Moreover, the relationship of this variable with the purchase intention of Peruvian gastronomy is direct, since it was found that  $\beta_4 > 0$  ( $B_4=0.304$ ). In contrast, gastronomy's product familiarity ( $p=0.617$ ), familiarity with Peru ( $p=0.369$ ) and gastronomy's product image ( $p=0.055$ ) aren't significant variables to explain the purchase intention of Peruvian gastronomy.

Table 16 presents the regression results for the sample of U.S., it's identified that R squared corrected is 0.445. Additionally, table 16 shows that the amount of variance explained by the regression model for the sample of U.S. is significant ( $p=0.000$ ). Therefore, it isn't accept the null hypothesis ( $H_0: \beta_1=\beta_2=\beta_3=\beta_4=0$ ). It means that all beta coefficients of the regression equation are not zero.

Table 18 indicates which regression coefficients are significant to explain the intent to purchase gastronomy from Peru, it allows contrast the null hypothesis,  $H_0: \beta_1=\beta_2=\beta_3=\beta_4=0$ ; for the sample of France. The results indicate that the null hypothesis isn't accepted for gastronomy's product familiarity variable ( $p=0.000$ ) and country image of Peru ( $p=0.008$ ). As a result, gastronomy's product familiarity and country image of Peru are significant variables to explain the purchase intention of Peruvian gastronomy. Moreover, the relationship of these variables with the purchase intention of Peruvian gastronomy is direct, since it was found that  $\beta_1 > 0$  ( $B_1=0.357$ ) and  $\beta_3 > 0$  ( $B_3=0.008$ ). In contrast, familiarity with Peru ( $p=0.251$ ) and gastronomy's product image ( $p=0.089$ ) aren't significant variables to explain the purchase intention of Peruvian gastronomy.

In the table 19, summary of the  $H_6$ , it can be seen that all correlations are positive. However, there are differences between the variables that are significant and those that are not significant to explain the intent to purchase gastronomy; from one sample to the other. When the four variables are studied together to explain the purchase intention of Peruvian gastronomy, it was found that country image of Peru is significant for both samples. As a result, gastronomy's product image, familiarity with Peru and gastronomy product familiarity are not significant for both samples.

## 5. Discussion

Regarding the  $H_1$ , according to the review of the literature, several researchers were found a positive and significant relationship between the country image variables and the product image. The results obtained in this research partially confirm this relationship; according to the results, the image of Peru affects the image of Peru's gastronomy product when the consumer has high familiarity with Peru, but not when the consumer has low familiarity with Peru. As a result, there is a partial acceptance of the  $H_1$ .

Relative to  $H_2$ , studies which analyzed to the association between country image and the purchase intention were carried out in several researchers, and therefore, is the country image is the variable used with greater frequency in the literature of the purchase intention of the consumer. According to the results of the empirical part, the  $H_2$  should be widely accepted in cases when the consumer has high familiarity with Peru, as well as, in cases when the consumer has low familiarity with Peru. Therefore, there is wide acceptance of  $H_2$ .

Analyzing the  $H_3$ , a low presence of the product image variable associated to the intention to purchase was observed in the review of the literature, in comparison with to the country image variable. The results widely confirm this association, according to the results, the gastronomy product image of Peru affects the purchase intention of Peruvian gastronomy when the consumer has high or low familiarity with Peru. Therefore, there is a wide acceptance of  $H_3$ .

Similarly, studying the  $H_4$ , it was found that Peru familiarity affects purchase intention of Peruvian gastronomy when the consumer has high familiarity with Peru; and when the consumer has low familiarity with Peru. In consequence, it is concluded that there is a wide acceptance of the  $H_4$ , which constitutes an important contribution to the academy, since the familiarity of the country, has not been associated by the literature with the consumer's purchase intention.

With respect to the results of H<sub>5</sub>, a low presence of the product familiarity variable related to the intention to purchase was identified in the review of the literature, in comparison with country image, and product image variables. The results partially confirm this relationship; the familiarity with gastronomy product of Peru affects the purchase intention of gastronomy from Peru, when familiarity with the consumer has high familiarity with Peru; in contrast, when the consumer has low familiarity with Peru. Therefore, there is partially acceptance of H<sub>5</sub>.

Finally, regarding H<sub>6</sub>, when the bivariate analysis is carried out and then the multivariate analysis, it is possible to study the effect of the four variables simultaneously in the purchase intention. The results present that the behavior of the four variables studied changes for each sample; specially, it was found that Peru country image is significant associated with the intention to purchase of Peruvian gastronomy, for both samples. In consequence, H<sub>6</sub> is partially accepted.

## 6 Limitations

The reliability of the results is low since the size of each of the samples is reduced due to budgetary and time constraints. Additionally, the small sample size doesn't allow a study by gender, age and socio-economic level of the consumers to determine the existence of differences in their purchase intention based on these variables. Similarly, the results obtained are not extrapolated to the universe since the sampling method used was convenience sampling (non-probabilistic method).

Furthermore, the sample used was composed by master's students from universities in the two countries where the research was conducted (France and U.S.). However, they didn't represent the universe, they have postgraduate studies and labor experience. As a result, they have greater international exposure as well as a higher cultural level that allows them to have a better knowledge of Peru and its gastronomy.

On the other hand, it wasn't possible to use structural equations to perform the validation of the model because only two variables used in the research were constructs (country image and product image) composed of four dimensions. While the other three variables (country familiarity, product familiarity and purchase intention) were one-dimensional.

Finally, four identical items (Innovation, Design, Prestige and Handmade Design) were studied in order to measure the country and product image, according to the methodology proposed by Roth and Romeo (1992). Nevertheless, the multidimensional country image construct could have been used.

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## Tables

**Table 1: Technical sheet of the study carried out**

	France	U.S.
Universe	Persons over 18 years of age with higher education, resident in France.	Persons over 18 years of age with higher education, resident in U.S.
Method of sampling	Non-probabilistic; for convenience.	Non-probabilistic; for convenience.
Sample size	109 surveys	109 surveys
Technique used for the survey.	Self-administered questionnaire	Self-administered questionnaire

Source: Own elaboration

**Table 2: Reliability results for the multi-item scales**

	Country image of Peru scale, Cronbach's $\alpha = 0.866$		Peruvian gastronomy's product image scale, Cronbach's $\alpha = 0.874$	
	Corrected Item-Total Correlation	Alpha if Item Deleted	Corrected Item-Total Correlation	Alpha if Item Deleted
Innovativeness	0.699	0.841	0.670	0.862
Design	0.697	0.839	0.753	0.829
Prestige	0.805	0.791	0.810	0.806
Workmanship	0.686	0.842	0.689	0.855

Source: Own elaboration

**Table 3: Dimensionality results for Peru Country Image scale**

Component	Initial Eigenvalue		
	Total	% of Variance	Cumulative %
1	2.876	71.894	71.894
2	0.492	12.300	84.195
3	0.381	9.537	93.731
4	0.251	6.269	100

Source: Own elaboration

**Table 4: Component Matrix (1 component extracted)**

Item	Component 1
Innovativeness Peru	0.832
Design Peru	0.834
Prestige Peru	0.901
Workmanship Peru	0.823

Source: Own elaboration. Extraction Method: Principal Component Analysis

**Table 5: Dimensionality results for Gastronomy Product Image scale**

Component	Initial Eigenvalue		
	Total	% of Variance	Cumulative %
1	2.906	72.661	72.661
2	0.474	11.858	84.519
3	0.382	9.546	94.065
4	0.237	5.935	100.000

Source: Own elaboration

**Table 6: Component Matrix (1 component extracted)**

Item	Component 1
Innovativeness Gastronomy	0.809
Design Gastronomy	0.869
Prestige Gastronomy	0.903
Workmanship Gastronomy	0.825

Source: Own elaboration. Extraction Method: Principal Component Analysis.

**Table 7: Descriptive ANOVA results for the comparison of means**

Item	F	p	Turkey post hoc comparison
Peru Country Image	60.653	0.000	$\mu_{France} < \mu_{USA}$
Gastronomy product Image	21.288	0.000	$\mu_{France} = \mu_{USA}$
Familiarity with country Peru	197.703	0.000	$\mu_{France} < \mu_{USA}$
Familiarity with product Gastronomy	12.316	0.000	$\mu_{France} = \mu_{USA}$
Purchase intention (Peru Gastronomy)	126.934	0.000	$\mu_{France} < \mu_{USA}$

Source: Own elaboration

**Table 8: Summary of the H<sub>1</sub>**

	Sample from France	Sample from U.S.	Sample from France	Sample from U.S.
	Direction and intensity of the correlation		P values	
Country image of Peru Gastronomy's product image	0.106	0.324*	0.272	0.001**

Source: Own elaboration. \*Highest correlation. \*\*Significant correlation at 5%.

**Table 9: Summary of the H<sub>2</sub>**

	Sample from France	Sample from U.S.	Sample from France	Sample from U.S.
	Direction and intensity of the correlation		P value	
Country image of Peru Purchase intention of Peruvian gastronomy	0.334	0.489*	0.000**	0.000**

Source: Own elaboration. \* Highest correlation. \*\*Significant correlation at 5%.

**Table 10: Summary of the H<sub>3</sub>**

	Sample from France	Sample from U.S.	Sample from France	Sample from U.S.
	Direction and intensity of the correlation		P value	
Gastronomy's product image Purchase intention of Peruvian gastronomy	0.259	0.471*	0.007**	0.000**

Source: Own elaboration. \*Highest correlation. \*\*Significant correlation at 5%.

**Table 11: Summary of the H<sub>4</sub>**

	Sample from France	Sample from U.S.	Sample from France	Sample from U.S.
	Direction and intensity of the correlation		P value	
Familiarity with Peru Purchase intention of Peruvian gastronomy	0.111	0.511*	0.250**	0.000**

Source: Own elaboration. \*Highest correlation. \*\*Significant correlation at 5%.

**Table 12: Summary of the H<sub>5</sub>**

	Sample from France	Sample from U.S.	Sample from France	Sample from U.S.
	Direction and intensity of the correlation		P value	
Gastronomy's product familiarity Purchase intention of Peruvian gastronomy	0.155	0.599*	0.107	0.000**

Source: Own elaboration. \*Highest correlation. \*\*Significant correlation at 5%.

**Table 13: Summary multiple regression model of purchase intent for gastronomy for sample of France.**

Model	R	R square	R squared corrected	Standard error of the estimate
1	0.413	0.171	0.139	1.448

Source: Own elaboration

**Table 14: Breakdown of the sum of squares of the regression for the intent to purchase gastronomy for Sample of France.**

	Sum of Squares	Df	Mean Square	F	Sig.
Regression	44.837	4	11.209	5.348	0.001
Residual	217.971	104	2.096		
Total	262.807	108			

Source: Own elaboration

**Table 15: Significance of the regression coefficients for the intent to purchase gastronomy for Sample of France**

Variable	Unstandardized Coefficient effect		Typified Coefficient	t	Sig.
	B	Error typified	Beta		
(Constant)	0.268	0.576		0.464	0.643
Gastronomy's product familiarity	0.035	0.070	0.052	0.502	0.617
Familiarity with Peru	0.093	0.103	0.081	0.902	0.369
Country image of Peru	0.134	0.040	0.304	3.362	0.001
Gastronomy's product image	0.046	0.024	0.201	1.938	0.055

Source: Own elaboration

**Table 16: Summary multiple regression model of the intent to purchase gastronomy for sample of U.S.**

Model	R	R square	R square corrected	Standard error of the estimate
1	0.682	0.466	0.445	1.670

Source: Own elaboration

**Table 17: Breakdown of the sum of squares regression of the intent to purchase gastronomy for the sample of U.S.**

Model	Sum squares	Df	Media square	F	Sig.
Regression	252.938	4	63.235	22.662	0.000
Residual	290.199	104	2.790		
Total	543.138	108			

Source: Own elaboration

**Table 18: Significance of the regression coefficient effect for the intent to purchase gastronomy (Sample of U.S.)**

Variable	Coefficient not standardized		Typified coefficient	T	Sig.
	B	Error typified	Beta		
(Constant)	0.240	0.497		0.482	0.631
Gastronomy's product familiarity	0.347	0.099	0.357	3.498	0.001
Familiarity with Peru	0.121	0.104	0.117	1.155	0.251
Country image of Peru	0.100	0.037	0.245	2.721	0.008
Gastronomy's product image	0.042	0.025	0.153	1.718	0.089

Source: Own elaboration

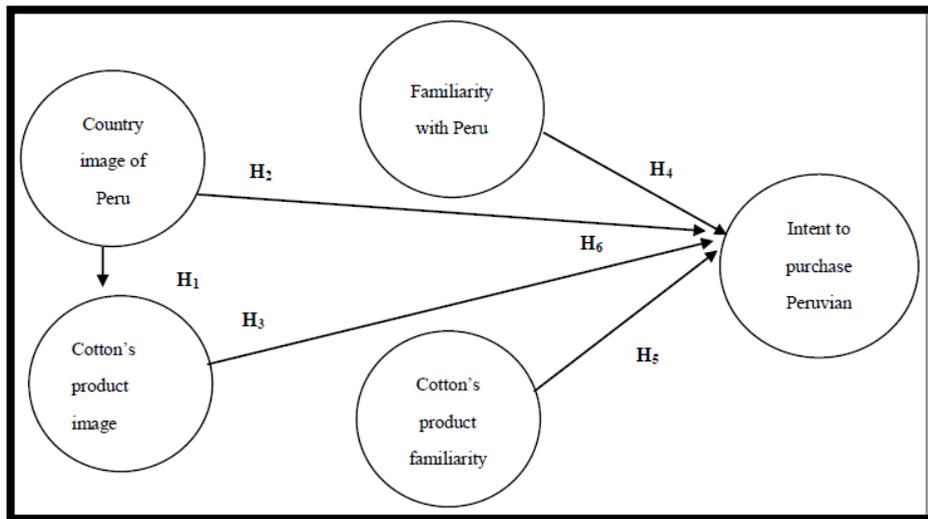
**Table 19: Summary of the H<sub>6</sub>**

Country image of Peru		Gastronomy's product image		Familiarity with Peru		Gastronomy's product familiarity	
Franc	U.S.	Franc	U.S.	Franc	U.S.	Franc	U.S.
0.001*	0.008*	0.055	0.089	0.369	0.251	0.617	0

Source: Own elaboration. \* Significant.

### VIII Figures

Figure 1. Diagram of proposed hypotheses



Source: Own elaboration based on adaptation of Roth and Romeo (1992)

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## The Role of High School in Managing Conflicts that Generate Violence between Albanian Teenagers in Rural Areas

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### Abstract

The purpose of this study is to determine the role of high school in managing conflicts between teenagers in the rural areas between Tirana and Elbasan. Conflicts among teenagers are always present. They can happen in families, at school, and in the community, but our focus will be the conflicts generated in school premises. It is concerning that teenagers are seeing school as a battlefield where they can fight away from their parents' eyes. The research will shed light on how the aid offered by the high school social services, impact teenagers' conflict management. This study uses Psychoanalytic, Humanist and Behavioral Directions to explain the source of violent behavior among students in schools located in rural areas. The study is based on the Positive Paradigm. The research method used for collecting data is the quantitative one. The population of this study is the teenagers of high schools located in rural areas between Tirana and Elbasan. The sample of the study is the students of "Krrabë" and "Ibrahim Hasmema" high schools and the instrument used is the sociological questionnaire. Data analysis will show whether teenage conflicts exist and how schools located in rural area manage these conflict cases. The document argues that conflicts between teenagers are present at school premises and the latest rarely use the social services provided at their school. The teachers' staff should be trained on identifying young people who tend to conflict and to have violent behavior. Teachers should be also trained on the ways to treat those teenagers who are victims of violence.

**Keywords:** teenagers' conflicts, physical violence, school role, conflict management, psycho-social service.

### 1. Introduction

All of us, in certain situations, may show violent behaviors. In some cases it can be practiced in direct forms, and sometimes it may be hidden. According to the World Health Organization, violence is defined as: "the intentional use of physical force or power, threatened or actual, against oneself, another person, or against a group or community that either results in or has a high likelihood of resulting in injury, death, psychological harm, maldevelopment, or deprivation" (Save the Children, 2007, p. 17). But only its definition is not enough. Violence has already turned into a social problem. It affects people of different ages, and the consequences that it causes in some cases are unrecoverable. One of the most visible types of violence is the one exerted by teenagers. The place where it happens most often is the high school (Council of Europe Study, 2017). Nowadays, schools are seen as an arena of violent events involving students and teachers. Even though a "traditional phenomenon", it should be identified and isolated (Jorgaqi, 2001, p.7-8).

At school premises, the teenagers seem to feel free to display forms of violence. Sometimes in the bully position, sometimes in the role of the victim, they are constantly being affected by this phenomenon. From a study conducted in Albania in 2017, it resulted that in 11<sup>th</sup> grade students, the number of aggressors and victims was almost the same: 11.2% were declared as aggressors and 12.1% as victims (Council of Europe & ISOP, 2017, p.19)<sup>1</sup>. The National Study on Bullying and Extremism in the Albanian Education System, referring to the designated sample, concluded that 20% of Albanian students from IV to XII grade in public and private schools, claimed to be involved in the phenomenon of Bullying in school (Council of Europe Study, 2017)<sup>2</sup>.

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<sup>1</sup> The Council of Europe Office in Tirana. 21 Apr 2017. Retrived from <http://www.coe.int/sq/web/tirana/-/presentation-of-the-findings-from-the-first-national-survey-on-bullying-and-extremism-in-the-education-system-in-albania>

<sup>2</sup> World Report from Violence and Health, (n.d.). Chapter 2, Eouth Violence. Retrieved from [http://www.who.int/violence\\_injury\\_prevention/violence/global\\_campaign/en/chap2.pdf](http://www.who.int/violence_injury_prevention/violence/global_campaign/en/chap2.pdf)

According to the Council of Europe (2017) study, school is an environment where bullies feel safe to exert violence against victims. To combat this phenomenon, the school should play its role properly. It should be the institution where the education process takes place in an organized manner, and not the place that favors the exercise of violence.

Almost every day, many media report violence exercised by teenagers in schools or on the street. Media analysts claim that violence is everywhere, the victims and the main authors of which are teenagers themselves. Violence by teenagers harms not only its victims, but also families, friends and the community they live in. The range of violence negative consequences is so wide that has led to an increase in the state's financial costs for the services provided. The presence of psychologists in schools, the presence of social workers, teacher training on conflict management in the classroom, seem to be state-of-the-art measures undertaken by the state. However, conflict still exists and sometimes it appears in some of the scariest forms: students, who mock, offend, beat each other with fists and chairs, exercise economic violence, cybernetics, bullying, class confusion, etc. (Kadiu, 2000). This shows that the matter of the impact of educational institutions on minimizing cases of violence requires a particular attention. Therefore, what this society needs is to identify the problem by determining its frequency, assessing tolerance against conflict between teenagers in schools, determining the level of attitudes among different actors in the school, and identifying strategies for minimizing conflicts.

The importance of this study consists in defining the level of involvement of teenagers in the conflict and the effectiveness of the services provided in schools to manage these conflicts. The objectives of this research are:

- Assessing the extent to which teenagers are involved in violent behavior within school environments.
- Determining the genesis of violent behavior by relying on Psychological Directions.
- Identifying the institution or the individual to whom the victims of violence report the violent case.
- Assessing the efficiency of school services in minimizing conflicts.
- Recommendations and suggestions for improvement.

Based on the Positivists Paradigm, we have to measure and recognize the reality so that we can see whether these conflicts between teenagers are not well managed by the school. In order to recognize reality, studies need to be made and key interventions for minimizing conflicts need to be defined in three levels: in family, school and community where we grow and develop each day.

## 2. Literature Review

### 2.1 Violence among Young People Seen In the Perspective of Psychological Directions

According to the study conducted by the Council of Europe (2017), the most vulnerable group exposed to violence is the one of high schools' teenagers. From the study it turns out that violence can be developed in various forms, such as physical, psychological, sexual, verbal, and so on. For a long time, scholars have tried to explain why it is happening. Although measures have been taken to limit it, violence is still present (Council of Europe, 2017).

Explanation of violent behaviors can be made under several perspectives. If referred to **Psychoanalytic Direction** (Freud, 2005), we can say that young people who exert violence are exactly those who once in childhood were themselves victims of violence. These children may have been subject of violence of their parents or their babysitters. Freud believed that the past experience, of which the person is unaware of, influences much on current behavior (Pettijohn, 1996, p. 14).

**Humanistic Direction** claims that none of the people is violent. This direction emphasizes the fact that people are complex organisms and that each individual possesses a capacity that allows him to reach maximum potential (Dibra, Zhilla, Muçaj & Xhakollari, 2010, p.11).

Violent behaviors can be also studied under **Behavioral Direction**. According to this direction, the society, the environment that surrounds us, pushes us to display such behaviors. Skinner thinks that external forces are those that act on the individual and that do not treat him as free to make decisions (Pettijohn, 1996, p.407).

In each of these directions we can see some form of explanation of violent behaviors.

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## 2.2 Mindsets in Violence Explanation

Alongside the psychological explanations, there are Albanian mentalities that justify violent behavior through expressions like "Who beats you, loves you", thus disrupting the climate of understanding (Kadiu, 2000, p. 83). But it is not just that. There are several instances during which state institutions remained indifferent to such intolerable behavior. Albanian parents often justify the violent behavior of their children by mentalities such as kids are young, and aggressive behavior decreases with growing age (Jorgaqi, 2001). Apparently, we see a negative correlation between teen age and aggressive behavior. The more the age increases, the fewer models of violent behavior we have. In fact, from the findings of the Council of Europe & ISOP study on bullying and violent extremism in Albanian schools, it turns out that with increasing age the level of violent behavior increases. Class 11<sup>th</sup> was the one that resulted in a higher number of students displaying violent behavior and one of the most common forms was verbal violence (ISOP, 2017, p.22). Students admit that they themselves or their friends in the 9-year school were wiser and quieter, and in high school they appeared to be more aggressive and violent. According to a study conducted in some countries around the violent behavior of young people, it turns out that the age-group that is most violent is the one of 16-17 years. Exactly these years of life where more violence is exercised, are termed "the path of continuous development of life" <sup>1</sup> (World Report of Violence and Health, n.d. p.30).

## 2.3 Factors Affecting Violent Behaviors

Family environment and school are external factors that influence conflict management. Parents, who show little control over their children, but also those who use fierce physical or emotional punishments, model and cultivate violent behavior on today's youth. It was once believed that increasing punishment intensity increases its effectiveness, but it's not like that. If the punishment is taken into consideration, its most softened forms should be used (Musai 1999, p.104). Studies so far show that during adolescence the impact of the family decreases and it is strengthened more and more the influence of peers. Teenagers are locked into their social shell by shrinking the influence from family members. The family, which during the childhood period orientated the child to the right choices, is in weaker position during adolescence (Çelçima, 2017). Referring to studies about adolescence, the latest is perceived as a period of biological, psychological and social-economic transformation. During middle-aged adolescence, the individual is characterized from uncontrollable emotional outbursts, interest in reproduction, from sensation that they are now adults, smarter, and can make decision themselves (Çelçima, 2017, p.99). It is at this stage of life that the role of the school, the school's teacher or the school's psychologist should be strengthened. Too difficult, but necessary to have a civilized and less violent society (Stigler & Hiebert, 1999). Also, according to Sigmund Freud, it is shown that wrong actions have a hidden motivation, and therefore psychoanalysis is used to pave the way for the recognition of this motivation (Dibra, Hida, & Gjilkondi, n.d., p.271).

## 2.4 The School and the Conflict

The school is the institution where the education process takes place in an organized manner (Pino, Brahja, & Gjipali, 2016, p.42). And yet, this does not mean that the school should only learn writing and reading. It should increasingly pay attention to its secret functions as the socializing function, promoting creativity, emotional support, and so on. In schools we have teenagers who come from different provinces and cultures. This has made it difficult to establish lasting relationships between teenagers (Tamo, 2012). Failure to respect cultural values turns out to be a catalyst for the emergence of conflicts. What we need to understand is that the cultural groups are heterogeneous inside them and embrace a range of practices and various norms, which are often debated, changed over time, and applied by individuals in personalized ways (Barrett, 2016, p.19-21). Researcher Shapiro says that if we start from a prejudicious point of view from the beginning, our understanding and communication with them would be less fruitful. Consequently, our communication fails. In this way conflict becomes more and more destructive (Shapiro, 1997, p.90). Also, other studies show that conflicts in the classroom spoil the atmosphere of understanding and work not only within the class but also at school (Kadiu, 200, p.77). Many teenagers do not understand what is happening around them, so it is necessary to have a psychologist in the school who translates the situation into a simpler and comprehensible language for the teenager. According to researcher A. Kadiu, adolescence is a stage of development where the individual is in crisis with himself, and inevitably even with others (Kadiu, A., 2000, p.12). In such a situation adolescents should increasingly be tolerant in their relationships.

Researches have shown that economic inequality of teenagers has consistently fueled violence among them. Just for a bit of money, teenagers violate each other and try to extort those who are weaker, less self-confident and isolated from

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<sup>1</sup> Retrived from, Information Technology and Statistics Sector, 2017, DARQ. Tirana and elaborated from the author.

other social groups. The latest fall prey to bullying or violent extremism. Faced with all these difficulties, the school is the one who follows different strategies to manage the conflict and foster the spirit of co-operation and tolerance among teenagers. The frequent provision of social services and psychologists is one of the ways to hold back violent behaviors that are evidenced mostly by teachers (Council of Europe & ISOP, 2017, p.32).

### 3. Research Methodology

#### 3.1 Research Method and Research Design

The data of this article is derived from the study conducted in two high schools, "Krrabë" and "Ibrahim Hasmema". These two schools are located between Tirana (the capital of Albania) and Elbasan, which is a well developed city. Schools are located in a rural area and for the academic year 2016-2017 they have had a total of 403 students<sup>1</sup>. The population of this study is composed by 1,267 high school students located in the villages between Tirana and Elbasan. The randomly selected sample consisted of 370 students from "Krrabë" and "Ibrahim Hasmema" schools. The research method used is the quantitative one and the tool used to collect the data is the questionnaire. Sample selection criteria are:

- Students of the 10th, 11th and 12th grades
- Girls and boys

Questionnaires were completed by 370 students in grades 10, 11 and 12. In the survey participated all students who were in the school premises on the day the questionnaires were completed. Time to complete the questionnaire was 45-50 minutes.

*Table 1: Number of students enrolled in schools located in the area between Tirana and Elbasan for the academic year 2016-2017*

School	Total Number of Students	Females	Males	Number of respondents		
				Total	Female	Male
Baldushk	180	71	109			
Mersin Duqi	75	51	24			
Kllojkë	81	38	43			
Fark	259	136	123			
Krrabë	107	55	52	89	49	40
Sadi Nuri	269	135	134			
Ibrahim Hasmema	296	140	156	281	130	151

These data served to collect information about what teenagers perceives with term violence. Have they ever been victims of violence and whether they have denounced it somewhere? Are they affected by their friends to display violent behavior? Do they use social services provided in schools? Which of the sexes is more a victim of violence? The survey was also used to get information on the attitudes these young people have when they feel violated. Quantitative research method was chosen because the anonymity of questionnaires allows teenagers to be freer in giving feedback without fearing to be prejudiced. In addition, questionnaires are easily completed by a large number of people within a short time (Bailey, 1982).

The elaboration of statistical data using the Statistical Science Package for Social Science (SPSS) will help explain the research objectives:

<sup>1</sup> This article was produced from the unpublished master thesis called 'The Cuisine in Muhammad's Era' (Sakarya University, Institute Social Sciences, Sakarya 2007) written by Sevim Demir Akgün and supervised by Prof. Dr. Levent Öztürk.

- Assessing the extent to which teenagers are involved in violent behavior within school environments.
- Determining the genesis of violent behavior by relying on Psychological Directions.
- Identifying the institution or the individual to whom the victims of violence report the violent case.
- Assessing the efficiency of school services in minimizing conflicts.
- Recommendations and suggestions for improvement.

This research will serve as a way of assessing the needs of teenagers in order for them not to be involved in conflict-generating violence. Also, appropriate recommendations will be provided to strengthen the school's role in conflict management among teenagers.

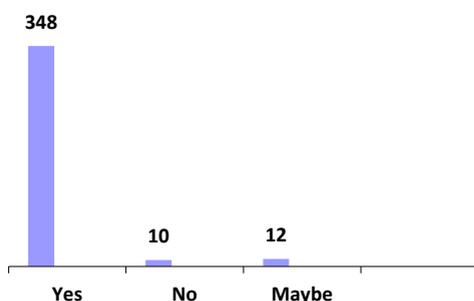
### 3.2 Reliability and Validity of the Instruments

To test the reliability and validity of the questionnaire, the latest was first applied to two pilot classes of the Sander Prosi high school, located in one of the rural areas of Tirana. To complete the questionnaire, 60 students were randomly selected. Taking into account the faced difficulties, reactions, responses and recommendations on the questionnaire's items, the latest was further elaborated and improved. Using a simpler language, avoided the prejudices and made the survey more understandable by the students who are the sample of this research. The result of the pilot study show that the reliability score for all items is Cronbach alpha ( $\alpha$ ) = 0.891. This value indicates that the questions are sufficiently related and have a high level of trustworthiness. The validity of the questionnaire content was determined by experts from the Faculty of Social Sciences in Tirana and by experts from the Faculty of Economics in Elbasan. Their consultation aimed to avoid unclear and prejudicial words, providing ease of understanding in terms of questions, as well as inputting data for its statistical processing.

## 4. Data Analyses and Discussions

The "Krrabë" and "Ibrahim Hasmema" schools which make up the sample of this research have a homogeneous population. Students belong to the same age group, are residents of the same village and have a common culture. The results of the descriptive analyzes of this study revealed that the conflict was present here as well. 94% of students claimed to have displayed violent behavior at school premises and only 3% of them claimed they did not exhibit violent behavior. This is a high percentage of students who think they have shown violent behavior in school environments. This situation requires immediate intervention in school management policies.

Graph 1: Have you ever shown violent behavior in school premises?



When students were asked if their parents used violence against them during childhood, 81% of respondents or 300 students said that their parents did not violate them at all, 8% or 31 students said that their parents violated them a little, 7% or 27 students said they were somewhat violated, and only 3% or 12 students expressed that they were heavily abused from their parents. From the data it results that we do not have a Psychoanalytic Direction approach to explain violent behavior because most of these students, 300 students, have reported as not having previously been violated by their parents.

Also, in order to recognize and describe the source of violent behavior, students were asked to choose between Psychological Directions, the one they find as a more appropriate approach. When students were asked to choose to which of the statements they agree the most, the results of the questionnaire indicates that we have a more approximate approach with the Behaviorist Direction.

- Psychoanalytic Direction - Teenagers who exercise violence are precisely those who, during childhood, have been victims of violence.
- Humanist Direction - People are complex organisms and possess the capacity to achieve maximum potential.
- Behaviorist Direction - External forces are those that act upon the individual and do not leave him free to make decisions.

Students think that for decision-making they are driven by external forces that may be parents, school's teachers, society, etc. For this finding, another more specific study is needed in the direction of closest relationship between teenagers.

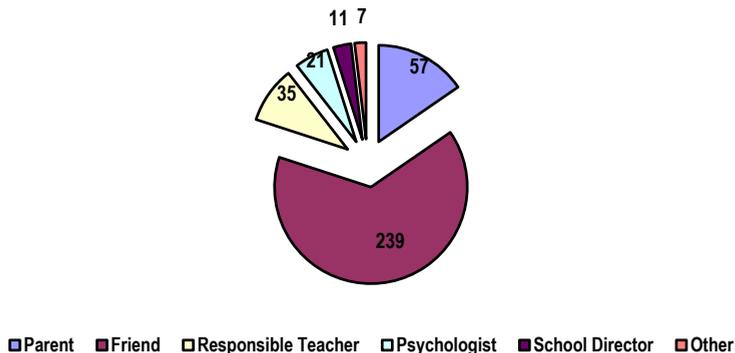
Based on the questionnaire's data, only 198 students, or 54% of the sample selected for this study, were previously victims of violence at school premises, of which 68% were males and 32% were females. Apparently their physical strength can not help them not to be victims of violence.

Table 2. Number of students who claim to have been victims of violence in school environments.

Total students	Violence Victims		in %	
370	198		54%	
	Females	Males	Females	Males
	64	134	32%	68%

Another question from the questionnaire was on where the students report if they are victims of violence. This question serves to test how effective the services provided by the school are in managing conflicts within it.

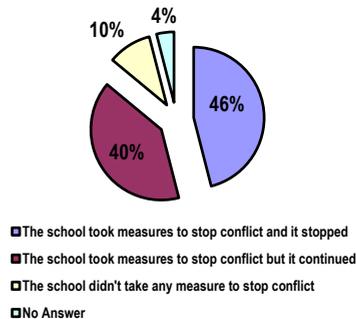
Graph 2: Where do you report if you are a victim of violence?



From the data processing it results that only 67 of the students report violence to the school psychologist, the teacher or the school principal. This is only 33% of the students who claim to have been victims of violence. The data show that we have a low credibility of students to the school institution and the services it provides.

To understand the school's response to the cases of reported conflicts, the students were asked what happened after they reported the conflict. Questionnaire data show that the percentage of cases when the school has taken measures to end the conflict was considerable, but in 40% of cases the conflict has continued again.

Graph 3: What happened after you reported the conflict?



To explore the potential for future research, students were asked to express their belief whether the school plays an important role in conflict management among teenagers. Although 40% of students reported that the intervention of school services could not stop the conflict, 87% of students believe that the school can play a very crucial role in conflict management. There are many potential spaces that can be used to have a spirit of collaboration between school and students.

## 5. Conclusions and Recommendations

In Article 36 of the Normative Provisions for Pre-University Education, "Rights", is quoted: "The individuality and human dignity of the pre-school child and the student is respected, he is protected from physical and psychological violence, discrimination and isolation. In the kindergarten and in the school it is prohibited the physical punishment or the humiliating and denigrating treatment of the child (Normative Provisions, 1998, Art. 36). Although the law for the protection of juveniles against forms of violence exists, again we see violence being exercised against them.

Individuals go through different stages of development, so strategies for preventing violent behavior should start in childhood. According to Psychoanalytic Direction, the teenager's past is important to explain his behavior in the future. The more violated the teenager has been during his childhood, the more likely it is for him to display violent behavior during the adolescence period. By getting a better education in the family, the school will have it easier to manage the situations of violence. One of the main measures suggested is the immediate training of parents on the methods they can use to educate their children. The appearance of violent behavior has consequences not only for the victim, but also for the relatives of the parties involved in the conflict. Therefore, the first and immediate intervention must be in the family.

Given the degree of homogeneity in rural areas, it was thought that young people were more familiar with each other and conflicts would be less present. In fact, from analyzing data in this study, it turns out that violence exists and in some cases we do very little to limit it. This violence does not come as a result of a violent past that teenagers might have had, but comes as a result of the impact that external forces have on the individual. It is therefore suggested that some of the interventions have to be on the social actors surrounding teenagers. Today's teenagers need positive models and we as parents or teachers should be willing to provide this service. Interventions should aim at strengthening the family-school-community partnership, prompting more and more parental participation in open-air activities or hours organized by the school.

198 students from respondents in this study were victims of violence. What is noticeable is that only 67 of them report the cases to the services offered at school. This shows that more needs to be done to strengthen the relationship between school and students. The school is one of the places in which violence might be favored. It is important to take measures to prevent the conflict between teenagers in these environments. The school should aim at promoting tolerance and promoting positive behaviors to students. It should inspire new talents and organize practical activities aimed at student participation for their entertainment and socialization. Encouraging extracurricular activities and creative work in the group will help even more the teenagers to stay away from violence. School programs increasingly need to be focused on teenager's anger management, building social skills, and conflict resolution.

Psycho-social service needs to be closer and closer to teenagers. School psychologists should be constantly looking for students who need more counseling. They should not stay expecting the next student who does not want to attend the lesson and turns to the psychologist's office to advise. The presence of the school psychologist in Albania is only twice a week. Survey data shows that compared with the problems, their presence is rare. This also affects the decrease of the trust that these teenagers have toward this service.

Some of the students who report to the psychologist, the teacher or the school's principal, find no solution to their problem because the conflicts persist again. It is not enough to have only the teacher presence around in the school premises. It is important as well to have the emotional and psychological support of social workers. When there is conflict or exercise of violence, it is the psychologist who interferes with his professionalism (Tamo, 2012, p.86-89).

In some professions such as the teacher, there should be engaged professionals who not only transmit knowledge but also provide emotional support for teenagers. Through this study, it is suggested to train schools' staff (teachers, directors and psychologists) so that they are 'skilled' in identifying students who tend to show violent behavior and in building strategies to limit conflicts that may generate violence.

However, a profession is not created by certifications but by the existence of sufficient professional knowledge, the existence of a mechanism to improve it and the true desire of members of this profession to improve their practice (Stigler & Hiebert, 1999). Teachers should not only be trained for specific topics, but at the same time associate their work with the desire to be more effective in their noble mission of generations' education. Only in this way we can stop the violent actions among young people aiming to offer a more tolerant and social community.

The questionnaire also shows that boys are more involved in conflicts; in their ranks we find the highest number of victims. Therefore, it is suggested that the target group with which more work should be done and which should be the focus of interventions for conflicts minimization in school environments, should be boys.

Finally, our respondents tend to positively perceive the role that schools have in conflict management. Although teenagers think the school has not stopped the conflict, they are characterized by a high level of trust that the school and the services it provides, can manage it.

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## The Communication Process in Tribal War Tradition in Timika, Papua, Indonesia: A Symbolic Interaction Perspective

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### **Abstract**

Indonesia is a large and socially heterogeneous country because it covers more than 1,340 ethnic groups. The country is rich of various cultural traditions. The diversity of cultural traditions in Indonesia is interestingly studied both as a material of scientific study and as an source to formulate appropriate socio-economic development policy approaches. One of the regions/islands in Indonesia is Papua, which is located in the eastern part of Indonesia. In this region there are more than 500 ethnic groups. Ethnic groups in Papua, is the most traditional ethnic group compared to those in Indonesia. One tradition that is still strongly held in Papua is tribal war. Therefore it is a very interesting phenomenon studied in terms of social science, especially communication science. The symbolic interactionism perspective as a communication approach is used in this study to explain how the communication process occurs in traditional war process between tribes, both in the internal communication of tribes and communications between tribes. This study describes the phenomenon of war between tribes according to the view or the consciousness and subjective meaning of traditional/indigenous people in Timika, in accordance with the phenomenology tradition that is used in this research. The findings of this study are illustrates the process of communication, beginning from preparation of war, the implementation of war, as well as post-war process. Communication processes that occur either through verbal or non-verbal language are full of distinctive symbols. The conclusion of this finding is that tribal war as a social phenomenon is a communication process, and can be solved by the parties by means of communication. These findings could have implications for the importance of policies to develop communication approaches among traditional tribes in Papua, in order to increase the understanding among them, which in turn will reduce the level of conflict between them.

**Keywords:** symbolic- interactionism, tribal-war, Papua

### **Introduction**

#### **1. Background**

Indonesia is a large and socially heterogeneous country because it covers more than 1,340 ethnic groups. The country is rich of various cultural traditions. The diversity of cultural traditions in Indonesia is interesting to study both as a subject of scientific study and as a consideration to formulate appropriate socio-economic development policy approaches. One of the regions / islands in Indonesia is Papua, which is located in the eastern part of Indonesia. In this region there are more than 500 ethnic groups. Ethnic groups in Papua, is the most traditional ethnic ones compared to others in Indonesia. One tradition that is still held in Papua is tribal war. This tradition still exists in Papua, therefore it is a very interesting phenomenon to study in terms of social science, especially communication science.

One of the locations and community groups studied in this research is the seven tribal communities in Timika, Papua. In the traditional seven-tribal societies of Timika Papua, inter-ethnic war can be said to be part of their tradition and as part of their way of "solving" problems among different ethnic communities. In Timika, there are currently seven tribes that are recognized as residents of Mimika Regency, namely: Dani, Amungme, Kamoro, Moni, Damal, Ekari, and Mee. Of the seven tribes, in fact, the original tribe of Mimika Regency is only two tribes, namely Amungme and Kamoro. The other five tribes are migrants from neighboring areas of Mimika Regency.

One example of a tribal war case in Timika was a tribal war that occurred in March 2007, placed in Kwamki Lama Timika. This tribal war is quite large because it involves 2,000 citizens. This war occurred between the Dani tribe against the Damal

tribe, but in its expansion also involves the Amungme and Moni Tribe. The impact of this war, died 18 people and injured 300 people. However, since the war has become a tradition of tribal peoples in Timika, tribal wars often occur. The last tribal war occurred at the end of 2016 triggered by land issues.

The process of communication in traditional war as a social process is in fact closely related to the culture of society itself, therefore the symbols used in the communication process cannot be separated from the symbols of their culture. The relationship between communication and culture is a very complex and intimate one. First, cultures are created through communication; that is, communication is the means of human interaction through which cultural characteristics, roles, rules, rituals, laws, or other patterns are created and shared. Culture and communication have been defined and re-defined repeatedly, as are intrinsically human (García-Carbonell, A. and Rising, B, 2006: 1).

The approach of symbolic interactionism as a communication approach can be used to explain how the interaction process occurs in the traditional war process between the tribes, both in the internal communications of tribes and communications between warring tribes, starting from the preparation of war, the implementation of war, and post-war divorce process. The process of communication that occurs either through verbal or non-verbal language is interesting to be studied because it is full of distinctive symbols

## **2. State of The Art**

This state of the art includes, the expected output and focus of the study, the conceptual framework of the study, and the methods undertaken.

### **a. Expected output and focus of the study**

This study is aimed at revealing the communication process in Timika from the perspective of symbolic interactionism. The inter-ethnic war is full of verbal and non-verbal communication symbols. The uniqueness of symbols and what its meaning is for the warring all parties in war is interesting to reveal.

### **b. Conceptual Framework**

This study tries to describe the phenomenon of inter-ethnic war according to the view or the consciousness and subjective meaning of the actors of war in Timika, the tradition used in this research is the phenomenology. The term phenomenology can be used as a generic term to refer to all social science views that place human consciousness and its subjective meaning as the focus for understanding social action, such as Max Weber's views, Charles Horton Cooley, George Herbert Mead, William I Thom, Alfred Schutz, George Simmel, Herbert Blummer, Erving Goffman, Peter L. Berger, Thomas Luckman and the psychologists Carl Rogers, Abraham Maslow and Erich Fromm (Mulyana, 2001: 20-21).

Phenomenological approaches is categorized to subjective or interpretive approaches, which view humans as active, in contrast to objective approaches or behavioristic and structural approaches that assuming humans are passive (Mulyana, 2001: 59). Phenomenology makes actual lived experience of the basic data of reality (Littlejohn, 1996: 204). Phenomenology means letting everything become real as it is, without forcing the categories of researchers against it. An objective scientist hypothesized a particular structure and then examined whether such a structure exists, a phenomenologist never hypothesized, but thoroughly investigated the real direct experience to see how it seems (Kuswarno, 2007)

There are two main approaches in the phenomenology tradition: symbolic interactionism and ethno-methodology (Bogdan & Taylor, 1975). Symbolic interaction, also known as one of communication science perspective, becomes the foundation of thought and analysis in this research. Symbolic interaction contains the basic core of the premise of communication and society.

Symbolic interactionism studies the nature of interactions that are dynamic human activities, in contrast to structural approaches that focus on the individual and his personality traits, or how social structures shape certain individual behaviors. The symbolic interaction perspective sees that individuals are active, reflective and creative, interpreting, displaying complex and unpredictable behaviors. This belief rejects the idea that the individual is a passive organism whose behavior is determined by forces or structures outside of himself. Because individuals are constantly changing, society changes through interaction. So interaction is considered an important variable that determines human behavior, not the structure of society. The structure itself is created and changed by human interaction, ie when individuals think and act stably against the same set of objects (Mulyana 2001: 62)..

Reviewing the communication process from the perspective of symbolic interaction in tribal war in Timika is inseparable from the verbal and nonverbal symbols that are at the core of communication, since communication will never take place if no symbols are exchanged. In other words, this study discusses the behavior of communications (the use of the symbol of communication) in a phenomenological perspective.

Verbal communication encompasses any form of communication involving words, spoken, written or signed. Verbal communication coexists alongside non-verbal communication, which can affect people's perceptions and exchanges in subtle but significant ways. Non-verbal communication includes body language, such as gestures, facial expressions, eye contact and posture. The sound of our voice, including pitch, tone and volume are also forms of non-verbal communication. The clothing we wear and the way we design our living space are also forms of non-verbal communication that frequently shape people's judgments about others, regardless of whether or not the perceptions are true (Lucas, 2017)

In the science of communication, there is a study that is able to touch verbal and nonverbal communication in a holistic view, i.e. ethnographic study of communication. The ethnography of communication was introduced and developed by Dell Hymes. Hymes proposed the term 'ethnography of speaking', later amended to 'ethnography of communication', to describe a new approach to understanding language in use (Hymes, 1964). Essentially, Hymes argues that the ethnography of communication ... is concerned with the question of how to do it. (Farah, 1998: 125). The ethnography of communication views communication behavior as a behavior born out of the integration of skills that every individual has as a social being. These three skills consist of linguistic skills, interaction skills and cultural skills. In other words, ethnography of communication is a study that places the function of speaking in a sociocultural context (Suciasih, 2003)

In describing and analyzing communication behavior, ethnographic communication does so by analyzing acts of speech, which are at the core of communication events in certain situations. Speech that is the object of ethnographic communication research, according to Hymes is generally conterminous with a single interaction function, such as referential references, requests, orders, and nonverbal symbols (Ibrahim, 1992: 35-37).

Communication ethnography describes communication symbols as 'what' is exchanged as indicated in Table 1.

Tabel 1. Codes and Channel of Communication

		Channel	
		Vocal	Non-Vocal
Code	Verbal	Oral-Language	Written language Sign language Whistling language Morse Code
	Non-Verbal	Paralinguistic characteristics and personal characteristics	Gesture sign eye movement picture and cartoons

(Source: Ibrahim, 1992:217, translated)

### 2.3. Methods of study

#### a. Location and subject of the study

In accordance with the research topic on the communication of Tribal War Tradition in Timika, the research location is in Timika Papua. Timika is a regency capital named Mimika Regency. Geographically this district is located in the southern part of Papua province (see Figure 1).

In this regency the location of mining contract work of PT. Freeport Indonesia is implemented. The existence of this mining contract also made Timika which in the 70s only a small village that is very remote in Papua slowly but surely developed into a village in the 80s then developed into the district in the 90s, and has now become a regency

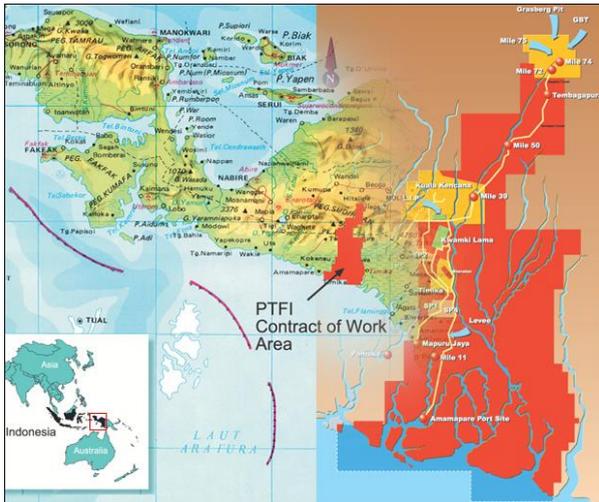


Figure 1. The map of study location

The indigenous people of the Mimika Regency, which used to be only two ethnic groups of the Kamoro tribe in the South Coast and Amungme Tribes domiciled in the northern mountains, increased by five tribes from neighboring districts. The immigrant tribes are Nduga, Moni, Mee, Dani and Damal. With the increasing number of tribes in Mimika regency then the complexity of the people in Mimika become more and more, and the chances of conflict become higher. Thus, tribal wars are often inevitable, even often a large-scale war.

Nevertheless, for traditional Papuan societies in general, tribal war is one of tradition or part of their lives, as part of their way of expressing their self-esteem and family attributes. With that background, then the subject of research on the study of tribal war are Papuans in Timika who became perpetrators in tribal wars in Timika

#### **b. Process of Approach and Determination of Informants**

What is meant by the process of approach here is what is meant by Creswell (1998: 130) as "gaining access and making rapport". Gaining closeness with community leaders, even tribal chiefs or warlords in Papua is not easy, as they generally have a high suspicion of 'foreign' people, especially those from outside of Papua whom they categorize as straight-haired people. This is understandable because they were raised in a society that has a tradition of tribal war, so caution, alertness, and suspicion of the 'foreigner' are always part of their already internalized way of life. But for me as the researcher, having worked as a Papuan development consultant in Timika since 1999, even living in Timika for three years (2001-2004), the proximity to the subject is no longer a problem, as the community leaders has become the 'care' of researchers.

In the study of phenomenology, the criteria of good informants are "all individuals studied represent people who have experienced the phenomenon" (Creswell, 1998: 118). Thus, in this study, the selected informant was actually a Papuan citizen in Timika who was a perpetrator of the tribal war .



*Figure 2. Taking picture with Yacobus Kogoya (the centre) Warlord of Dani*

As for the number of informants selected, this study uses Creswell's (1998: 122) opinion as a methodological reference. Creswell stated "for a phenomenological study, the process of collecting information involves primarily in-depth interviews (see, e.g. the discussion about the long interview in McCracken, 1988) with as many as 10 individuals. I have seen the number of interviewees referenced in studies range from 1 (Dukes, 1984) up to 325 (Polkinghorne, 1989). Dukes (1984) recommends studying 3 to 10 subjects, and Riemen (1986) study included 10. The important point is to describe the meaning of small number individuals who have experienced the phenomenon. With in-depth interview lasting as long as 2 hours (Polkinghorne, 1989)

*10 subjects in a study represents a reasonable size.*



*Figure 3. Taking picture with Aser Murib (left) warlord of Damal tribe*

Based on Creswell's reference, in this study four tribal war perpetrators in Timika Papua and 1 Timika resident as a witness to the incident were interviewed. The four tribal warriors in Timika are Moses Tsolme, Herminus Kogoya (Dani tribe, war strategy strategist), Aser Murib (Warlord of Damal Tribe), and James Kogoya (leader of the Dani tribe, commander of War of Dani), as shown on Figure 2, figure 3, and figure 4. These four men were the main actors in the tribal war tradition in Timika

### **c. Techniques and Time of Data Collection**

This study was conducted from 2007 until 2017. At the time one of the largest tribal warfare occurred in March 200. The technique of data collection was interview technique. Interviews were conducted openly and unstructured in a free and relaxed atmosphere, documentation of interview results through audio tape recorder (tape recorder) and image recorder (digital camera).

The most important of the interview process in the phenomenology study is the taking of informant data about their explanation of the life experience of a small number of informants. Interviews followed Moustakas' suggestion cited by Kuswarno in Mulyana and Solatun (2007) that "The phenomenological interview involves an informal, interactive process and utilizes open-ended comment and questions". Therefore, in this study as well as phenomenological research in general, in-depth interviews are the preferred data collection techniques. Therefore, with the community leaders, the interview process took place very easily and can be done anywhere depending on the agreement, in the hotel where researchers stay, in the car while walking to see the situation of the village community, or in the office company owned by them, even in their own homes



Figure 4. interviewing *Yacobus Kogoya* (third from left) and *Herminus Kogoya* (right)

### 3. Fact Finding and Result

There are 2 (two) main findings of this research, namely (1) The meaning of war for the people of Timika, and (2) The process of tribal war that can be constructed as stages.

#### a. The meaning of war for traditional Papuans in Timika

For traditional Papuan societies in general, tribal war is one of tradition or part of their lives, as part of their way of expressing their self-esteem and family attributes. In addition, tribal wars mean solidarity as a family or a tribe. If one resident feels hurt or disturbed

In tribal wars, there are symbols that are full of meaning, could be consisting of clothing attributes, non verbal symbols either with movement or human voice. The symbols are attached to the activities of the war itself. Apart from that, in the tribal war, there have been organizational structures of war, the division of roles and rules/norms to be obeyed. One interesting feature of this traditional war is the "gentleman" attitude as part of the agreed rules in the relationship between the two hostile parties. This gentleman's attitude is characterized by the obedience of both parties to the rules of the game in war.

#### b. Stages of war

in this study, the tribal war in Timika can be constructed as a process consisting of several stages. This construction process is referred to as the ideal type of Weber, the construct of the second degree of Schutz, Grounded theory of Glaser, the second order concept of Denzin (see Mulyana, 2001)

In each of these steps, there is a communication process with distinctive symbols (symbolic interaction occurs). Stages with its communication process are described as follows

## 1) Stages of War Initiation

The stage of war initiation is a condition of the emergence of triggering factors of war. The triggering factors of war may vary, among them most often arising from issues triggered by cases of rape, adultery, theft of pigs or murder. Once the trigger case occurs, the aggrieved (usually the closest of the family, his or her parents, her husband, her brother) will deliver a very emotional anger to her immediate family environment. Emotional expressions of words also appear, for example "the person must be killed" or "we must fight". So began the family "meeting" to realize his emotional will. The person who has the idea for battle is then called the "oknum" (Person). It is this person who then provokes the family of one tribe to fight

His initial provocation stage was to visit tribal chiefs and community leader in his tribe. He tried to convince in a fiery language that he himself, his family and his tribe had been offended, then the ransom had to fight. Thus, tribal chiefs and community leaders and individuals then held meetings to decide the war. The process of meeting was colored with a very emotional communication situation. Occasionally there are shouts that rekindle the spirit of war of all citizens who attended the meeting. After it was agreed to take a war decision, a war organization was formed: the War Tribal Chief, Warlord, Warrior and War Force/troops



Figure 5. A group of war organization, chief of tribe, warlord, and troops.

Chief of Tribe is the highest level in a war organization, its job is to oversee all troop members. Warlord is the second tier, who is in charge of organizing a war strategy, including setting to the points where troops should move. The third level is "Oknum" (person), that is, people who have war or are exposed to issues that cause war (illustrated in figure 5)

## 2) Stage of Challenge Fight



Figure 6. a group of people are standing by for

The stage of the war's challenge is the stage in which the party poses a challenge to fight the opponent. The challenge is done by way of coming to the opponent's location by grouping in a battle-ready dress. In an open space or field they gather together yelling out war chimes. The yells are, "I am a man, I am coming for war". Then together they yell "uuuu ... uuuu ... uuuu" with a typical high-pitched voice of the Papuan people. The opposite party usually has been prepared too with war alerts. So in that location the two concentration of people have faced to faced for the war ready period (Figure 6)

### 3) Stage of war execution

By the time the war is about to begin, both sides wear traditional "costumes" of war, ie clothing with *koteka*, with body and "Make Up" faces streaked in white. The goal is to disguise the face so it will not cause a grudge if the war is over. Weapons are usually in the form of arrows, spears, *katepel* and shield (protective equipment and weapons repellent)



Figure 7. a group of war-force are implementing war startegy

War can begin if each of the hostile groups faces directly at a predetermined place and time. The usual place for war is an open place.

Before the war began usually each group shouts yell-yell of challenges war. Yell - yell is in their native language "I am a man, I come to war". Plus yell-shouts of war together "uuuu u uuu uuuu u" with the typical high-pitched voice of the Papuan people. There are also jelly-boosting tones and threats to the "person" or who have "war", for example, "Moses must be killed, not in the world!", If the person who became the person is named Moses. Yell-yell is always shouted during the war to encourage other members. If the atmosphere is heated, then their emotions are also provoked while throwing arrows or spears to their enemies. If the war has occurred, then in this inter-tribal war there are rules that must be adhered to by both sides (Figure 7 and figure 8).

These customary rules, among others:

- (1) Women, children, elders, community leaders and priests should not be killed, so they are sometimes used as front armies.
- (2) The war only takes place in an area that has been agreed, beyond that area there can be no war, because in case of murder outside the area of war will be a personal grudge and become his own business is not a matter of war;
- (3) War must be open to face, do not play behind;
- (4) Should not wear / carry firearms;
- (5) There is an emergency rule of war, that is: it is permissible to steal and rape women but should not be taken unless it is to marry after the war, regardless of the widow's or virgin's status;

(6) Before the war ends it should not shake hands or feed one another or something to the enemy, because such a thing would be considered a betrayer worse to be killed by a friend of his own;

(7) During war there shall be no mention, other than signs or utterances commonly used as symbols of war;

(8) If a victim dies and an evacuation occurs, the opportunity shall not be used for attack by the enemy

War burns and heats up if a victim dies and continues to grow hot before the number of victims on both sides is equal (equal in number). Nevertheless each group is not afraid because of they perceived war is a game like football. In the battle, the members of troops always move left and right while squatting occasionally upward looking at the surrounding like a dancer, this is meant to avoid the attack of arrow or spear thrown by the opponent



*Figure 8. The execution of tribal war*

Persons who rape women in the area of war should immediately get out of the battlefield and rest for 3 days, if not, his body will smell fragrant and hit by arrows

In the middle of the day, the pause war first begins with the shouting of "Uuuuu ..... uuuuuuu!" And must be known both sides. This break is used for rest and lunch purposes while counting the number of dead and wounded with arrows or spears. These rest periods are also used for shopping as a war logistics necessity, as items including pigs or others outside the war area should not be stolen and women should not be raped. In logistical warfare is left to the women of each group. If the break time is over, then the war can resume after a shouting sign: "Uuuuu ..... uuuuuuu!", and should be known by both parties as well.

If a troop sees on the opposite side there is a brother who is being targeted, then he will release an arrow right in front of his brother's face. It was a sign that his brother was being targeted and had to get out of the war area, if he did not get out soon, he would be the target of shooting arrows and be the victim

In a group of warfare there is a pre-established organization, including: War Tribal Chief, War Commander, Person (person having war). The rank of rank in war is indicated by pig piercing in the nose, the longer the fangs are attached, the higher the rank. There is also a member of the troops assigned to give the code of the situation, he did not bring an arrow but only brought cassowary and spear fur. If the cassowary feathers are fanned upwards it means that there are enemies around us, then the troops should be down but if the spear is held up it means we are safe, then the troops can go on. At night the troops can rest for sleep, during this break the guarding of each group is tightened to keep the rigging of the opposing party whether it is infiltration, theft etc.

##### **5) Stage of Divorce War**

At this stage female figure play a role as mediator for war not to enlarge. Selected one of the female figure is not only play a role in these conditions but also serves as a medium of communication between groups so that other citizens of each party do not enter the area of war. The war will end if the death toll is equal (equal) on both sides previously characterized by the emergence of the elderly public figure for peace.

## 6) Stage of Peace

The peace of both sides is marked by a stone-burning ceremony synonymous with "thanksgiving". The ceremony is actually burning pigs piled with hot stones that are burned first while collecting donations from the community for "Pay Heads". Pork that has been cooked and then eaten together. If this ceremony is done the war is over.

## 7) Stage of Head-pay

Head-pay is a post-war tradition that is intended to pay compensation to the families of victims in the war. This is done by each of the hostile groups. The process of paying the head is done at the place agreed by both parties. It is usually done in public and open place, which is marked by greeting each other and hand over the goods as a pay-off tool

One head is worth Rp. 300 million. Payments can be made by cash, pigs or with similar "kewuk" shells called bia skin or "Kulum Bia". This type of shell is very valuable, but not all bia skins have a high customary value. Only bia skins have an "ear" has high-value. People who have skin bia are respectable in adat/norms. Skin bia always sought by customary leaders because it is easily exchanged for cash

Bia skin price can reach Rp. 150 million per one rope strand, one rope consists of 5 skins bia. The proceeds of the head-pay were then handed over to the families of the victims, from the families of the victims then distributed again to their extended families, especially those who participated in the war.

## 4. Conclusion and recommendation

This study on tribal war in Timika concludes as follows:

- 1) The meaning of tribal warfare For Timika people: As a way they express self-esteem and family attributes, and solidarity as one family or one tribe (if one person feels hurt or disturbed).
- 2) In tribal war, there are symbols that are full of meaning, such as clothing attribute, non verbal symbol either with movement or human voice. The symbols are attached to the activities of the war itself. Apart from that in the tribal war, although traditionally there has been an organizational structure of war, the division of roles and rules / norms to be adhered to.
- 3) Tribal wars in Timika can be constructed as a process consisting of several stages. In each of stage there is a communication process with distinctive symbols. Stages with its communication process are described as follows:
  - a. Stages of War Initiation
  - b. Stage of Challenge Fight
  - c. Stage of War Implementation
  - d. Stage of Divorce War
  - e. Stage of Peace
  - f. Stage of Head-pay
- 4) Tribal war as a social phenomenon is a communication process, and can be solved by the parties by means of communication. These findings could have implications for the importance of policies to develop communication approaches among traditional tribes in Papua, in order to increase mutual-understanding among them, which in turn will reduce the level of conflict among them.

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## The Impact of Organizational Factors in Ethical Decision Making of Albanian Accountants

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### Abstract

The role of professional accountant is increasing in developed countries, part of which is also Albania. According to recent studies, accountants' ethics behaviour is not appropriate even though it is one of the most essential attributes that an accountant should possess in order to fulfil its mission. Various scholars admitted that during the process of decision making, accountants are influenced by individual and organizational factors. This paper aims to analyse the impact of organizational factors in ethical decision making of Albanian accountants. The article is based on primary data using a questionnaire and generating 230 respondent accountants that work in Albania. After data analysing we conclude that the code of ethics (*the companies ethical climate and the type of industry where the accountant works*) influences the decision making process. Meanwhile, the size of company is not an influential factor.

**Keywords:** albania, ethical decision making, accountant, organizational factors, ethical climate, code of ethics, type of industry

### Introduction

The modern financial science complexity requires not only deepen theoretical framework but also a developed methodology to conclude in a realistic, rational and scientific context. The basis upon which relies the business unit reputation is related to the employees' individual behaviour, including different positions. It has a substantial and direct impact on the market value, on customers, investors, employees or consumers. Accounting, as a profession, is important for country development, since it contributes to the economic development, financial stability and efficient operation of capital markets and public sector. Accountants encourage and support the growth and development of business sector as well as strategic financial direction. Their aim is to ensure the interests of shareholders and the public that invests capital. Therefore, they represent successful people. According to studies, a successful accountant - regardless of the various businesses, human and technical abilities - must necessarily support the ethical standards (Taicu, 2007; Amat, Blake & Dowds, 1991). Accountants are often obliged to choose in different situations. (Shaub, 2005). To improve ethical behaviour, it is vital to better understand the involved components in the decision-making process and ethics impact on them. According to Jackling, Cooper, Leung, & Dellaportas (2007) education in terms of accounting ethics helps in amending the ethical collapse of the profession. For example, this study on Albania as one of the developing countries seeks to determine the effect of organizational factors on ethical decision-making for accountants.

### The theoretical background of ethical decision making process and organizational factors.

The decision making process is difficult and complicated due to several factors and circumstances that should be taken into account. This process becomes even more difficult when it comes to accountants who are engaged in responsible decisions regarding the units they manage. The performance of the unit depends on these decisions. Each of us can easily imagine that personal ethical values and decision making processes that an individual uses in his daily life, are influenced by a number of internal and external factors. The following factors are combined to form an individual opinion for a given situation, ranging from important personal issues to those dealing simply with what an individual is required to do every day at his work place (Caldwell, Bischoff, & Karri, 2002; Polkinghorne, 2005). Individual ethics derives from the individual's

experience and can be influenced by a number of other important factors (Burns, 2004; Weston, 2001). The most acclaimed models of ethical decision making (Jones, 1991; Rest, 1986; Trevino, 1986) are based on descriptive theories and assume that the process of ethical decision making is influenced by a number of individual and organizational factors as well as the characteristics of ethical issues (Nill et al., 2004). The theoretical framework developed by Rest (1986) is considered as one of the most important articles related to the individual's decision making process within the organization. In the initial model of ethical decision-making, Rest (1986) defines four stages through which emerges the process. Later this model was improved to support the fact that psychological factors affect any moral action. (Rest et al., 1986, 1999). He proposes a process, which goes through four phases, as follows: ethical knowledge (the ability to make the difference if we deal with an ethical situation or not) ethical judgment (the ability to decide which is the right procedure) ethical goal (the ability to give priority to ethical alternatives versus other alternatives) and ethical behaviour (the ability to undertake ethical behaviour). Rest (1986) argues that each stage or phase is conceptually different and that success in the first phase does not necessarily impose success at the next stage. Trevino (1986) offered an interactive model of ethical decision making, which was mostly built based on the Recognition Theory of Moral Development by Kohlberg (1969). In her model she adopts three parts from Rest's model of the ethical decision making. In this complex model she describes the ethical decision making process in three stages. This process starts with ethical issues recognition, continues with recognition process and concludes with concrete actions. Individual factors, as well as organizational ones, are included in this process. According to Trevino (1986), ethical decision-making is the product of individual and organizational factors interaction related to the individualizing thought about the ethics of dilemmas. The involvement of these factors, in the decision making structures of ethical theory, is considered as one of the main developments in the area of business ethics research. This paper aims to identify the relationship between the ethical decision making process and the organizational factors in these models starting from the Rest model(1986)— that we will in this study to achieve goals. According to the literature, the individual decision-making process (in the case of accountants) depends to a considerable extent on the work environment. There are some organizational factors such as climate, ethics, the code of ethics, the size of company or the industry where the company operates, which are certified by the previous empirical researches to have a positive impact on the individual who takes an ethical decision. Organizational factors are defined as the characteristics of the background of a decision, which affect the ethical decision making process and its results (Ross & Robertson, 2003). Trevino (1986) concluded that some organizational factors often create obstacles to the individual's ethical decision making. However research on ethics has been very limited regarding accounting field in general and organizational factors in particular. Therefore, the findings regarding these factors, cast some empirical evidence in the accounting ethics literature in general and ethical decision making in particular. The code of ethics is considered as one of the most widely used tools by organizations aiming to direct the elections of their employees (Pater & Anita, 2003; Schwartz, 2002). It treats some common ethical issues that organization members face in their place of work. The code of ethics enhances the reputation of the organization and the brand image (Singh, Carasco, Svensson, Wood & Callaghan, 2005). Stevens (1994, p.64) defines the code of ethics as a written document through which corporations hope to model the behaviour of their employees and produce changes by making clear statements about the desired behaviour. In his summary Craft (2013) noted that during 2004 to 2011 the number of researches about analysing the impact of the code of ethics and the process of ethical decision making, has dropped significantly. According to the McKinney study, (2010), professionals working in organizations that have implemented a written code of ethics tend to address controversial ethical issues as less acceptable than those working in organizations that do not have an implemented ethical code. As noted, the number of studies related to the relationship between the first three phases of ethical decision making and the existence of a code of ethics, has been declining. In conclusion we can say that on behalf of these studies, it is noted that different results have been reached, but it should also be noted that most of them support the idea that the existence of the code of ethics is positively related to ethical decision making. Ethical climate is one of the most important organizational factors, which appears to have a significant impact on the ethical decisions of employees at their place of work. Victor & Cullen (1988) defines ethical climate as "the primary perception of practices and typical procedures of the organization, which have ethical content". They argue that the ethical climate in the workplace is the primary source of information for employees on the right or ethical actions in the organization. Martin & Cullen (2006) add that the ethical climate can be understood as the entirely procedures, policies and common practices, both formal and informal, within the organization. Using theories of moral philosophy and moral psychology, Victor & Cullen (1987) designed the Ethical Climate Questionnaire in order to identify the ethical climate of the organization or the group. The Ethical Climate Questionnaire (ECQ) analyses the perceptions of individuals within the organization about how members of the organization act based on the ethical issues they face. ECQ specifies certain necessary events, practices and procedures in order to establish the criteria for ethical decision making. The reason for choosing these three dimensions is firstly related to the fact that these dimensions are known based previous empirical studies; therefore this paper suggests that these dimensions will be noticed in Albanian companies as well. Even though there have been a

number of studies related to ethical climate, there is still little literature concerning factors linking these stages of the decision making process (Martin & Cullen, 2006). According to the Craft's summary (2013), a sum of ten studies is conducted regarding this issue; two of them were specifically related to the stage of ethical knowledge, four of them related to ethical judgment and the others with ethical purpose. It should be stressed that the Forte research (2004), concluded that there is a statistically significant correlation between levels of management and the organization's ethical climate. The industry is thought to have an impact on individual ethical behaviour (Oz, 2001). People who work in a place where dangerous products are produced, for example narcotics, may be more sensitive to ethical issues, compared to people who work for companies that produce safe products like furniture. Business ethics literature continues to produce mixed and inconsistent results, in terms of impact of the organisation quantity in ethical decision making. According to recent research, there are significant correlations between factors.

### **The purpose and the objectives**

The main purpose of this paper is to establish organizational factors that affect the ethical decision making process of Albanian accountants as they make the most important decisions within the company.

The aim of the paper is to determine the impact of organizational factors in the accountant's decision making process in Albania.

The research question discussed in this article is: What impact do organizational factors have in the ethical decision making process?

The hypothesis is:

### **The organizational factors have a significant impact on ethical decision making process.**

The organizational factors include: the code of ethics, ethical climate, size/quantity and industry.

The following under-hypothesis has been raised for the main hypothesis:

- The industry has a significant impact on ethical decision making. (1)
- The size of the company has a significant impact on ethical decision making. (2)
- The existence of the code of ethics in the company has a significant impact on ethical decision making. (3)
- The ethical climate has a significant impact on ethical decision making. (4)

### **Methodology**

This article generates a considerable added value for young researchers and accountants who practice their profession in our country, whether they are employed in Albanian companies or free acting professionals. Regarding the selection of companies whose accountants would be part of the study, it was reasonable to concentrate at the large Albanian companies as these companies represent the biggest taxpayers. According to Zikmund (2003), the primary data are exclusively collected for the research on which they are working. There are several methods for collecting primary data, but in this paper we have chosen the questionnaire as the main tool. Van der Stede et al., (2007) defines it as the most useful method for researches and studies conducted in the field of accounting. The questionnaire was constituted based on two main parts. The first part collected information on the company size, type of industry, the code of ethics and the ethical climate of the company. In order to measure and determine the type of ethical climate of each company where the accountants are working—the Ethical Climate Questionnaire built by Victor & Cullen (1987) was used.

In the second part, through four different scenarios, the participants were asked to rate the hypothetical action of the individual who makes the decision through a *likert* scale. The first phase of decision making, i.e: the ethical recognition is directly measured by asking participants through a *likert* scale with five categories, to express their opinion about the statement if "the above situations comprise an ethical problem" (Singhapaki et al., 1996).

The ethics trial phase was measured by asking participants directly through the *likert* scale with five categories to express the extent to which they agree with the statement "(the decision maker) should not have done this" (May & Pauli, 2002).

The ethical goal is measured in the same way by asking participants to express the extent to which they agree with the statement "If I had been the decision maker, I would have done the same thing/action" (Singhapaki et al., 1996). In this

paper we chose the method of distributing the questionnaires via email, because of the significant distance of the unit locations. The distribution of questionnaires by mail, obviously like any other distribution has its advantages. 571 questionnaires were distributed to the Albanian companies and from those only 230 returned completed. The response rate in this study is 40.3%. This is a very satisfactory result if we consider the fact that this form of distribution of questionnaires typically provides a low level of responses returned. Once the data were collected, they were coded and processed with SPSS 20.0.

## **The results**

We dealt with the following results after data collection.

*The first under-hypothesis is related to the company where the individual (accountant) operates.*

Ho: Company does not have a significant influence in the ethical decision making. (1) By carrying out the ANOVA test after the data was processed, Table (1) is obtained. Table (1) indicates that  $\text{sig.} = 0.001 < \alpha = 0.05$ . This means that we disprove the null hypotheses based on (1) and accept the alternative one.

This means that the industry has a major influence on ethical decision making. This result is consistent with a previous series of studies where Ergenelei & Arikani (2002); Krambia-Kapardis & Zopiatis (2008); Shafer (2007), can be mentioned.

*The second under-hypothesis is related to the impact of company size in the ethical decision making.*

: The company size has not a significant impact on ethical decision making. (2)

By carrying out the ANOVA test, Table 2 was generated. In this table, based on  $\text{sig.} = 0.253 > \alpha = 0.05$  we can not disprove the null hypothesis (2). This means that the size of the company does not have a significant impact on ethical decision making. Despite different opinions about the impact of the size of the company in the process of ethical decision making—this study reached to the conclusion that the company size does not have a significant impact on this process. Such a result is in line with other studies, such as Razzaque & Hwee (2002); Roozen et al. (2001); Paolillo & Vitella (2002), etc.

## **The third under-hypothesis is related to the impact of the code of ethics.**

: The existence of a code of ethics in the company does not have a significant influence in ethical decision making. (3) After processing the data, performing the Independent Samples t-test we obtained the following table 3. In table 3, because  $\text{sig.} = 0.561 > \alpha = 0.05$ , we meet the condition of equal variances of the two populations. Furthermore, as  $\text{Sig. (2-tailed)} = 0.003 < \alpha = 0.05$ , means that the null (3) hypothesis is disproved and the alternative one is accepted. This indicates that the code of ethics in a company has a significant impact on ethical decision making. The reached result is consistent with some previous studies, where Singh et al. (2005); Wotruba, Chonko & Loe (2001) can be mentioned.

*The fourth under-hypothesis is related to the ethical climate impact of ethical decision making.*

: The ethical climate does not have a significant impact on ethical decision making. (4)

By carrying out the ANOVA test, we obtained the following Table 4. In this table, because  $\text{sig.} = 0.032 < \alpha = 0.05$ , we disprove the null (4) hypothesis. Hence, we conclude that ethical climate has a major influence on ethical decision making. From the three types of ethical climate taken into consideration, the ethical decision making process is more strongly influenced by the "Law and the Professional Code". Thus, from the four organizational factors taken into consideration, it is noticed that three of them have a significant impact on the ethical decision making process of our accountants.

It is noted that the kind of company has a greater impact compared to the code of ethics and the ethical climate. Between the last two factors, the code of ethics is more important than the ethical climate. The result achieved regarding the size of the company is consistent with several other studies, where Paolillo & Vitell (2002); However it should be noted that there are different opinions about the impact of the size of company. We can mention Clarke (1996), who claims that the bigger is, the greater is the possibility that these companies benefit from the implementation of various helpful mechanisms, which can't be found in small companies to support ethical decisions that individuals of these companies make. Vitell & Festervant (1987) claim that small companies forced to compete large companies are more likely to be engaged in unethical issues. According to Albanian accountants the size of company is not an influential factor when these individuals are forced to make decisions about ethical issues. The main reason for achieving such an outcome could be related to the fact that the study includes the most important companies of our country. The classification criteria in order to be classified in the group

of large taxpayers in our country, is the annual turnover of these companies. This means that within the group of large taxpayers, there may also be companies with four or five employees in total. The industry where the company operates, represents the factor with the greatest impact on the ethical decision making process. Oz (2001) claims that the industry has a significant impact on the ethical behaviour of accountants. According to him, individuals who work in places where dangerous products are produced, for example drugs, are more sensitive to Ethical issues than individuals who work for companies that produce safe products, such as furniture. In our case "Trade" has the most significant influence on ethical decision making, compared to other types of industry. For this reason, this group of companies operating in this sector should be given more attention on ethics and its regulation.

The impact of the Ethics Code on the ethical decision making process for accountants is ranked based on this factor. The result achieved in this study is consistent with several other studies, where Pater & Anita (2003); Adams, Tashchiang & Shore (2001); Granitz (2003) and others can be mentioned. The fact that this factor has a significant impact proves that codes are recognized and respected by the employees of each company. In the Albanian companies the Codes of Ethics do not only represent the formal documents to comply with the law. There are some scholars who claim that a Code of Ethics on its own is not sufficient to significantly influence the ethical decision making process (Cooper & Frak 1997; Verschoor 2002). Rottig & Heischmidt (2007) have concluded that the Code of Ethics should be examined in a systematic and empirical way along with several other determinants of ethical decision making, such as ethical training.

According to the study, the Code of Ethics is not the only organizational factor which has an impact on ethical decision making. Another influential factor is also the ethical climate of the company. According to Victor & Cullen (1988) the ethical climate is defined as the dominant perceptions of typical organizational practices and procedures which have ethical content.

According to them, a company's ethical climate is the main factor, which helps to inform workers about the lawful and ethical actions within the organization. Three types of ethical climates considered in this study have important impact on Albanian accountants during the ethical decision making process. Although it is a new notion and only recently known by Albanian companies, it can be stated that the ethical climate has taken its belonging position in term of importance.

Companies in our country, although slowly, have managed to implement the ethical climate, regardless of its type. This factor has been improving and an important role in this case has had the new spirit that the foreign investors have brought. The main reason for achieving these results regarding the organizational factors may relate to the fact that the Albanian companies operate in the free market.

According to Agareal & Malloy (1999) the organizational factors do not define decision making process in state-owned companies because they have a relatively limited control of their employees. The fact that our companies operate in a competitive free market, fully supports the results obtained from this study about organizational factors. There are some previous studies, which prove that these factors have a significant impact on the stages of the process of ethical decision making of companies operating in a free market (Barnett et al., 1993; Granitz, 2003; Plugraht et al. 2007)

## Conclusion

Organizational factors constitute a very important factor with a considerable impact on accountants as individuals during the process of decision making. According to the results, a special importance should be paid to these factors. Ethical behaviour and the right decision of accountants concerning any ethical dilemma which they face in their work place make possible the provision of accurate and reliable information. The leaders of an entity, by using this information have the possibility to make the right decisions regarding the future of the entity which they govern. Particular attention should be paid to the creation of an ethical climate in the work environment as well as the communication and application of the code of ethics by employees in general and accountants in particular.

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Tables

Table 1. Results of Anova Test About the Type of Company

ANOVA					
Ethical decision making					
	Sum of Squares	df	Mean Square	F	Sig.
Between Groups	440.4	7	62.9	3.6	.001
Within Groups	3810	216	17.6		
Total	4250.5	223			

Table 2. Results of the Anova Test About the Company's Size

ANOVA					
Ethical decision making					
	Sum of Squares	df	Mean Square	F	Sig.
Between Groups	107.3	4	26.8	1.1	.354
Within Groups	4148.2	219	18.9		
Total	4255.5	223			

Table 3. the Results of the Independent Samples Test About the Existence of the Code of Ethics

Independent Samples Test										
		Levene's Test for Equality of Variances		t-test for Equality of Means						
		F	Sig.	t	df	Sig. (2-tailed)	Mean Difference	Std. Error Difference	95% Confidence Interval of the Difference	
								Lower	Upper	
Ethical decision	Equal variances assumed	.339	.561	3.021	222	.003	1.788	.592	.622	2.954
	Equal variances not assumed			2.974	166.76	.003	1.788	.601	.601	2.975

Table 4. the Results of the Anova Test About the Ethical Climate

ANOVA					
Ethical decision making					
	Sum of Squares	df	Mean Square	F	Sig.
Between Groups	138.4	2	69.209	3.510	.032
Within Groups	3864.7	196	19.718		
Total	4003.1	198			

## **Workaholism and its symptoms in individuals manifesting mental disorders: a clinical analysis based on a case study**

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### **Abstract**

Workaholism is an exceptionally complex psychological phenomenon that has been widely described in the literature from numerous theoretical perspectives. The common assumption in describing psychological profiles of individuals characterised by the so-called workaholic attitude to work and life pertains to the presence of many various mental disorders manifested by a given person. These include depressive disorders, anxiety disorders, psychosomatic disorders and personality disorders. Persons who manifest different stages of inner compulsion are characterised by the absence of control and distance to increased professional activity. Over time, psychopathological symptoms become displayed in the psychological functioning of such individuals, which requires treatment. Moreover, a workaholic patient needs also medical, psychological or psychotherapeutic assistance. The aim of this article is to determine the significance of differential diagnoses of workaholics' psychological profiles by means of examining clinical case reports to provide a broader and a more in-depth view on treatment and directions to be taken in psychological assistance. By presenting the theoretical grounds of workaholism, the authors focused primarily on presenting clinical aspects of an individual's negative functioning (detrimental to his or her development and health) in the organisation and structure of a given work situation. Clinical cases reports pertaining to patients suffering from workaholism are not common in the literature. For this reason, the article aimed primarily at describing three psychological profiles of individuals who manifested workaholism with comorbid mental disorders.

**Keywords:** workaholism, case study, mental disorders

### **Introduction**

The considerations on experiencing workaholism made so far in the literature find it to be a specific psycho-social process that causes in the life of an individual who experiences it the risk factor of developing psychopathological symptoms and mental disorders defined in psychology as neuroses and in medical classifications as mixed anxiety and depressive disorders and obsessive-compulsive disorders (Porter, 1996; Hornowska, Paluchowski, 2007) and personality disorders (Golińska, 2008, Wciórka, 2008, Wojdyło, 2006, 2010). Another trait commonly observed in workaholics pertains to addiction in a broad sense (Oates, 1968, 1971, Spence, Robbins, 1992, McMillan, O'Driscoll, Marsh, Brandy, 2001).

Professional activity of patients diagnosed with traits of workaholism is varied, though as indicated by psychologists' clinical practice, it results in or strengthens the formation and/or continuance of different most often chronic mental disorders (neuroses and personality disorders) in this group of people.

Regardless of the typologies of workaholics provided in the literature, the model of psychological functioning of a workaholic in the mentioned typologies is said to commonly share the element of a noticeable compulsion that is pursued by a given person and which determines his or her engagement in work that is excessive in terms of the dedicated time and remains beyond his or her control, as well as a compulsion to structure and implement all life activities accordingly and exclusively to occupational tasks. Work situation becomes the main object that determines and motivates the direction of daily activities.

## **1. Clinical analysis based on case studies of workaholics**

In order to illustrate the hypotheses provided in the article that state that workaholic traits and behaviour act as predictors in generating symptoms of mental disorders, clinical case reports of three individuals with workaholic tendencies and comorbid medically diagnosed neuroses were provided below. Oftentimes, prevailing neurotic symptoms in workaholics include those associated with anxiety and depression.

Individuals with this group of psychopathological symptoms (all the more those displaying workaholic symptoms) require psychological help. Participation in psychotherapy allows one to work on his or her mental issues, particularly negative thinking and anxiety thinking. Psychological assistance promotes restoration of mental balance by means of changing fallacies and problem solving.

The below-described three psychological profiles of individuals diagnosed by psychologists with workaholism were constructed based on three random life stories of people who sought medical and psychological assistance at facilities due to various chronic neurotic symptoms they experienced. The source data come from psychological and medical records collected during clinical studies conducted by the authors of the article.

The medical records provided data that confirmed firstly the medical diagnoses of a given person's type of disorder, as well as recommendations regarding necessary pharmacological and psychological treatment. An analysis of the medical records allowed data on the psychological diagnosis of emotional, cognitive and behavioural functioning in the context of the reported symptoms to be obtained for each of the presented individuals.

A verification by means of a clinical method (clinical interview and psychological conversations during treatment at a medical facility) allowed the authors to determine a profile of prevailing psychological traits that either support or reject the hypothesis about the existence of factors that would confirm the presence of traits typical of workaholism in a given patient who was medically diagnosed with a specific disorder. In the course of preparing this article, clinical data were collected in accordance with the rules of professional secrecy and personal data protection (the so-called sensitive data). Each of the individuals consented to having his or her data used for experimental purposes. Due to data protection, the authors used only the personal information essential to outline the psychological type of a person addicted to occupational activity who also manifested a mental disorder.

The below-presented group of individuals, further referred to as 'workaholics', who manifested various chronic mental disorders comprised, as follows: a person medically diagnosed with mixed anxiety and depressive disorders (ICD-10 F41.2), a person medically diagnosed with obsessive-compulsive disorders (ICD 10 F42) and a person medically diagnosed with somatoform disorders (ICD 10 F45).

### **1.1. Psychological profile of a workaholic experiencing obsessive-compulsive disorders (a case study)**

Mr M., 32 years old, college degree in Management, long-term inhabitant of a metropolitan area, married for 12 years, no children. Mr M. runs his own business rendering legal services to numerous companies for a large law firm and is considered – as he described himself – a very respected person who is highly perfectionistic in his work. Mr M. sought help at a medical centre due to obsessive-compulsive symptoms (consistent with anxiety obsessions, particularly fear of social evaluation and contact with other people; especially in work-related situations). After being examined by a psychiatrist, Mr M. was medically diagnosed with obsessive-compulsive disorders (ICD-10 F42). Obsessive thoughts pertained mostly to receiving a negative evaluation of his performance, a growing concern of not fulfilling occupational tasks without any actual grounds for such thoughts and concerns). As a result of obsessive negative thoughts on failing to fulfil occupational tasks that awaited him, anxiety-inducing thoughts about getting fired due to his performance at work receiving a negative evaluation from his superiors, Mr M. reacted with avoiding behaviours, e.g., increasingly more frequent holiday leaves (including a short-term leave on request), seeking doctor's visits and increasingly more frequent sick leaves due to various progressive symptoms (from common cold to mental disorders). Mr M. most commonly reported symptoms of anxiety obsession and depressive symptoms (mood swings with prevailing tendency for negative thinking about oneself and the future). Apart from fear about his work and not fulfilling occupational tasks, Mr M.'s anxiety obsessions also pertained to fear about his house and family, his own and his loved ones' health. Anxiety obsessions and compulsive behaviour associated with, for instance, checking in various daily routines (e.g., checking door and window locks, checking for other personal belongings

he carried with him) appeared 4 years earlier and with time caused his psychophysical wellbeing to deteriorate, resulting in difficulties in fulfilling his occupational tasks and social alienation. With increasing emotional and social difficulties in his family and social life, and, primarily, in fulfilling his occupational duties, Mr M. sought medical and psychological help. At the time when he reported to the centre, he lacked the awareness to relate the emotional disorders he was manifesting with the significant role of his addiction to work. Mr M. was subjected to pharmacological treatment and psychotherapy. Owing to treatment (including long-term psychotherapy) Mr M. has gained an insight into the psychological mechanisms of anxiety disorders and gained awareness about the role of his own workaholic attitude to his job in the process of mental disorders and obsessive-compulsive symptoms he has developed. The description of Mr M.'s psychological functioning provided in the records confirmed the controller type of a workaholic. A model based primarily on the need to perform all tasks and behaviours formed in his personal, social and occupational activities and dominated all his activities for many years. When explaining the workaholic model of Mr M.'s attitude towards his work situation that formed at the very beginning of his professional career and the obsessive-compulsive symptoms that was progressing for several years one ought to note also the context of Mr M.'s family background and workaholic attitude promoted by one of his parents. In Mr M.'s model of functioning in life situations (be it family- or work-related situations involving his co-workers, superiors, employers) attention should be put on the formed pattern and establishing relationships based on, as follows: excessive control over undertaken actions, behaviour and social relations; cognitive rigidity and focus on unimportant details; as well as dissatisfaction with performed actions combined with a permanent feeling of frustration and criticism of his own actions. The above pattern of Mr M.'s reaction in social situations he found himself in was associated with the following traits identified in his self-description (inadequate to the needs, the possibility to receive gratification and satisfaction with performed tasks): excessive independence and ambition, extremely high motivation, high impulsivity and impatience (displaying buoyant energy despite comorbid symptoms), low need for sleep (frequent insomnia), high endurance and capability to perform without the need for rest. With regard to his own professional activities and social relations, Mr M. noted that from the very beginning of his career he has been engaging in a pattern of experiencing work as "a time-killing activity that fills the void". The absence of awareness of the need for having his own free time and 'escaping' into work have become an adaptive mechanism Mr M. has been systematically employing in his life.

In professional relations and contacts with his employers, Mr M. has always adopted a directive attitude that allowed him to control decisions taken in companies he cooperated with. Due to the nature of his profession (lawyer) he had a decisive or a significant impact on the decisions taken by management boards. From the very beginning of his career, especially after getting married, Mr M. has been systematically working longer hours, extending his daily working hours from 8.00 am to 8.00/9.00 pm with no breaks and without acknowledging or reporting the need for rest or leaving for home over only a few years. Mr M. motivates his behaviour in the following words, "I had a mortgage to pay off, I had to work a lot, keep records in order, run cases before courts, always busy because there was always much to do from morning to evening". Mr M. was unaware of the destructive nature of his own actions, as he would frequently resort to the psychological mechanism of rationalisation and denial of the actual situation. As emotional difficulties accumulated and anxiety symptoms (depressive symptoms, anxiety obsessions) progressed over the years, Mr M. continued to employ the workaholic attitude despite having paid off the mortgage and improved his family's living conditions. When describing his experiences, he noted that his ambitions and the need to constantly prove himself in the professional field increasingly more often signalled his progressively decreasing self-esteem. In the course of his psychological therapy, Mr M. referred to this condition as "killing the emotion, depression and void with working". What is more, Mr M. noted that work has become the only source of satisfaction understood as goal achievement, the need for social validation (to be the best), total control over emotions, which increased his experience of a compulsion to constantly remain in work situation. Work served as the source of control over negative emotional states he was experiencing, i.e., depression and anxiety. Owing to psychotherapy Mr M. has gained an insight into the psychopathological mechanisms of mental disorders, including those related to his workaholic attitude towards occupational activities, which were to great extent characterised by excessive control of his own thoughts and actions, as well as progressing obsessive-compulsive disorders.

In reference to the literature it ought to be stated that the description of Mr M.'s psychological profile is consistent with research reports that confirm the presence of similar dysfunctions regarding a workaholic's emotional and cognitive functioning, which is referred to in the literature. Apart from the obsessive-compulsive symptomatology, the described workaholic individual's emotional functioning was also characterised by depressive and anxiety states (fear of negative evaluation, fear of failure, fear of social rejection) (Killinger, 2007), inability to relax, impatience, nervousness, becoming quickly bored with tasks (Szpitalak, 2012, p. 56). In terms of psychological mechanisms related to emotional regulation, Mr

M.'s profile was dominated by excessive control and denial (inability to confront problems, striving to become the best and to achieve a high status within the group) (Szpilak, 2012).

Whereas Mr M.'s cognitive functioning was dominated by a lack of concentration, dichotomous thinking (black-and-white thinking), telescopic thinking based on exaggeration, pessimistic thinking, feeling of helplessness, undertaking a victim's perspective, wishful thinking, blurry boundaries, experiencing ongoing struggle (Kalinowski et al., 2005, Fraszczak, 2002). Mr M. has been implementing the following dysfunctional belief in his family teachings, "only hard work ensures happiness, hard work is what society expects" (Robinson, 1998).

In the social context, as a consequence of obsessive thoughts related to a negative evaluation of his work situation and the fear of social evaluation, Mr M. experienced disordered relations in his workplace understood as social alienation and 'escaping' into illness, which resulted in sick leaves and a growing social alienation.

## **1.2. Psychological profile of a workaholic experiencing mixed anxiety and depressive disorders (a case study)**

Ms K., aged 44, a higher-educated city resident, married for 23 years with two children aged 11 and 6 whom she is raising with her husband. Ms K. sought help at a medical facility due to anxiety symptoms (fear of death, disease, being fired, social evaluation, contact with other people, particularly in work-related situations). Ms K. reported lack of satisfaction with her life (including work), a depressive mood and negative thinking about herself. Her ailments have been slowly developing for years with depressive symptoms progressing in work situation (sadness, anxiety, dissatisfaction, a feeling of loneliness and helplessness, pessimistic thoughts). Moreover, Ms K. also complained on a difficulty to focus and memorisation problems. Subjected to an examination by a psychiatrist, Ms K. was medically diagnosed with mixed anxiety and depressive disorder (ICD-10 F41.2).

Ms K. has been professionally active for 23 years as an administrative clerk in an educational establishment. When describing her professional activities, Ms K. expressed her admiration for diligence and an urge to work with a temptation to spend many hours at the office to prove herself and "remain in the organisation" (Killingger, 2007).

From the very beginning of her professional work, Ms K. has been fulfilling duties related to "being submissive and overly dependent". The social and psychological functioning of Ms K. can be described as typical of an excessively submissive and dependent person (Robinson, 1989). Nevertheless, Ms K. was fond of her job and experienced more benefits than costs at work, and noted that despite being overly submissive to others she was content and satisfied with her occupational activity. When she was unable to perform at work due to illness and had to resort to sick leaves, she displayed increased anxiety and apathy, as well as mood swings, without being able to determine the cause. In the literature, such traits may indicate withdrawal symptoms typical of addiction related to an emotional dysregulation in a situation where Ms K. was unable to go to work and fulfil her occupational duties (Porter, 1996; Hornowska, Paluchowski, 2007). Ms K. often recalled a strong urge to be at work and fulfil her professional tasks, which might be identified as a compulsion pertaining to certain work-related behaviours (Shimazu, Schaufeli, 2009).

Moreover, the workaholic behaviour pattern that has developed in Ms K. may also stem from the fear of being fired. This type of fear was frequently mentioned by Ms K., though she did not report any objective situation of facing the risk of losing her position. The uncertainty of employment and the fear of being let go are indicated in the literature as significant factors that stimulate the development of the workaholic attitude (Fassel, 1990).

When examining Ms K.'s psychological profile, one ought to note that the psychological traits she displays in her intrapersonal relationships are characteristic of a pleaser-type workaholic (Killingger, 2007). In both mentioned types of workaholism the focus is put primarily on excessive submissiveness and pleasing others regardless of whether one's own needs are met. In her self-description Ms K. presented a belief that work has become for her the only source of satisfaction, e.g., allowing her to fulfil her ambitions and to gain social validation despite being aware that she had to seek acceptance by resorting to the role of a scapegoat (as she reported in many situations, e.g., from her school years). Ms K. reported a compulsion to be constantly in work situation that allowed her to implement a pattern based on dominance and excessive (inadequate to Ms K.'s needs) submissiveness to others in social relations. Ms K. described herself as an ambitious and outgoing person, though also noted that her relations with others are dominated by a pattern based on submissiveness and excessive dependence (addiction to the approval of others), a dislike for undertaking any risks, hypersensitivity to criticism, poor emotional control and a permanent sense of inferiority. In her depiction of her own behaviours and emotional-social functioning from childhood to adulthood, Ms K. stressed the fact of serving as a scapegoat (quote: "I used to be a scapegoat at school and I continue to be one at work"). When describing her relations with other people from childhood to adulthood

(including relations at work), Ms K. noted experiencing lack of faith in herself, difficulties in bonding emotionally and establishing relations with peers.

Ms K. was raised in her family of origin where the pattern of dominance and submissiveness was implemented in the upbringing model and parental attitudes. Based on the interview and her autobiographical data Ms K. was identified to have an internalised pattern of emotional reacting in social situations based on the characteristics of the aggressor-victim relationship (dominant-submissive pattern with complete submissiveness). The above pattern has been formed as a result of emotional-social experiences in childhood and adolescence that involved her caregivers. Ms K. sought psychological help due to progressive anxiety, depressive and somatic symptoms (fatigue, apathy, sleep and eating disorders). The onset of psychosomatic symptoms took place 4 years ago and pertained to eating disorders. Ms K. was subjected to pharmacological treatment and psychotherapy. In the past, Ms K. used to be treated also due to anorexia. When experiencing a relapse in her adulthood, Ms K. also reported bulimic symptoms and cycles of excessive engagement in work occurring at the very same time (despite her complaint of playing the role of a victim in the workplace), as well as a lack of interest in professional activities (fear of going to work and failing to fulfil tasks perfectly enough). Ms K. worked without controlling her own attitude to work and working time or avoided work by resorting to sick leaves and 'escaping' into illness due to the experienced symptoms, which often involved severe bulimic symptoms, increasingly more disordered social relations and severe somatic symptoms, while Ms K.'s performance standards were unrealistic, which compromised her performance at work and increased anxiety, dependence on others, excessive submissiveness and functioning in dominant-submissive relationships (as a scapegoat). As a result of long-term psychotherapy, Ms K. has gained a partial insight into psychological mechanisms of mental disorders and those related to her workaholic attitude towards occupational tasks. Ms K. identified in her behaviour pattern applied in work-related interpersonal relationships a type of workaholic reaction based on excessive submissiveness to others.

To sum up, the description of Ms K.'s psychological profile is consistent with research reports presented in the literature that confirm the impact of low self-esteem that has been developing since childhood in a person who experiences workaholism in adulthood. Individuals characterised by low self-esteem compensate it by engaging in excessive professional activity or other target-oriented activity (Porter, 1996).

The developing cognitive biases related to one's self-image prevent the said individual from performing accurate self-evaluation. Thus, he or she experiences permanent dissatisfaction due to his or her constantly growing expectations of him- or herself, resulting in the inability to evaluate his or her own achievements in the above-mentioned objective manner (Wojdyto, 2003).

Apart from the pattern of excessive submissiveness in interpersonal relations that the depicted workaholic has experienced since childhood, her emotional functioning profile is characterised by anxiety and depressive symptoms that have developed over the years and a specific style of professional activity based on a compulsion to retain her overly submissive role in the work environment (Wojdyto, 2004, p. 56). The pattern of occupational relationships based on strong submissiveness and compulsion may contribute to a development of a typical workaholic attitude.

The following elements are observed to develop gradually: progressive physical health detriment, numerous mental disorders, substantial and progressively deteriorating relationships with the environment and a loss of satisfaction with life (depression, anxious attitude towards life and work). The applied pattern of emotional reactions can be described as depressive and anxiety states (fear of negative evaluation, fear of failure, fear of social rejection (Killinger, 2007), inability to relax, impatience, nervousness, being quickly bored with tasks) (Szpitalak, 2012). Ms K.'s psychological mechanisms related to emotional regulation were dominated by excessive control and denial (inability to confront problems and submissive tendencies) (Szpiłak, 2012).

Ms K.'s cognitive functioning was dominated by a lack of concentration, dichotomous thinking (black-and-white thinking), telescopic thinking based on exaggeration, pessimistic thinking, feeling of helplessness, undertaking a victim's perspective, wishful thinking, blurry boundaries, experiencing ongoing struggle (Kalinowski et al., 2005, Frączak, 2002). In the social context, as a consequence of her emotional and cognitive attitude, Ms K. reacted with an overly submissive behaviour and developed numerous symptoms, which resulted in sick leaves and increasing social alienation.

### **1.3. Psychological profile of a workaholic experiencing somatoform disorders (a case study)**

Male aged 52, secondary education, resident of a small town, involved in a romantic relationship for 31 years, no children. Professionally active for 27 years. Executive positions from the beginning of his professional career. Mr W.'s social and

psychological functioning can be described as typical of an individual displaying narcissistic traits. The issues Mr W. reported when seeking medical help were diagnosed as F48, 'Other nonpsychotic mental disorders'. The treatment and further medical and psychological diagnoses allowed Mr W. to be recognised with a narcissistic personality. Mr W. manifested low tolerance for frustration, boredom and stressed the need to experience stimulation and risk behaviour. Mr W. was considered in the environment as a creative person who undertake new challenges and does not fear to seek and engage in difficult or new tasks. Therefore, Mr W. was assigned by his superiors with more and more new tasks he completed successfully, thus developing a growing sense of omnipotence and a need to maintain it. Mr W. reported obsessive thoughts regarding work and a need to perfectly fulfil his assignments, as well as a significant role of ambition in implementing more and more new tasks. Since childhood (particularly adolescence and young adulthood), his social functioning in the familial, professional and personal context has been marked by an emerging need to be the most important person who fulfils special tasks, a need to be constantly praised and a strong frustration when he failed to receive a reward (praise). The model of his emotional functioning in relationships with other people was dominated by suppressed emotions and impulsivity in exploring frustration, little capacity for empathy and expressing positive feelings for others and a manipulative attitude towards the environment with the aim to pursue his own interests at the expense of the needs of other people engaged in a relationship with him. The work situation was dominated by a grandiose attitude, a need to be admired and to be the best, as well as demanding valuation from others. Over time, this aspect of Mr W.'s behaviour has given rise to troubles at work and increasingly more frequent changes of workplace. Conflicts at work (particularly with superiors, employers) and a superior attitude towards his subordinates resulted in a frequent change of workplace, though Mr W. dedicated all his time to work to fill the emptiness he felt within. In order to outperform others, achieve fulfilment, reach his goals and a sense of omnipotence, he spent more and more hours at work, giving up his family life. In his actions, he focused primarily on implementing tasks most perfectly to improve and be the best, he supervised standards of actions taken as part of occupational tasks fulfilled by individuals in his work environment regardless of the relationship (subordinates, co-workers). Mr W. displayed cognitive rigidity and focus on unimportant details, he was also constantly dissatisfied with the occupational tasks he performed. Oftentimes, Mr W. tended to be driven in the implementation of his professional tasks by a pursuit of power, leadership, high positions, high earnings, he was capable of handling duties despite occupational burden and conflicts at work.

When summarising Mr W.'s psychological profile, one should note that he has been implementing in his work experience a specific ethos of his own career characterised by a hunger for success and professional accomplishments. This specific 'life orientation' in which an individual perceives career as the primary goal in life contributes to an excessive occupational engagement, overworking that can evolve into a pathology (LaBier, 1989, p. 11). In Mr W.'s case, traits of an inner compulsion to fulfil occupational tasks manifested together with an exclusion, a 'repression' of the need to fulfil his own personal desires regarding his family and social life (Kalinowski, Czuma, Kuć, Kulik, 2005, after: Szpitalak, 2012, p. 10).

At the stage when the addiction to work is formed, Mr W. indicated solely the prevalence of advantages gained from his work situation and disregarding its negative consequences. Mr W. has a subjective compulsion to fulfil occupational tasks and to experience pleasure, contrasted with a feeling of frustration and discomfort when discontinuing his professional activities. Hence, Mr W. exhibited traits typical of workaholism, i.e., high commitment to work, a sense of inner compulsion to work and low satisfaction with work (Spence & Robbins, 1992), as well as emergence of symptoms (withdrawal symptoms) where working is not possible or not pursued (Porter, 1996; Hornowska, Paluchowski, 2007).

Mr W. can engage in sustaining his professional activity to improve his sense of self-worth (as already mentioned, he displayed narcissistic traits). In such case, Mr W. condemns himself due to his addiction to work to a frustration of needs related to family and other aspects of life, combined with a lack of control over the addiction to work and subjecting himself to damaging symptoms. Workaholism can be associated with a development of a disordered functioning of one's personality (Golińska, 2008; Wojdyło, 2006, 2010). Although Mr W. displayed narcissistic traits, he also indicated in the interview the need for resorting to psychoactive substances (alcohol) in a situation of frustration due to his emotional needs remaining unmet and an increasing depressive mood (Golińska, 2008). Among Mr W.'s traits one could also identify difficulties with establishing empathic relationships with others, a grandiose attitude in relationships with others, a sense of his own uniqueness and a need to be admired and praised – a need for winning acclaim for his achievements (Killinger, 2007). The inaccuracy of Mr W.'s self-image and his dependency on success and performance, as well as the progressive psychosomatic symptoms can provide an explanation for his workaholic attitude.

Due to the fact that Mr W. is at the beginning of his psychotherapy, he has gained only a partial cognitive understanding and awareness of the type of workaholic reaction called a narcissistic controller that he has been unconsciously applying

in his occupational and social life (particularly in work situation) in relationships with other people. Due to the specificity of his personality structure and dominant narcissistic traits, Mr W. requires further psychotherapy aimed at examining the psychological mechanisms of mental disorders that cover a dysfunctional area that goes beyond the workaholic attitude present in his life.

### **Summary -The consequence of workaholism.**

Untreated workaholism may lead to the occupational burnout syndrome (Fassel, 1990; Mieścicka, 2002). Each time overworking may be related to exceeding one's adaptive capabilities, thus lead to exhaustion, which is one of the constituents of the burnout syndrome (Bańka, 2005). Apart from emotional and psycho-physical exhaustion, the said syndrome also involves depersonalisation and low satisfaction with occupational performance (Maslach, 1986).

Other difficulties that can be experienced pertain to interpersonal relationships, avoiding other people, low self-esteem, permanent stress and fatigue, low contentment and satisfaction with work (Sęk, 2000; Retowski, 2003).

The fundamental difference between workaholics and individuals suffering from the burnout syndrome lies in the fact that professions exercised by the latter involve human contact and helping others, which is uncommon for occupational activities performed by workaholics. However, the most significant difference is that in experiencing psycho-physical exhaustion by an individual suffering from the burnout syndrome, his or her activity decreases, whereas a workaholic's activity increases with his or her growing engagement in professional duties (Schultz, Schultz, 2002).

Here, it is worth to return to the subject of the Type A Behaviour Pattern recognised in a situation where a person seeks to gain and maintain control over the external environment (Glass, 1977, Wrześniewski, 1993). A considerably stressful situation takes place each time a subject cannot gain such control and is characterised in its initial stage by increased vigilance and excitability, whereas the next stage involves increased aggressiveness followed by a feeling of helplessness.

According to another approach, this disorder is associated with three fallacies: a person should constantly prove him- or herself to validate his or her social status; there is no moral principle that ensures well-deserved punishment and reward are given to the person who earned them; in order to mark one's presence and achieve self-fulfilment, one has to pursue ambitious goals. This model is called achievement-oriented workaholism (Price, 1982). Despite numerous similarities, these two disorders have different aetiology, since the Type A Behaviour Pattern is to some extent genetically conditioned or stems from environmental conditions, whereas addiction results from upbringing methods and socialisation (Robinson, 1996). Additionally, addicts vary from Type A individuals in terms of experienced obsessive-compulsive symptoms (Wojdyło, 2003).

Workaholism can be classified in DSM-IV-TR as an 'impulse-control disorder not otherwise specified' (312.30), while in ICD-10 it is classified in the category of 'impulse disorders'. The said category allows repetitive maladaptive behaviours to be diagnosed provided that they are not secondary to a recognised mental disorder and allow the behaviour to be discontinued by the patient with a period of tension experienced prior to the behaviour and a feeling of relief at the time when the said behaviour takes place (Szpitalak, 2012, p. 29). This category allows the diagnosis of repetitive and maladaptive behaviours that are not secondary to a recognised mental disorder.

Workaholism and one of its possible consequences, i.e., the occupational burnout syndrome are occupational issues that afflict people in present-day labour markets that force workers to face tasks that are beyond their capacity, which oftentimes exposes them to the risk of making inhuman effort and promotes excessive professional activity that requires tasks to be fulfilled most perfectly, resulting in exhaustion or even compromised health.

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## Addressing Sensitive Issues in Family Mediation: An Albanian Study of Mediator Perceptions

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### Abstract

Family mediation is proposed as an alternative approach to conflict resolution, whereby two or more parties to a dispute attempt by themselves, on a voluntary basis, to reach an agreement on the settlement of their dispute with the assistance of a mediator. The objective of this qualitative study was to explore the way mediators address salient issues in mediation, and how it may have an impact on resolving family disputes. The study focused on which are the mediators' perceptions with respect to a range of sensitive issues in mediation process; with regard to sensitive controversy how do mediators identify the needs of mandatory mediation; how mediators consider the inclusion of children in family mediation process; how mediators position themselves in issues such as child and spousal abuse situations in relation to mandatory mediation; and finally, what are the mediators perception with regard to issues linked to pathological behavior from the part of the disputants in relation to mandatory mediation. Consistent with a qualitative approach, semi-structured interviews were chosen to access the actual experience of mediators. The sampling frame was purposive in the study. Furthermore, the sample consisted of interviews with twenty mediators drawn from the Albanian National Chamber of Mediators. Regarding the debate whether mandatory mediation is one of these successful practices for solving family disputes in contrast to voluntary mediation, the findings suggest that most of mediators agree that mediation should only be on a voluntary basis. Most of them disagree with mandatory mediation, since it may have a negative impact on mediation, where possible manifested physical or psychological abuse is screened during mediation sessions. The findings also reveal that most of mediators are not in favor of mandatory mediation, since it may contribute to the failure of mediation, especially where dispute cases related to pathological behavior from the part of one of the disputants is identified during mediation. Furthermore, the decision on whether to include children or not in the mediation process is linked to context, expertise, professional experience from the part of the mediator, and other related factors. As opposed to including children in mediation, most of mediators in the study listed that children should not be included in the mediation process for the following reasons such as, the unwillingness of parents to include children in mediation, the age of the child, and the psychological/emotional state of children. In conclusion, the findings show that the way family mediators address sensitive issues in the field is not only related to mediator's competence of working methods, but it is also linked to nature of conflict, and disputants' individual characteristics. However, further research is needed to determine the effectiveness of family mediation in Albania with regard to models of practice, techniques, strategies, and salient issues in the field.

**Keywords:** family mediation, conflict, dispute resolution, sensitive issues, mandatory, child inclusion

### 1. Introduction

Family mediation is proposed as an alternative approach to conflict management in couples seeking the divorce, where a third, impartial person, named mediator operates to facilitate the dispute resolution processes. According to Lisa Parkinson (1997), family mediation is a process that allows the parties to handle their own problems, unlike the approach offered by the procedural system. In other words, family mediation is an alternative system created to regulate interpersonal disputes.

Moreover, the purpose of this study is to explore the way mediators address salient issues in mediation, and how it may have an impact on resolving family disputes. The study focused on which are the mediators' perceptions with respect to a range of sensitive issues in mediation process; with regard to sensitive controversy how do mediators identify the needs of mandatory mediation; how mediators consider the inclusion of children in family mediation process; how mediators position themselves in issues such as child and spousal abuse situations in relation to mandatory mediation. This study will also look at what are the mediators perception with regard to issues linked to pathological behavior from the part of the disputants in relation to mandatory mediation.

With regard to process and practice of family mediation, this study has a great contribution in the family mediation field since it has received very little attention in general in the Albanian context. It should actually be the focus of research in the future to promote the field of family mediation to a more effective level of practice. Since there is lack of research regarding the way mediators address sensitive issues in the field, in the attempt to resolve family disputes, it is very important to generate specific data regarding mediation practice. This study may also contribute for further research within the field of family mediation regarding the mediators' working methods, including mediators' perceptions, beliefs, behaviors in relation to principles, models of practice, and mediators' roles/styles in Albania.

## **2. Literature Review**

### **2.1. Research in mediation**

Consistent with academic literature, various studies show that mediation ensures positive results for children. Furthermore, research conducted on parents who had experienced mediation showed that 58% of them believed that the mediation had helped them to protect the interests of children, while 37% thought that mediation had contributed to reaching agreements with regard to custody issues. The studies revealed that global mediation had been a tremendous help in addressing the problem of children, whereas family centered mediation focused on children, gave parents the chance to have contact with the younger son (McCarthy and Walker, 1996).

Moreover, Pearson and Thoennes (1988), in their extensive research in the US, found that mediation on issues relating to children represented an improvement over the judicial system, but could not solve all the problems during and after divorce. The researchers revealed a number of reasons to explain the fact that studies on mediation does not show significant and measurable benefits for the children. These included problems in establishing sufficiently sensitive issues, the period of time considered, and a number of other variables. Although mediation helped parents to reach decisions concerning children, and helped non-resident parents to maintain contact with them, however, the mediated agreements between the parents did not necessarily facilitated the psychological adjustment in children. The researchers concluded that the adaptation of children after a divorce depends on the interaction of many variables, including the quality of parenting, relationships between parents, family dynamics, and the environment surrounding the child, rather than the choice of parents to take part in mediation.

However, research shows that the involvement of children in mediation may produce positive effects in resolving family conflicts. Both in Britain and in other countries, it is shown that, even when the mediators support a policy that favors the direct involvement of children in mediation, only a small percentage of cases are actually involved. A Scottish study conducted by Garwood (1989) brought to light that although mediation services of Edinburgh would support a policy aimed at enhancing the participation of children, only 20% of cases were actually involved in mediation. From the mediators' point of view, the main reason for not engaging children in mediation sessions was their young age (average three and a half years). However, for parents, the most frequent reason was that they considered as unnecessary that children meet the mediator, because they felt able to talk to their children at home by themselves. Also, the study included controlled interviews with the children who had met with the mediator. Furthermore, the main modalities to involve children in mediation sessions consisted in meeting them separately without the parents. The sessions, mainly consisted of a discussion with the children, especially with the youngest ones.

The study revealed that most of the children reported that the goal for their involvement in mediation was not clear, and that for this reason they felt nervous and insecure. This seems to be the result of a lack of adequate information and explanations from the part of the mediators. Some of the children reported that they would prefer receiving a letter from the mediator. Several of them thought that the mediator should make decisions for them and for their family: two boys, aged nine and eleven years, thought that "the mediator would decide with whom they had to go to live with" (Garwood, 1989, p. 31).

Despite the uncertainty regarding their participation, almost all children considered very positive their own experience with the mediator. Saponseck (1991) commented on the lack of research conducted in the United States, and Britain about the involvement of children in mediation, and stressed out that it is important to conduct other large-scale studies, otherwise, it would be unwise to draw any conclusions with regard to the benefits of the involvement of children in mediation.

### **3. Methodology**

#### **3.1. The purpose of the study**

The purpose of the study was to develop data on the experience of mediators in order to explore the way mediators address salient issues in the field, and how it may have an impact on resolving family disputes.

#### **3.2. Research questions of the study**

Which are the mediators' perceptions with respect to a range of sensitive issues in mediation process?

Associated question 1: With regard to sensitive controversy, how do mediators identify the needs of mandatory mediation?

Associated question 2: With regard to salient issues, how mediators consider the inclusion of children in family mediation process?

Associated question 3: With regard to sensitive matters, how mediators position themselves in issues such as child and spousal abuse situations in relation to mandatory mediation?

Associated question 4: What are the mediators perception with regard to issues linked to pathological behavior from the part of the disputants in relation to mandatory mediation?

### **3.3. Research design**

#### **3.3.1. Methods**

A qualitative approach was chosen in order to answer the research questions as well as the associated research questions of the study. Furthermore, studies on qualitative research show that recently, researchers focus their attention on qualitative methods in addition to applying quantitative research methods (Denzin & Lincoln, 2000).

Even in this study of family mediation, and taking into account a complex and a sensitive issue, such as the issue of divorce, the study aims to provide a detailed picture on the actual experience of mediators in order to explore the way mediators address salient issues in mediation process from mediators' own point of view by using a qualitative method design.

The reason of why the sampling of the study consists of mediators drawn from the National Chamber of Mediation, underlines the importance of the family mediation field in which the mediators face with divorce cases at their work settings on daily bases, so that the mediators represent of a valuable resource in this research, in the attempt to fulfill the main objectives of the study. With regard to the gender of the mediators, the study consists of eight (8) female mediators and twelve (12) male mediators. Interestingly, the study shows that gender does not have an impact on the effectiveness of mediation with regard to mediators' working methods.

#### **3.3.2. Instrumentation and data analysis**

Consistent with a qualitative approach, semi-structured interviews were chosen to access the actual experience of mediators. Furthermore, the sample consisted of semi-structured interviews with twenty mediators drawn from the Albanian National Chamber of Mediators. Considering the exploratory nature of the study, the goal of the semi-structured interviews was to allow the participants the freedom to express their views with regard to specific issues in the field, and to allow them express themselves through open dialogue resulting in a narrative form of communication. Also, this type of interview takes the form of self-report measures, which exposes each participant's held viewpoints by eliciting mediators' self-perceptions, roles, behaviors, and values about family mediation.

Likewise, the purpose of these interviews was to discuss the mediators' perceptions on the effectiveness of family mediation with regard to sensitive issues, and permitted discussion about the effectiveness of mediation in resolving with conflict family issues dealing with divorce. Again, the interview questions attempted to elicit mediators' viewpoints in relation to sensitive matters, such as the issue of mandatory versus voluntary mediation, issues linked to pathological behavior from the part of the disputants in relation to mandatory mediation, the inclusion of children in mediation, and spousal/child abuse.

### 3.3.3. Sample/Participants

For the purpose of this study, a qualitative approach was chosen to access the actual experience of mediators in the attempt to generate more in depth answers from mediators who have a professional experience in family resolution conflicts. Furthermore, a crucial part of the present study is determining the sampling. It is important to highlight that before deciding what types of participants to include in a study, and what kind of information a researcher wants to collect, the main research questions of the study need to be identified and specified. Therefore, the main goal of the researcher should be clear from the start, by taking into account both the audience, and types of questions the researcher is going to include in the interviews. Furthermore, the sampling frame in the present study was purposive/judgment sampling, because it is selected based on the opinion of an expert. So, the study included mediators who have a professional experience as conflict resolution mediators. Likewise, in the judgment sampling, in the research, there is a selection of units to be sampled based on mediators' knowledge and professional judgement about family mediation, and working methods in the field.

Moreover, the sample consisted of interviews with twenty mediators drawn from the National Chamber of Mediators, that have been previously identified as working with conflict families and having an experience with family disputes matters.

In the study, (8) of them were male mediators and (12) of them were female mediators. The sample included only mediation professionals, in which most of them hold a Law University degree, mainly with backgrounds in family law, and very few of them included professionals with backgrounds in mental health etc., with years of practice ranging from one to seven years. Although, the study is primarily focused on conflict family disputes, mediators who participated in present study are also identified as having experiences on civil, commercial, and penal disputes. Furthermore, most of mediators hold a Law University degree, mainly with backgrounds in family law, and very few of them included professionals with backgrounds in mental health etc., with years of practice ranging from one to eight years.

### 3.3.4. Procedure

Furthermore, twenty interviews were conducted in the study, and their duration was for a period of six weeks (from May to July 2016). All participants in the interviews were informed about the procedures as well as the objectives of the study. They were explained their rights and, after being assured the ethical principles of confidentiality and secrecy, it was explained to them that they have the right to see the notes taken by the researcher, after the completion of the interviews. The duration of each interview lasted 35 to 40 minutes, and most of the interviews took place in the mediators' offices. Moreover, a note-taker was provided during the interviews, in order to gather information with regard to the most critical questions of the study.

The method of analysis used in this study is the management of data "manually" without using computer programs. Initially, the data collected were transcribed, and recorded manually through the interviews. Further, the researcher attempted to familiarize with all the data collected by reading and re-reading the transcripts, which served to get to know better the data and written comments prior to the left of the text. However, the transcription of interviews, keeping records and monitoring may provide a description for the study report but does not offer us further explanations. It is the competency of the researcher himself that gives meaning to data gathered by exploring and interpreting them.

## 4. Results

The purpose of this study was to develop data on the experience of mediators drawn from the Albanian National Chamber of Mediation in order to explore the way mediators address salient issues in mediation process from mediators' own point of view.

Furthermore, the views of the participants on the question of which are the mediators' perceptions with respect to a range of sensitive issues in mediation process is analyzed as the following. Also, four associated questions are emerged during the study in which mediators were asked how do they identify the needs of mandatory mediation.

Moreover, the mediators were also asked how they consider the inclusion of children in family mediation process, and what they thought were the most crucial factors related with the children's divorce adaptation. Last but not least, to the respondents was posed the question of how they position themselves in issues such as child and spousal abuse situations with regard to mandatory mediation. Finally, the mediators were also asked what are their perception with regard to issues linked to pathological behavior from the part of the disputants in case of mandatory mediation.

Consider the following mediators' dilemma on whether mediation should be voluntary or mandatory in practice:

*I believe that mediation should be on a voluntary basis only. Mediation is an alternative itself, but in order to become an alternative it has to be known, and it has to become a cultural choice, and for this we need time. So, at some point, I agree that mandatory mediation should be applied in specific cases of divorce.*

Another important theme emerged during the study in which mandatory mediation may produce negative effects on the mediation process where manifested physical and psychological abuse is present during the process. Consider another lawyer mediator's comments in favor of voluntary mediation as opposed to mandatory mediation:

*First, I do not think that mandatory mediation should be regulated by law in Albania, since not all the divorce cases are suitable to mediation. For example, the mandatory mediation is not a successful practice in cases where manifested physical or psychological violence, especially towards children or persons with disabilities is evident during the mediation process. Second, I think that all the disputing parties are free to enter the mediation, and they are also free to withdraw from the mediation process at any time they want to.*

Consider another lawyer mediator's comments in favor of voluntary mediation as opposed to mandatory mediation where manifested physical or psychological violence is screened:

*Since mediation is an alternative itself, and as such, it should be on a voluntary basis only. My professional experience as a mediator demonstrates that mandatory mediation is not the right alternative to resolve disputes when faced with spousal/child abuse situations. There are specific divorce cases which cannot be mediated. In this context, mandatory mediation is not the right solution. I strongly believe in the free will.*

In addition, applying mandatory mediation in practice, could possibly damage or fail the mediation process itself, if divorce cases linked to pathological behavior from the part of one of the disputants is identified during the process. In this case, mandatory mediation would not result efficient in terms of achieving an agreement where one of the disputants may be previously diagnosed with a personality disorder or/and other pathological disorders as well. Consider the following mental health mediator's comments regarding the risks of the mandatory mediation in practice:

*I think mandatory mediation may fail the process of mediation itself where pathological behavior is manifested during the mediation sessions. In such cases, I would stop the procedure, and suggest to the individual who displays symptoms of pathological behavior to meet a mental health expert. You can't pretend for the parties to assign an agreement, if one of them is previously diagnosed with narcissistic personality disorder, for example. That won't be reliable.*

Similarly, consider another mediator's comments as the followings:

*I believe that mandatory mediation could produce negative effects only, especially where cases of manifested pathological behavior is present. I am not a mental health expert myself, but even though disputant's pathological behavior is not present at first, again, manifested power imbalances issues emerge in mediation, where one of the disputants attempts to dominate the other. Instead, I am in favor of voluntary mediation.*

With regard to mediation as voluntary or mandatory, consider the mediator's perceptions on viewing the mediation itself as staying in the middle of two:

*I think that mediation should be on a voluntary basis only. Nevertheless, I think that some sort of mandated elements, depending on the context and the cases mediated, should be taken in consideration. I recommend a mandatory first session of mediation, because this may help the disputing party to get information about the mediation as a process. Then the process should be voluntary. In such conditions, the disputing parties are free to choose whether to enter the mediation or not.*

Similarly, another mediator expresses his views regarding voluntary versus mandatory mediation as staying in the middle of two:

*Well, I am in favor of voluntary mediation, but it depends on the willingness of the mediators to inform their clientele about the nature, and the process of mediation as an alternative for family disputes. However, I suppose that some mandatory elements should be taken into account, and implemented as well, specifically in the first sessions of mediation.*

Interestingly, one of the mediators expresses his direct views as being in favor of mandatory mediation as opposed to voluntary mediation, mainly linked to custody issues:

*I am actually aware of the fact that mediation itself needs time to become a culture in our country, but I still believe that if mandatory mediation takes place, then it could positively contribute to the effectiveness of family dispute resolution in general, it mainly helps the parents solve custody issues, especially where their mutual interest are their children, and it contributes to the increase on the number of mediated cases. Not every judge refers the cases of divorce to mediation, although the law provides for both types of mediation, voluntary and mandatory.*

In addition, the mediators were also asked how they consider the inclusion of children in family mediation process, and what they thought were the most crucial factors related with the children's divorce adaptation.

Furthermore, important themes emerged during the study highlighting the relationship between mediators' professional background, styles, models of practice and the decision of the child inclusion in the mediation process. Consistent with the academic literature, the study shows that the mediators' perceptions on the controversy in favor or opposed to including children in mediation explain why some mediators who adopt the facilitative mediation disagree with the child inclusion in mediation. On the other hand, those mediators who adopt another kind of model (transformative) and who are particularly sensitive on child issues, are in favor of including children in mediation. The study shows that few of the mediators agree that the participation of the child in the mediation process could emotionally benefit the child and have a positive impact on the outcome. Consider the following comments of a mediator who is in favor of child inclusion in mediation:

*I think that children have to be aware of what is actually happening. They need to be informed of their parents' dispute and the divorce situation. I am quite sure that children experience feelings of confusion during the stages of divorce, and they should be helped by getting the right information with regard to their parents' agreement.*

Consider another example where the mediator's views on the child inclusion in mediation coincides with her professional background as a psychologist:

*Since the phenomenon of divorce produces in children more the experience of feelings than the thoughts, I think that children's feelings and needs should be listened and they should have a voice in the process. By participating in the process, children can be helped adjust emotionally, and have an awareness of how to cope with conflict.*

As opposed to including children in mediation, most of mediators in the study agree that children should not be included in the mediation process for the following reasons listed below. Furthermore, major themes emerged during the study, such as the unwillingness of parents to include children in mediation, the age of the child, the psychological/emotional state of children, the appearance of symptoms of stress to the child created as possible manipulation from the part of the parents. Taking into account mediators' perceptions on not including children in mediation, most of them agree that these salient factors, may cause the failure of the mediation process itself. Consider the following mediators' comments:

*I think there are specific circumstances in which children should not participate in the mediation process. If parents do not wish to bring their children in mediation, and they certainly want to resolve their problems by their own without involving them, then there is nothing to do. If children are involved in the process against their parents will, then this wouldn't work. Instead, they may feel not free to talk about.*

Furthermore, consider another mediator's perceptions who does not support the idea of including children in mediation as linked to the inappropriate age of the child to deal with legal issues:

*I do not think that children should be included in mediation, since a child is not prepared to understand the dynamics of law, and talk about legal issues. Instead, a child needs more of psychological support in order to face with the consequences of divorce.*

Similarly, another mediator does not support the idea of including children in mediation because of their age:

*I do not think that children should participate in mediation sessions. They are not psychologically matured enough, and also they are not emotionally prepared to face with custody related issues. Besides, mediators should be trained enough to include children in mediation.*

Furthermore, family and social factors may contribute to the non inclusion of children in mediation as one of the mediators explains as the followings:

*I think that including children in mediation could not work, since children might be manipulated or influenced by their parents, or by one of their parent's family of origin to such an extent that it could not lead to the effectiveness of resolving family conflicts.*

Interestingly, another mediator expresses his ideas with regard to the inclusion of children in mediation as staying in the middle of two: his willingness to include children in mediation, and his sceptical views on the benefits that mediation could produce for children.

*From the one hand, I think that children could benefit from mediation, since they face with social as well as psychological post divorce consequences, and this could help them a lot. On the other hand, I doubt that mediators practice it, since we haven't yet developed a culture and practice of family mediation in Albania.*

Similarly, another mediator expresses his views with regard to the inclusion of children in mediation as staying in the middle of two:

*I think that children should participate in mediation up to ten years of age in joint sessions with their parents. In these cases, I suggest that a follow up after mediation should be done, even if the case has not settled. However, I barely believe that the participation of children in mediation could produce any effects in the attempt to negotiate.*

In addition, another mediator suggests that the inappropriate age of the child does not guarantee reliability in terms of parental custody due to child immaturity. Consider the following example:

*I think that the age of the child is a crucial factor, which in my views it strongly determines the effectiveness of mediation. Even if the child is more than ten years old, he or she is unable to discuss custody issues, and this may negatively contribute to the creation of confusion in parents by not reaching an agreement at the end of the process.*

Moreover, the emotional/psychological state of the child due to parental disputes linked to the divorce, is another crucial factor which does not support the idea of including children in mediation. Consider the following comments:

*I believe that a child who is feeling anxious and stressed due to factors related to divorce, and he is feeling anxious about talking to a mediator, is not able to get focused on custody related issues.*

Furthermore, consider another mediator's perceptions in relation to cases when children might be manipulated by their parents to such an extent as to cause significant stress and anxiety to their children:

*From my own experience as a mediator, there are parents in which behave in a very egocentric way by focusing themselves in their positions rather than focusing on the best interest of the child. They are not able to differentiate their own needs from their children's needs and wishes. I do not think that in such cases, children may be included in the mediation process.*

## **5. Discussion**

Furthermore, the views of the participants on the question of which are the mediators' perceptions with respect to a range of sensitive issues in mediation process is discussed as the following. Also, four associated questions are emerged during the study in which mediators were asked how do they identify the needs of mandatory mediation.

Moreover, the mediators were also asked how they consider the inclusion of children in family mediation process, and what they thought were the most crucial factors related with the children's divorce adaptation. Last but not least, to the respondents was posed the question of how they position themselves in issues such as child and spousal abuse situations with regard to mandatory mediation. Finally, the mediators were also asked what are their perception with regard to issues linked to pathological behavior from the part of the disputants in case of mandatory mediation.

It is interesting to consider the experience of mandatory mediation in countries like New Zealand, and the US, in order to see to what extent it confirms the theory, widely accepted, that the mandatory mediation would be ineffective, or would result in an unacceptable pressure on disputants. Mandatory mediation in the United States is mostly concerned with children-related issues. The court-ordered mediation to Los Angeles Conciliation Court is been considered as satisfactory and efficient, (from an economic standpoint) in defining child custody and visitation disputes. So, in 1981, the California puts a law in which, it requires to the divorcing parents to enter the mediation sessions before going to the court. Furthermore, the mandatory mediation was perceived as a justified attempt to resolve the conflicts on children. Its

application in California, created lots of controversy (Grillo, 1991; Rosenberg, 1992). The researchers sought to determine how parents were experiencing the process, and if they felt satisfied with the outcome of mediation.

In 1992, in an important study on mediation, there was obtained information from a sample of participants equal to 83% of all mediation sessions (1.700) conducted in a two-week period. The cases addressed in mediation included high rates of violence domestic, child abuse and substance abuse. The mediators reported that 79% of the sessions dealt with difficult issues, and 71% dealt with high levels of emotional distress. Despite these problems, more than 80% of parents perceived the mediation sessions as positive. Moreover, the participants reported of not being pressed by the mediator, whereas the mediators determined as productive as 76% of the mediation sessions.

American researchers revealed strong public support for the mandatory mediation with regard to those who had participated in the study. At least 85% of those who had reached the agreements were in favor of mandatory mediation, and still 62% of those who had not reached agreements reported that mandatory mediation is probably necessary to resolve family disputes.

Coming to the actual study on family mediation, as regards whether mandatory family mediation, in its mitigated form or not, is one of these successful practices in Albania, the law provides for both types of mediation, voluntary and mandatory. Voluntary mediation can be undertaken by the disputing parties at any time and/or stage, regardless of whether a court proceeding has already started (art. 2.1). However, once a court proceeding is initiated, the judge must orient the parties towards mediation, especially for family law disputes and those where interests of children are at stake. The judge must refer to mediation also those cases where a mandatory reconciliation meeting is provided for under the Albanian *Family Code* (art. 4). This serves to confirm that reconciliation and mediation are two activities separate and independent from each other.

Regarding the debate whether mandatory mediation is one of these successful practices for solving family disputes in contrast to voluntary mediation, the findings suggest that most of the mediators agree that mediation should only be on a voluntary basis. Most of them disagree with mandatory mediation, since it may have a negative impact on mediation, where possible manifested physical or psychological abuse is screened during the mediation sessions.

The study also shows that most of the mediators are not in favor of mandatory mediation, since it may contribute to the failure of mediation, especially where dispute cases related to pathological behavior (for ex., personality disorders) from the part of one of the disputants is identified during mediation.

Few of the mediators view mediation as staying in the middle of two, and agree that although mediation is an alternative itself, mandatory mediation should be applied in specific cases of divorce, since mediation has not become a cultural choice yet from the parts of the disputants.

Consistent with the academic literature, research shows that the involvement of children in mediation may produce positive effects in resolving family conflicts. Both in Britain and in other countries, it is shown that, even when the mediators support a policy that favors the direct involvement of children in mediation, only a small percentage of cases are actually involved. A Scottish study conducted by Garwood (1989) brought to light that although the mediation services of Edinburgh would support a policy aimed at enhancing the participation of children, only 20% of cases were actually involved in mediation. Despite the uncertainty regarding their participation, almost all children considered very positive their own experience with the mediator.

Coming to our study, the decision on whether to include children or not in the mediation process is linked to the context, the expertise, and the professional experience from the part of the mediator. In addition, taking into account of what is "the best interest of the child" also is linked to the style and the model of practice from the part of the mediator. As Wallerstein & Kelly (1980) suggest, mediation is a process in which the disputing parties are invited to negotiate and therefore settle an agreement for their best interest without involving children in their disputes. Similarly, the findings show that mediators who adopt the facilitative approach, are less likely to include children in the mediation, suggesting that the disputing parties are invited to settle an agreement for their best interest without the involvement of children. On the other hand, Lansky (1996) points out that mediators from a mental health background are more likely than lawyer mediators to include children in mediation. Finally, the decision on whether to include children or not in the mediation is culturally determined. According to Saposneck (1991), not all the cultures support children's rights to enter a mediation session, since in some countries the children's needs and wishes are satisfied by their own parents, whereas other cultures support the autonomy of the child to decide by his/her own.

Furthermore, the study also highlights the importance of the relationship between mediators' professional background, styles, models of practice and the decision of the child inclusion in the mediation process. Consistent with the academic literature, the study shows that the mediators' perceptions on the controversy in favor or opposed to including children in mediation, explains why some mediators who adopt the facilitative mediation disagree with the child inclusion in mediation. On the other hand, those mediators who adopt another kind of model, and who are particularly sensitive on child issues, are in favor of including children in mediation. The study shows that only two (2) out of twenty (20) of the mediators agree that the participation of the child in the mediation process could emotionally benefit the child and have a positive impact on the outcome.

As opposed to including children in mediation, most of the mediators in the study listed that children should not be included in the mediation process for the following reasons such as, the unwillingness of parents to include children in mediation, the age of the child, the psychological/emotional state of children, the appearance of symptoms of stress to the child created as possible manipulation from the part of the parents. Taking into account mediators' perceptions on not including children in mediation, most of them agree that these salient factors, may cause the failure of the mediation process itself. Specifically, most of the mediators emphasized that the inappropriate age of the child does not guarantee the effectiveness of mediation in terms of parental custody.

Finally, when it comes to salient issues in mediation, the findings suggest that with regard to disputes' characteristics in the attempt to solve salient matters, most of the participants identified as crucial in their work the children focused issues, power imbalances issues, conflict escalation of the disputes, and parties' cooperation in reaching an agreement.

## **6. Conclusions**

The findings of the study provide an empirical evidence of family mediation practice in Albania analyzing the factors and features affecting mediation in terms of the way mediators address problematic issues in mediation.

As regards to sensitive issues, most of mediators disagree with mandatory mediation, since it may have a negative impact on mediation, where possible manifested physical/psychological abuse is screened, and possible manifested pathological behavior is present. Only few of them view mediation as staying in the middle of two, and agree that although mediation is an alternative itself, mandatory mediation should be applied in specific cases of divorce, since mediation has not become a cultural choice yet from the parts of the disputants.

Furthermore, the findings show that the decision on whether to include children or not in the mediation process is linked to the context, expertise, and professional experience from the part of the mediator. In addition, taking into account of what is "the best interest of the child" is also linked to the style and the model of practice from the part of the mediator. The study shows that only few of the mediators agree that the participation of the child in the mediation process could emotionally benefit the child and have a positive impact on the outcome. As a result, this brings about the necessity for the mediators support additional training before they involve children in mediation.

However, it is impossible to conceive a search that can measure the intrinsic value of the mediation process, because it is too complex and includes too many factors.

Interestingly, during the eighties, the researchers evaluated the mediation especially in terms of percentages in reaching agreements, and the disputants levels of satisfaction. Nowadays, there is more attention to the outcomes in the long term, to different aspects of the role of the mediator, and to models of practice currently in-use. Moreover, some researchers argue that mediation should consider long-term sessions for disputants, rather than focusing on the resolution of the dispute in the short term (Walker and Hornick, 1996). Is it reasonable, however, to expect the mediators resolve the conflicts that accompany the double failure, address the needs of children, attempting to resolve the financial and property disputes, and also individually assist disputants in their long-term psychological recovery? If one agrees to all of these objectives, then, this produces important implications for the preparation of the mediators, and the level of funding needed. From the other hand, may the mediation outcomes justify the continued commitment to its further development?

In conclusion, in terms of mediation in general, and family mediation in particular, trying to provide unifying principles for a multitude of countries is, at the very least, challenging. Having different perspectives from different realities may help in identifying practices that have in common the potential for being successful, by developing clarified practice models, and new strategies which may enhance the efficiency of mediation, despite the nature of conflict, individuals' characteristics, and problems in general. However, having a good and clear regulatory framework is the first step to creating and developing

a culture and practice of family mediation. Finally, having a clear idea in creating new strategies of practice, and training qualifications for mediators to specifically enable them address a variety of salient issues in the attempt to solve family conflicts, requires not only the legislative willingness to change, but also the implementation of these mediation standards of practice in the field.

Also, a more clarified classification of the models/eclectic approaches to practice is needed, when taking into account nature of conflict, parties' individual traits, power imbalances issues, parties' communication/negotiation skill level, social/cultural aspects etc, and also when present sensitive issues need to be appropriately addressed in practice from the part of the mediators. Consequently, having a more sophisticated strategy for resolving family disputes, this could enhance the efficiency of positive outcomes in mediation.

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## Cuisine and Dishes in Use During the Prophet Muhammed Era (A.D. 569-632)1

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### Abstract

Each society has a unique cuisine and taste which has been developed over time. Furthermore, each region and climate offer different options, health and life perception varies in each society. In the Arabian Peninsula where The Prophet Muhammad lived, cuisine was shaped according to the region, climate and life perception according to conditions of the era. Indeed, The Prophet Muhammad was a human being lived in Arabian region. He was in close relation with his own society's cuisine in terms of personal taste before he conveyed the Islamic religion. Islam as a religion has contributed to daily life of people in terms of different point of views beside perception about world blessings. In this text, variety of foods consumed in Arabian Peninsula, distribution of these according to types and variety of dishes, pots and pans that were used during The Prophet Muhammad era was mentioned. This study aimed to enlighten whether religion has an influence on cuisine and Islamic religion suggests a life devoid of food and drink.

**Keywords:** The Prophet Muhammad, Cuisine, Foods, Dishes, Arabian Kitchen.

### 1. Introduction

The Prophet Muhammad who described provision of after death (zād al-āhīrah) as the most beneficial of all provisions did not recommend a path without eating and drinking. He did not approve imitation of Cristian and Buddhists priests who kept themselves away from some foods. He preferred to eat everything he liked in the frame of halal foods (Islamic dietary laws by Allah which control the preparation of foods) and the potential of the era.

The most surprising thing for nonbelievers of Muhammad in Meccan society was that the prophet who had been sent them ate and drank (Qur'ān, Furqān 25/7, 20). The foods which had place in The Prophet Muhammad's table were as follows:

### 2. The Foods in Cuisine of Muhammad's Era

#### 2.1. Meats

The Prophet Muhammad talked about meat as precious meal of both this world and after death. At that era, meat from camel, sheep, goat and cow was consumed. The most consumed meat among Arabs was certainly from camel. In addition to what was mentioned, meat from rabbit, chicken, bustard and fish was utilized. The Prophet Muhammad liked forelimbs of sheep and preferred this part over others. It was reported that he took the cooked forelimbs and ate with hand (Ibn Māja, At'ima, 27, 28; Tirmidhī, At'ima, 33; Abū Dāwūd, At'ima, 21).

The viscera from animals was consumed too. The liver from sheep and camel was one of the favorites. The Prophet Muhammad ate the liver of a slaughtered sheep with bread. He also liked cooked brain served to him. Aisha, his wife, reported that they buried trotter to preserve them and unburied them to prepare dish (Bukhārī, At'ima, 5; Muslim, Zakāh, 52, 54; Ibn Māja, At'ima, 31; Shāmī, VII, 297).

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<sup>1</sup> This article was produced from the unpublished master thesis called 'The Cuisine in Muhammad's Era' (Sakarya University, Institute Social Sciences, Sakarya 2007) written by Sevim Demir Akgün and supervised by Prof. Dr. Levent Öztürk. )

They were familiar to fish however it was not consumed often. It was mentioned in *Sif al-Bahr* (Habat) Sariyyah (A.H. 8/A.D. 629) that pieces of a whale casted up the shore was dried and served to The Prophet Muhammad and he ate this meat (Ibn Sa'd, III, 411; Nasāī, Said, 35).

Among the dishes with meat, *tirīt* was the most favorable, The Prophet Muhammad called it as the king of the dishes. *Tirīt* was a dish with bread socked in broth. Sometimes, big pieces of meat was added. *Tirīt* with meat was also served to The Prophet Muhammad. *Tirīt* could be prepared with butter too. The mother of Zaid ibn Sābit prepared *tirīt* with butter for The Prophet Muhammad when he arrived to Madīnah (Ibn Sa'd, III, 614; Abū Dāwūd, At'ima, 23; Shāmī, VII, 305).

Meat used to be fried on the fire. The Prophet Muhammad also liked fried camel meat. Sometimes, pieces of meat was cooked in the smoked fire. Meat was served boiled too. Putting into vinegar was a way of preserving meat for longer times. During hijrah, a dish which its meat was kept in vinegar, was served to The Prophet Muhammad. Meat cooked with cracked wheat (*cashīsh*, *bulgūr*) was a kind of dish that The Prophet Muhammad liked. Meat was marinated with salt, vinegar and spices for preserving long time. The Prophet Muhammad described himself as a son of mother who ate dried meat and he liked dried meat (Ibn Sa'd, IV, 312; Ibn Māja, At'ima, 30; Shāmī, VII, 234, 302).

## 2.2. Vegetables

Vegetables also took place in The Prophet Muhammad's table. Zucchini, onion, chard, garlic, leek, mushroom and turnip were among them. A tailor from Madīnah prepared a dish with meat and zucchini. The Prophet Muhammad preferred the zucchini in this dish and host put zucchini close to The Prophet Muhammad (Bukhārī, At'ima, 25, 37; Ibn Māja, At'ima, 35; Ahmad ibn Hanbal, III, 108, 174, 160, 204, 264).

A dish prepared with chard and barley without any meat or oil was a favourable dish eaten by Muslims from Madīnah after Friday (Jumu'ah) prayer (Bukhārī, At'ima, 17; Jawād Ali, VII, 60). It was mentioned that the last meal eaten by The Prophet Muhammad was cooked or fried onions. Onion, garlic and leek were also consumed raw. However, it was recommended not to attend prayers after eating those. It was asked not to disturb people with the odor from these foods (Bukhārī, At'ima, 49; Ahmad ibn Hanbal, VI, 89; Shāmī, VII, 262; Jawād Ali, VII, 61).

Arabs liked a dish called *hais* prepared by mixing dates, oil and curd. It was a very practical dish. In return from Haibar (A.H. 7/A.D. 628), *hais* was the dish served in The Prophet Muhammad's wedding feast (Bukhārī, At'ima, 7, 16, 28; Ibn Manzūr, VI, 61).

## 2.3. Breads

Bread made from barley consumed more frequently. Wheat was an expensive grain. It was brought by grain producers or traders from Nabatians, Syria. Not everyone could afford to buy it (Jawād Ali, VII, 58). Abū Huraira reported that there was not bread made from wheat in The Prophet Muhammad's table and Anes ibn Mālik reported that he did not witness The Prophet Muhammad's eating this kind of bread. The bread made up of wheat was soft but the bread made up of barley was stiff (Ibn Sa'd, I, 404; Bukhārī, At'ima, 7; Ibn Māja, At'ima, 45, 49).

## 2.4. Soups

Soup was widespread dish among meals. *Cashīsha*, *Hazīra*, *Harīsa* and barley soup with chard were frequently consumed soups. *Cashīsha* was made up of grinded grain with meat or dates. *Hazīra* was cooked by adding fine flour to water. *Harīsa* was known as flour soup with oil and meat. There were kinds of soup in which vegetables such as chard was included. Sometimes the flour was fried and a slurry obtained by adding water. This kind of soup was called *sawīq*. Sometimes milk was also used instead of water. Occasionally, suet was used too (Khalīl ibn Ahmad, I, 483; Abū Dāwūd, Adab, 103; Ibn Manzūr, VI, 273; Shāmī, VII, 304).

## 2.5. Sugar and Deserts

During The Prophet Muhammad's time, sugar from sugarcane was consumed, sugar and almond were littered around the guests during weddings. Manna which has been a secretion from a tree from Sinā, Syria and the Euphrates basin were brought to Madīnah (Haisamī, IV, 53; Ibn al-Jawzī, I, 147; Kettānī, II, 270).

A desert prepared by mixing dried dates with milk was liked by The Prophet Muhammad. With no doubt, honey was mostly consumed desert (Bukhārī, At'ima, 32, Tibb, 4). A desert prepared with flour, oil and honey called *fallūzaj* was from foreign cultures. His friend Usmān, the forth caliph, introduced this desert to the people of Madīnah and Arabs liked it a lot. He

was a merchant and barrowed this desert from Sassānid's kitchen. Dates were also added as ingredient to this desert by Arabs. This desert was prepared by Usmān and served to The Prophet Muhammad and he liked it (Tabarānī, XVII, 336).

## 2.6. Fruits

Dates were mostly consumed fruit. Water melon, melon, grape and quince were common too. Peach, pomegranate, mulberry and fig were also reported to be consumed. Nuts such as peanut and almonds were also known in Madīnah. The Prophet Muhammad neutralized the sweetness of dates with gherkin (Ibn Māja, At'ima, 38; Tirmidhī, At'ima, 35; Shāmī, VII, 310, 319, 321, 322).

## 2.7. Eggs and Dairy Products

The Prophet Muhammad once ate egg from ostrich. In Madīnah, the chicken strolled around in the streets. With no doubts, egg from chicken was an important food stuff. Cheese was not known in Madīnah however, curd was consumed. The Prophet Muhammad ate a kind of fermented cheese which had been produced in that region during Tabūq excursion (A.H. 9/A.D. 630) and he liked it. Milk from camel, sheep and goat were mostly consumed and they were consumed raw. Milk run off in hot days were mixed with water to make it easy to drink (Ibn Abū Shaiba, II, 418; Abū Dāwūd, At'ima, 39, Tibb, 20; Shāmī, VII, 306).

## 3. The Tools Utilized in the Kitchen of Muhammad's Time

When we consider Kitāb al-Zuhd (Islamic Asceticism: a part of hadiths book) alone that we encountered in the hadith culture, it is possible to think that a cuisine was not established at that time. However, when hadith corpus was investigated as a whole, it is obvious that the cuisine was formed in relation to the demands and the opportunities that shaped according to the tradition. In this context, tools for cooking and preparing drinks had a crucial role. They were mentioned as follows in accordance with some headings:

### 3.1. Plates

During The Prophet Muhammad era, vessels with different dimensions were utilized for consuming foods. Among these vessels, dasi'a, jafna, qas'a, maktala, safha, faiha and sukurruja were some examples.

Dasi'a was a vessel to serve big amount of foods. Twenty people could eat from this vessel (Ālūsī, I, 387).

Jafna was a vessel for feeding seven to ten people. Dough could be mixed in this vessel also and it was used for soup (Khalīl ibn Ahmad, I, 93; Ibn Sa'd, I, 388, III, 614).

Qas'a was a vessel feeding four people and maqtala was for two to three people (Ibn Māja, At'ima, 10; Ālūsī, I, 387; Jawād Ali, V, 66). Safha and faiha were small vessels only for one person (Khalīl ibn Ahmad, II, 971, III, 1427; Ālūsī, I, 387). There are some opinions supporting the idea that these vessels were for two or three people. Sukurruja was the smallest in dimension. It was used for snacks (Ālūsī, I, 387).

### 3.2. Pots

The names such as mirjal, burma can be encountered in the texts. Mirjal was a copper vessel. Copper vessels were used to reserve water however because of the odor from copper vessel, it was not recommended to perform al-wudū' with the water from this vessel. It was possible that there were no tinning practice therefore poisoning was possible (Jawād Ali, V, 65; Akgün, p. 58).

Garra was a big vessel with handles carried by four people. Meat such as from sheep was cooked in this vessel. Burma was a basalt saucepan used for cooking. Stone pots made up of basalt rocks which were revealed in archaeological excavation in Yaman's Faw region were used in several regions of Arabian Peninsula. Qidr al-Musahhana was this kind of pots coming from that region (Abū Dāwūd, At'ima, 17; Akgün, p. 58).

Crockery with green glaze called Hantam or Jarr al-Ahdar were brought from Yaman and Egypt. There were also crockeries called buram and saidan (Abū Dāwūd, Ashriba, 9; Akgün, p. 58).

### 3.3. Leather Bottles

Leather bottles formed by stitching feet and head parts were used to preserve goods such as water, honey, fat. Ukka, misāb and badī which were used to preserve butter, curd and dried curd were main types of leather bottles used for

preserving goods. Ukka was small in dimension for butter and honey. The vessels called haifa and misāb were used for honey. Haifa was narrow on the top and wide at the bottom and made up of leather. Misāb was also from leather (Tabarānī, XXV, 120; Ibn Manzūr, IX, 101, X, 468).

Leather bottles were made up of tanned leather from several animals and fat was preserved in it. One of the animals whose skin was utilized was lizard. The Prophet Muhammad did not like meat from lizard. Moreover he did not like things preserved in lizard's skin. He asked about the origin of butter in the bread which was served to him and when he learnt that the butter was preserved in lizard's skin, he preferred not to eat this bread (Ibn Māja, At'ima, 47).

### 3.4. Water Vessels

Although Arabs gave special names for vessels for preserving water, these vessels were also used for eating. As an example nabīz was preserved in the same vessel used for water and sometimes suet was preserved also in it. The vessel that contains water enough for twenty people, was called tbn or tebn. Sahn was smaller in dimension than this one. The water vessel for three or four people were called uss. Goblets were deep and it reserved two or two and half times more water than today's goblets. Qa'b was enough for only one person. Gumar was the name given to the smallest of water vessels (Ālūsī, I, 394; Akgün, p. 60).

In Arabian Society, vessels made up of gold and silver existed. In the Qur'ān, gold (Zuhuf 43/71) and silver (Insān 76/15) goblets were mentioned. The Prophet Muhammad recommended not to eat and drink from gold and silver vessels. These were replaced by goblets commonly from wood and rarely from glass because of its expense in daily use. The Prophet Muhammad had a glass goblet (Muslim, Libās, 1, 4; Ibn Māja, Ashriba, 27; Nasāī, Zīnah, 87).

The water vessels made up from wood were also called jumjuma. Wooden water vessels were made up of tamarisk or nudar. Nudar was softened by burying under the soil and carved to obtain the goblet. These were dehydrated by the time and cracked. This kind of water vessel used by The Prophet Muhammad were inherited to Anes and passed to his daughter from Anes. Anes served water, milk, honey syrup and wort to The Prophet Muhammad by it. Because this water vessel cracked, Anes filmed its surrounding with silver. Some of these vessels had iron handles to hang on the wall to make sure that any kind of insects did not fall into them (Bukhārī, Ashriba, 29; Ibn Māja, At'ima, 27; Ahmad ibn Hanbal, III, 247).

Some of the wooden vessels were made up of date's trunk. A vessel called naqīr which was carved from trunk was mostly used to prepare wort. When wort was kept in this vessel few days, the rate of alcohol was increased. Therefore at first The Prophet Muhammad prohibited to prepare wort in this vessel but later he allowed in case of paying attention to the duration of keeping in this vessel (Muslim, Ashriba, 6; Ibn Māja, Ashriba, 14; Tirmidhī, Ashriba, 5, 6).

During traveling, water vessels from leather were used because it was easy to carry and keep. These were generally called qībah. These were made up by tanning the skin from slaughtered or hunted animals. The dimensions varied according to the need. Some of them were made with the skin of animal as a whole by modeling feet parts as pacifier. Some of them were made by dividing the skin into smaller parts (Ibn Māja, Ashriba, 13; Ibn Kathīr, VI, 104; Shāmī, VII, 364).

Big leather bottles were utilized in the region since Jahiliyya Period. It was mentioned in narratives that Abd al-Muttalib and his sons served water in a pool made up of leather to the pilgrims who came to Qa'bah and they even added some grapes to the water to aromatize it. Most probably, leather was supported from sides and fixed onto a basis to obtain a wide mouthed water vessel. These were called shacb. During traveling, water vessel made up of half of a camel skin were used (Ibn Sa'd, I, 83, VIII, 319; Ibn Hajar, VIII, 248).

Some vessels were made up of ceramic. Vessels in red colors existed. The color came from the soil they made up of. The green and white color vessels were also mentioned in narratives. These were bituminized from outside to make them resistant to be broken. They were called muzaffat or muqayyar (Shāmī, VII, 362; Ibn Hajar, IV, 417).

The vessels were also made up of gourd. These vessels called dubbā' and qar' were in the shape of cantharus. The wort was preserved in them. This may cause formation of wine. Therefore, The Prophet Muhammad prohibited to preserve wort in vessels such as dubbā' (Muslim, Ashriba, 6; Tirmidhī, Ashriba, 5). The names of water vessel which were encountered in the texts were idāa, zekwa, ziqq, and ka's (Khalīl ibn Ahmad, I, 72, II, 756, 757, III, 1547).

### 4. Conclusion

The Prophet Muhammad who was described as a person who ate and drank in Qur'ān made the best use of every provisions offered by his environment. Occasionally, he did not personally prefer some foods. He obeyed the prohibitions

from Allah such as not drinking alcohol and not eating pork, and meat slaughtered not in the name of Allah. It was understood that most prominent foods in Arabic Peninsula in context of cuisine were meat, milk and some vegetables. It was concluded that wheat was consumed rarely however barley was the mostly used grain. It was determined that the meat were fried, boiled or marinated and milk was consumed raw, the most prominent vegetables were mushroom, zucchini and chard. The tools used in the kitchen varied richly according to the needs.

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## Syntax overview at units' level: Syntagma, sentence, phrase, and some correlations with the order of Greek-Albanian constituents in Th.Mitko's Phrase Book (1887-1888)

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### Abstract:

In the article "Syntax overview at units' level: Syntagma, sentence, phrase, and some correlations with the order of their Greek-Albanian constituents in the tri-lingual Talking Dictionary of Th. Mitko", **the author, pedagogue of the Modern Greek Language in the University of Tirana**, dr. Elvis Bramo, brings the level of the language as the main topic of this research, that is the syntactical level, starting from the syntagma unit (as a building unit), different types of sentences, some phrases with predicative components, and some bilingual segments: Albanian-Greek, to identify several peculiarities of word order. This comparative study between the two languages ( the Talking Dictionary has been compiled in three languages) aims at achieving some partial conclusions about the construction of the syntagma, their types as far as syntax connecting ways are concerned, and the valences that merge them into classes of words; It aims to identify the types of sentences with the grammatical elements of the question, with question words, with the denial grammatical tools, as well as the characteristics of the verbs as the heart of the syntactical organization in the communicated unit-phrase. Regarding the phrase (period), dr. Bramo has pointed out the relationship of the phrasal components merging, their functioning together with their thematic and rematic role, on the basis of the Prague School. The language research from this viewpoint of Th.Mitko's work, one of the most famous Albanian folklorists, has also brought in a comparable plan some models of syntactical phrasal and compound structures, to show that although the Greek and the Albanian languages are natural languages with a free word order (SVO), they do have parametric changes regarding the constituent parts of the sentence, particularly in the connoted constructions.

**Keywords:** Mitko, folklorist, tales, folk songs, collect, language, light, to lose, religion, tribe, brothers, albanian, greek, civilisation, glory, nationality

### Introduction

Thimi Mitko has without doubt been among the first elaborators of the Albanian language, not simply because he joined the early collectors of folk oral creativity, otherwise known as a precious national treasury of the mother tongue, but above all, for being part of the heritage with his authentic lexicographic works, such as the Tri-lingual Talking Dictionary, prepared and published two years ago. <sup>1</sup> For his contribution not only in folklore, but also in the Albanian language, particularly in the field of lexicography, the scholars have classified him in that group of writers called *the southern orthodox district*, <sup>2</sup> who have used the Greek alphabet.

With the reprinting of his main work "The albanian bee" in 1924, in Vienna, by dr. Gjergj Pekmezi, Mitko's name became further known among the foreign Albanologists, who have also made him a subject of recognition and study. Suffice to mention here the high appreciation of the great renaissance man, Jeronim de Rada, who was among the first Arbëresh that got acquainted with his work, and published it in his newspaper, *Fiamuri i Arbërit*; (Arber's flag); saying that the collector of "The albanian bee" had realized that *un popolo non può uscire dalla barbaria se non coltivando la lingua a se nativa...*<sup>3</sup> A nation can not throw off the barbarian yoke, unless it cultivates the native tongue ... Albanian historians have asserted that the Italian-Greek-Albanian Tri-lingual Dictionary of Mitko has come to serve as an approaching, cooperation and friendship

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<sup>1</sup> Sala, Shpëtim: **Italian-Albanian-Greek Dictionary** (Transliteration and Albanian Dictionary) II, West Print, Tiranë, 2013.

<sup>2</sup> The same author, the same book, p. 446.

<sup>3</sup> Sala, Shpëtim: **Italian-Albanian-Greek Dictionary** (Transliteration and Albanian Dictionary) II, West Print, Tiranë, 2013, p. 65.

means between Albanians, Greeks and Italians, as an important means of cultural, commercial, scientific cooperation among the people.<sup>1</sup>

We think that the second part of the summary we have selected, leaves room for an analysis or presentation of the syntactical viewpoint of the lexical inflows from the syntagmatic to the sentence and phrase structure level, as well as the conversational level, Mitko brought 130 years ago. The three-collecting-work-decades, just like bees collecting nectar, have focused mainly on the author's contacts with the Tosk and Geg emigrants who worked and lived in Egypt and elsewhere, relying not only on the lexicon of the spoken language of the common people, but also on the lexicon obtained from the written language.<sup>2</sup>

Folklore researchers and Albanian literary historians have come to the conclusion that Mitko's broad creativity, to this day, has been quite scattered, better say uncollected, because they can probably be found in the form of manuscripts at the descendants of his heirs in Egypt. On the other hand, since 1981 when Mitko's work was published, it has been claimed that this outstanding folklorist has also left an Albanian-Greek dictionary, a manuscript (with about a thousand words), which is not the subject of our article.

## Description

### A. The valence and syntax:

In this linguistic research on Mitko's Talking Dictionary, we are focusing simply on the syntactical viewpoint of the language used by the author almost a century and a half ago, to investigate several peculiarities of this discipline, especially in the syntactic unions of concrete units, such as the "syntax", a construction element for the sentence throughout the process of communication. Studying these units in spoken language through "sentences", will help us judge upon their structures, the ways of union according to their components, and the syntactical connecting means used here.

In addition to the character of the connections and relations of the syntagmatic components, a special significance is attached to the valence indicator,<sup>3</sup> belonging not only to the verbal syntax (VS), but also to those with heads or components of other classes of words, such as nouns, adjectives, numerals, pronouns and adverbs.<sup>4</sup> During this analysis we have tried to see: structure, order, the distinction between the topic (old information) and the comment (new information), the tools of syntactical connection, etc., according to the structural school data, which can be integrated into the theory and practice of the Albanian language. And this is the *verbs' velancy*, a very important achievement of the Prague School, which has been raised in theory by the French linguist of this trend in linguistics, Lucien Tesnière since 1959.<sup>5</sup> The author is also called the *father of modern dependency grammar*.<sup>6</sup> The models of this theory, which see the verb as the syntax center of the phrase (here: the sentence), were born in the European structuralist circle, more precisely in the French one, thanks to the achievements of the linguist L. Tesnière (1893-1954): a student of the well-known linguist Charles Bally and member of Prague linguistic circle. The act of this model eruption since its first steps to its formulation, seems to be fixed at the same time as the publication day of the work "**Éléments de Syntaxe structurale**" (**Structural Syntax Elements**). It has been determined for some time in theoretical linguistics that besides the verbs, for valency there should be talked about other classes and other denominations.<sup>7</sup> The famous Italian generativist, G. Graffi, stresses out that nouns as well as verbs, show valency but with some changes, not strange enough, because many nouns derive from verbs (and consequently they are called "verbal nouns"), for example, (ndriçim) lightening derives from verb ndriçoj(light), *lexim* (reading) from the verb lexoj (read) etj.<sup>8</sup> etc.

<sup>1</sup> Sala, Shpëtim: **Italian-Albanian-Greek Dictionary** (Transliteration and Albanian Dictionary) II, West Print, Tiranë, 2013, p. 64.

<sup>2</sup> Dhima, Thoma: **Albanian Language Grammar-Syntax**, Gjirokastra, 2010.

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<sup>4</sup> Dhima, Thoma: **Albanian Language Grammar-Syntax**, Gjirokastra, 2010.

<sup>5</sup> Dhima, Thoma: **Albanian Language Grammar-Syntax**, Gjirokastra, 2010.

<sup>6</sup> Dhima, Thoma: **Albanian Language Grammar-Syntax**, Gjirokastra, 2010.

<sup>7</sup> Herein, p. 73. (Furthermore the Italian generativist, continues: ".The interplay between names and verbs is so systematic that in many cases class nouns noun classes can be given the corresponding verbal classes, so it is possible to speak about transitive and intransitive nouns, etc.

<sup>8</sup> It's quite interesting the verbal formation from the adverb "before lunch", a term that reminds us of "sillë-a"- vakt të ngrëni(serve the meal). The Dictionary of the Albanian Language of 1954 explains it as: "buka e mëngjesit që i shpihet bujkut në arë paradreke, më nja

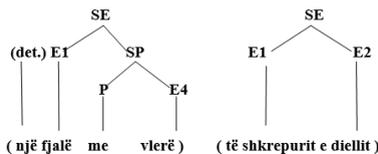
It must be pointed out here that the main aim and the linguistic situations which the communication units of the folklorist's Talking Dictionary are based on, are quite diverse, such as: begging or request, thanking, home conversation, before bedtime, dressing, conversation between the lecturer and the maid, discussions on age, life and death, lunches, dinners, invitations, walks, weather forecast, time indicators, weather, times of year, school, visits, rites of baptism, wedding, talking with the sick, the doctor, conversations among craftsmen, the contents of the letter, conversation at the bookstore, orientation questions, exchanges, fishing, hunting talks, meetings, and other linguistic situations.

The making of such dictionaries in the Albanian language has been a very rich tradition, starting from the XVIIIth century most notably to the present day. We can select the following syntactical order from Mitkos's conversational vocabulary on this theoretical basis, with:

*Noun valency* – një boce me verë (pot of wine), verë të kuqe(red wine), urdhërë tuaj( your order), njeri i ndermë(honoured man), punëra të vogla (small works), motërës suajë (your sister), të huajatë e Romasit (Roma's foreigners), gjuhën Italishtë(Italian language), tim-vëlla(my brother), të bukuritë udhëtim( nice trip), robën e shtëpisë (the clothes of the house), këpucët shyte

( shoes), çorape të linjta (linen socks), qerreja përpara derës( oxen ploughing), të ardhurit tuaj(your arrival), pagëzim në kishë (baptism in the church), lirëjën për të ikur (allowed to leave), dy orë (two hours), të dhemburë kreje( head ache), vaporri i Trieshtës (Trieste ship), etc.

The schematic structure model would be:



*Valency of adjectives* – i bukurë shumë( very beautiful), të dashurat pemët (nice trees), më i madh se atë (bigger than), të bukuritë udhëtimi( nice trip) etc.

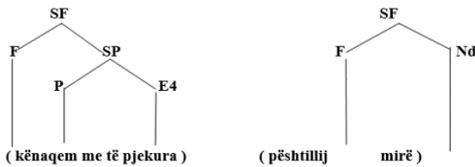
*Valency of numbers*– dy pashë( two-fold), tri llojë (three sorts of), tri pasdreke(3 p.m), dy a tri javësh (two or three week), pesë vëllezër (five brothers), më katër ndë mëngjes (at 4 in the morning), dhietë mijë dërhëmë(10.000 dirham), tre kute cohë(three meters fabric), etc.

*Valency of adverbs* – fort mirë( very good), fort më rrallë (very rarely), shumë mirë (very good), teprë fellë (very deep), mjaft i njohur (quite well known), keq shumë(very bad), kaqë vonë(too late), etc.

*Valency of verbs* – hëngra mejaft(I ate too much), u pieksim me të mirë (see you), vemë të baresim (loitering about), ulodha fort (very tired), epni të falurat e mia (give my regards to), kuvendojmë për – së- gjati (hold talks), e keni liriën me pashë(you are free to...), të flë aq shumë, (heavy sleep )këndoni përpara meje (sing in front of me), të parëdrekiq sod me mua (serve lunch to),<sup>1</sup> afërohij ndë zjarri( come closer to the fire place), duhet të ngrihem mbë të zbardhëllyerit e ditës (waking up at dawn), thirrisni mbë nesërë (call me a day after tomorrow), e pashë ndë mëngjestë (I saw her in the morning), ta shihni mbë meshë (wrapped), ju lypën ndjesë (forgive me), gaboni shumë (you're wrong), e dini mirë( you know well), ejani këtu(come here), vinj të drekem ndër ju (I'll have lunch with you), jam ndë parrais (living in paradise), i han me sheqer (eat it sweet), mësoni mësimen(learn the lesson), lojtim me kartëra(play cards), shkruajta gjerë mbë mesnatë (write till midnight), dëftoni mbë gjuhën (what is your language), do t'a paguani shtrenjtë (pay dearly), mbeti me shëndet( safe and sound), kënaqem me të pjekura (I enjoy them raped), pështillij mirë(wrapped up) etc.

ora 10; koha kur halet silla. (Breakfast brought to the farmer in the field early, about 10 o'clock; the right time to have breakfast. It must have been used at the time of the Authors' Dictionary as a verb).

<sup>1</sup> ASHSH, IGJL, *Albanian Language Grammar II*, Tirana, 1997.



The possibility of grammatical connection in the linguistic plan, is conditional on the valence of the parts of speech, a fact that draws attention to what is called dichotomy "language-utterance", the noun should be related to the nouns of different cases, with adjectives, with some pronouns, numbers, etc; while the verbs should be joined by nouns, adverbs, infinitives, etc. In all the studied cases, the syntactic connecting means between the building units, called the syntagma, in Mitko's Talking Dictionary, are firstly the prepositions, the suffixes, syntactical order, which rarely comes according to the nature of the Albanian language, due to the influence of the foreign languages the author was obliged to use during the long years of emigration; So there are many building models "adjective + noun" (beautiful woman, another time, very hot, etc.)

The same goes even for the mediated construction of predicates with analytical verbs, such as: ...*nuk do të rrinja, sepse kishnja pra dhënë fjalën tim-kuneti...*( I would not stay, **since I gave the word to my brother in law**). As for the level of the syntagmatic combinations, the frequent usage of the dative case without preposition, such as meeting friends, prepositions of the accusative case: " mbë " -on" and " ndë -in": do ta shihni mbë kishë(You will see him at church) ndë meshë( at the Mass/liturgical ritual), e pashë ndë treg(I saw her in the bazaar), ndala mbë këtë(I stopped a while on it), takuash mbë dialëthin( I met the boy)etc.

In the talking recordings of Mitko's Dictionary, we can notice all sorts of syntaxes, both from the simple to the extended structures: *dëftoni më të mirën(show the best)*, *kjo fytyrë(this face)*, *të përkas ndë dellt(touch the forehead)*, *të dalët e gjakut(it's bleeding)*, *do t'i çanjam zakonit(I will send it, it's a tradition)*, *ve të reja(fresh eggs)*, *lëng zogu(boiled chicken juice)*, *shkruanjë themën(write the topic)*, *kishnja punë(I was busy)*; *vivlin tënde të uratës(blessing book)*, *ngrehem pa shkrepur dielli(waking up at dawn)*, *ju pres në vend të gjyqit(waiting you in court)*, *nuk vëreni dorën e cohës(fabric's origine)*, *kthehej ndë shtëpinë(come back home)*, *give,* *epëni ndë krahun tuajë të djathtin(your right arm)*, *pagëzoni këtë dialë(baptize this guy)*; as well as according to the head that leads the components : *vjelën tekdo(harvest)*, *largohet zjarrit(away from the fire)*, *t'ju thom të drejtën(telling the truth)*, *i hamë me sheqer(we eat it sweet)*, *do të priremi sakaqë(have a tendency)*, *zotërë të dashurë(dear sir)*, *të madhe bollësirë(abundance of)*, *manushaqë të bukura(beautiful violets)*, *ndë shtëpitë(around the houses)*, *për shëndet tuajë(to your health)*, *mbi shtrat(on the bed)*, *fort mirë(quite well)*, *teprë lart(too high)*, *keq shumë(too bad) etc.*

## B. Sentence level:

First of all, we have to point out that in the Mitko's Talking Dictionary; almost all types of predicate units defined by the Albanian syntax are generated<sup>1</sup>from the declarative sentences to the exclamatory, imperative, and interrogative-dialogic ones, as called in such cases.

For instance: *Më bëtë me këtë shumë detyarë(Grateful to you)*, *Jeni shumë i fismë(You are noble)*. *Ju dua me gjithë zemërë(I love you with all my heart)*. *Epni më bukë(Give me sth to eat)*. *Siellëni më një boce me verë të kuqe(Bring me a pot of red wine)* *Le të lëmë kajdet(Let the bagpipes play)*. *Mos harroni të më vini nga herë ndë shtëpi(Don't forget to see me sometimes)*. *Lini më të bënj unë(Let me do it).. Thoni të fala nga unë zotit atit tuajë(My regards to your father)*. *Kopsitim!...(button my blouse)*. *Pastroni krëhënjët tuajë(Clean the combs)*. *Shëndet paç zot.(Bless you)*. *U gdhifij shëndoshë(Have a good night sleep)*. *Mirë paçi(All the best to you)*. *Mirë qofsj(Wishing you all the best)* *Fort mirë, ju paça..(Wishing you well!)*

We have also come to the conclusion that these types of sentences emerge according to the nature of the Albanian language, without a subject, as a single sentence, and according to a certain order depending on the statement or intonation of the phrase, mainly with verbs at the beginning of the sentence. The interrogative sentences turn out to be the richest in construction and corresponding grammatical tools, since their function during utterance is the most important. Thus, we find in the Dictionary first of all the so-called interrogative sentences having a parallel structure with the declarative

<sup>1</sup> ASHSH,IGJL, ASHAK, **Albanian lexicography**-Heritage and perspective, Tiran, 2005, p. 167-168.  
(Hajri Shehu: Issues of syntagma in the Albanian Dictionaries).

sentences, defined as such only through interrogative intonation, not through interrogative grammatical tools, such as pronouns, particles or interrogative adverbs, for instance:

*Keni ndonjë urdhërim për mua?* (Any duty assigned for me?) *Nukë do të ish më mirë të...?* (It would be better to...) *Kërkoni të më bëni t'a mbesonj?* (You make me believe..) *Ndëgjuat gjë?* (Did you hear anything?) *E njihni së afërmi?* (Do you know him from close?) *Më ndjeni, jeni Zonja K...?* (Pardon, Are you Mrs. K..?) *Matij të veni në valle?* (Do you speak English?) *Jeni ende ndë shtrat?* (Are you still in bed?) *Vërteta ndërdyshij?* *Nuk doni t'a porositni?* *Nuk m'ishnit zotuarë për sod?* *Nuk mund t'a marr nesërë?* (I can't take it tomorrow.) *I doni të lidhura me lëkurë keci, mëshqere?* *Nuk mundëni të rini të drekij me ne?* *Jeni frëng, zot?* (Are you french?) *S'ju k'anda portokallet?* (Do you like oranges?) *Keni gjylpërë të mirë?* (Is that a needle?) *Doni qengji a shqerë?* (Do you want a lamb or a heire?) *Ky mish është i mirë?* *Ju ka ënda të provoni këtë verë?* (Try this wine?) *Mermi veshit italishtet?* (Do you understand italian?) *Ay që ju thot të vërtetën, çëthur gojë?* But the majority of the interrogative sentences in the Talking Dictionary of Mitko emerge through interrogative grammatical tools, such as:

**Interrogative particles:** *A mund të bëhet?* (Can it be done?) *A e kuptoni?* (Do you catch it?) *A më njihni mua?* (Do you know me?) *Zoti B. a i kujtohij atij të bukurit udhëtim, që bëm bashkë, që këtu e gjer ndë Smirë?* (Did he remember the nice trip we had together to Smirna?) *Përisni pakëz, ju lutem, kaq herëta?* (Just a minute, please? Why so early?) *A prutë eshkëtoren?* *A ju k'anda djathin?* (Do you like cheese?) *Fleni edhe a?* *Pas dreke a pini kafe?* (Do you have coffee after lunch?) *Mëndesha edhe absurda a erdhën?* They are almost interrogative tools of the popular talk level.

**Interrogative pronouns:** *Çë urdhëroni?* (What do you want?) *Çë' më këshilloni të bënj?* (What do you advise me to do) *Qysh do'e ndenjëm?* *Qysh mentohij për këtë?* (What do you think of it?) *Kush do ta thoshte?* (Who would say that?) *Çë farë marrëdhënëshash keni ndë Trieshtë?* (What are your relations with Trishta?) *Cilën frikë kujtoni?* (What are you afraid of?) *Die mbrëmanet mbë ç'orë dual?* *Me cilin flisni?* *Mbë ç'orë keni zakon të ngrëhij?* *Sa rëndë ju vien të ngrëhij?* *Sa vjetësh është vëllai juaj?* *Ç'orë keni zakon të paradrekij?* (When do you have lunch?) *Kush vien atie përpara nesh?* (Who goes there before us?) *E kujt është këjo vilvi?* (Whose this book?) *Për çë nuk më duani?* (Why don't you love me?) The pronouns brought here emerge not only in the direct case but also in the indirect ones: possessive, objective and dative.

**Interrogative adverbs:** *Kur dotë përsëshihemi?* (When will I see you again?) *Ku vete ay?* (Where's he going?) *Kur do të shkoni për vatan?* *Kaha vjen ay?* (Where's he coming from?) *Përse më quani kështu?* (Why do you call me like that?) *Ku është gërshëra juaj?* (Where are your sissors?) *Për se më flisni anglisht?* (Why do you speak me in English?) *Fort mirë, për se nuk hani spinaq?* (Well, why don't you eat spinach?) *Ngaha vini?* *Ku nisnjëm?* (When will we leave?) *Mbë ç'orë u ngrëjt?* (When did you get up?)

We also notice here and there the use of interrogative grammatical tools, not at the beginning, as it usually happens in these types of sentences, but also in the end of it several times using particles, but also carrying an expressive value when these tools emerge in the middle of the sentence, creating a middle pause in the sentence intonation, to attract the attention of the listener, such as: *Kushëriri juajë a u kthye nga Parisi?* (Did your cousin return from Paris?) In this presentation we also encounter phrase structures that include indirect interrogative sentences, which are present in the pragmatic group model **p.g.m** but in such constructions they have lost the corresponding intonation of the question, such as:

*Pa më thoni, a dini ndë erth vapor'i Trieshtës.* ( Could you tell me, whether the Trieste ship come or not), *Ju memi veshit fort mirë se ç'ju flas unë.* (You know quite well what I am talking about), *S'marr veshit aspak ç'thot ay.* (I can't understand what he is talking about). *Nukë dini se ç'orë është.* (You don't know what time is it).

In our lexical studies it is emphasized that *the lexicographic treatment of word attachments should profoundly apply the theory of utterance activity in order to be appropriate, in line with the linguistic requirements.*<sup>1</sup> The linguist H. Shehu points out that for issues such as these dictionaries there are well-known criteria, ie a). density of speech; B) thematic and situation values of speech; C) the breadth of the lexical-syntagmatic links of the word with other words of the language, taking into consideration the extra-linguistical factors, the object-logic and the inter-linguistical factors, including even the structure of the language itself ...<sup>2</sup>. Through these we can make out the mergers according to the features of our language, not only in the syntax, but also in the whole sentence structure, to reach the required level of communication.

<sup>1</sup> The same author, the same material, p. 168.

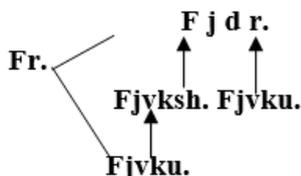
<sup>2</sup> This is how we call the phrase structure, with two or more predicative components, which does not begin with a leading sentence.

## Phrase construction

Even if we don't have the text structures for the linguistic heritage of Mitko, we are able to describe the constructions in phrases with two or more predicate elements, and we can speak about their nature, as it is usually said about a language, in terms of this level which has become the topic of our writing. In the formal and functional analysis of the phrases, first of all, a building method on the base of the components has been ascertained: the direct structure and the indirect structure.

The following model, from the Talking Dictionary, *Jo, unë nukë pasëdrekem kurrë, përse drekem mesëditet;* (*No, I never have snack, because I have lunch*); comes with a direct construction, since the phrase begins with a leading prediction unit and is followed by a subordinate. But the structure, *Tek është mjeshteri i valles, ecni e kërceni;* (*Come and dance where the master of dance is*), is a phrase that comes from an indirect construction,<sup>1</sup> used in a given context, has two SOC-s (syntax organization centers), placed behind a subordinate predicate unit; or:

*Ndë doni t'a shihëni, e jani nesërë mbë dy, kur ne do t'a kemi për drekë;* (*If you want, come tomorrow at two, when we have lunch*), where the leading unit lies between two sub-units. In today's syntactic studies, the functional syntax analysis should be treated up to the schematic presentation of the components, because, according to psycholinguists, the thought patterns turn out to be embodied in the language schemes.<sup>2</sup> If we look for the coupling according to the principle of hierarchical linkage "main clause / subordinate clause", we sketch the following sentence as follows: *Të dinja se ishit për të ardhurë, do të kisha porositur të gatuanin gjegjë më tepërë.* (*Had I known you were coming, I would have ordered more food*).



**Still staying at the level of the phrase (period)**, we first affirm here that, in the Mitko's Talking Dictionary, sentence-units do predominate - as basis for conversational discourse in human activity, but there are several cases when the utterance-phrases structures come as a combination with parataxis (in a few types, according to connectors), and with hypotaxis, focusing on some functional relationships, such as the determinative, time, conditional, consecutive and few others.

Secondly, the means of linking the predicate elements in the phrase are mostly those of the conversational prose and popular discourse. Thirdly, phrases and compound combinations with zero linking means are present as well, such as the one without syntactic connectivity tools known in syntax. For example, in the sentence: ***Ju lutem, mos ndërej tëroni fjalët tuaja, të sillemi si miq, e pa kajde, e pa pajka***

We notice missing links or conjunctions or correlates, but such a role is played by the pauses and the order of the components. It happens that in Mitko's Talking Dictionary, we find a wider structure than two predicate constituent units, but with 3 or more, where different functions appear, as in the following example: "*Ndë është kështu, do të ha me të madhe shije, përse m'a k'anda shumë mishin e kaut të piekurë.*" "*If it's true, I will take great pleasure in eating roast beef as I like it.*" Here, the syntactic relations, in addition to meaning, have also the visual grammar indicator, the conditional link "ndë" (if), which also marks the type of the phrase having an indirect construction, while the functions are: conditional, leading and causative.

It must be underlined that the generation of the predicative components in succession or with a dependency hierarchy in the indirect structures is more possible. These constructions are quite dense in the Dictionary we are considering and we find double-phrase constructions, linked with subordinating connectives, depending on the determination of the relations such as:

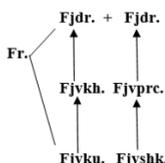
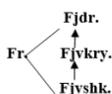
<sup>1</sup> Ferretti, Francesco, *Alle origini del linguaggio umano – Il puno di vista evoluzionistico*, GLF Editori Laterza, Roma-Bari, 2017, p. 37.

<sup>2</sup> The compound term is used here, in the meaning that American linguist Leonard Blumfield has given for the first time in the generative linguist.

Vë shart //se kështu është;( I bet,// it'slike this) Ju zotohem unë// se është e vërtetë;(I swear,//it's true) **Kur** unë s'di gjë,// çë doni të ju përgjigjem?(Since I don't know anything about it,//what answer do you expect?) Vemi// **sepse** më pëlqen shumë këjo melodramë;(Let's go,// for I like this melodrama.) Po ju thom //se nukë mund të ju gjegjem për tashi;(I'm saying,//I can't speak now) Për sod nukë dotë kem ngeh//të ju gjegjem;(Today I don't have time,// to answer to you) Nem më çorapet të linjta, //pse është nxehtë;(Give me linen socks,// it's hot) Bët shumë mirë// **që** m'a kujtuat;(It's very kind of you,// to remind me) Thuaj i // të hynj;(Tell him,// to come in) **Ndë** mos arçi, // dotë ju kanos;(If you don't come,//I will threaten you) Le të kthehemi ndë shtëpit, //pse shoh motin//që po vrëhet. (Let's go home,// 'cause I see//it's cloudy) **Kushdo që** ka për të ngrehurë orollojin e vet, // duhet të vinj ndaj mua.(Everyone who has to repair the watch,// is wellcomed) Sometimes, particularly in constructions with more than two predicate components, <sup>1</sup>functional versus relations arise, as in the following examples:

Jo, më pëlqen më fort, // Erçë //vetëm sa të mësonj//se qysh jeni //  
**të rri ndë tryesët**// edhe të gëzohem //se jeni mirë.  
**përse jam shumë** i urtë. (I simply came here//to see you//  
and become happy you are doing well.)

(No, would rather//  
stay at the table//  
because I'm very silent.)

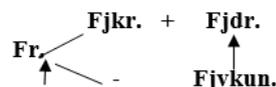


There are cases in Mitko's Talking Dictionary when subordinating and coordinating clauses are merged, as in the following two constructions, which can be presented in the following scheme:

O dialë, shpierië letrën e zotit ndë postët, //edhe mos harronjësh //t'i paguanjësh harxhin.

(Hey you guy, post the letter, //and don't forget //to pay for it.)

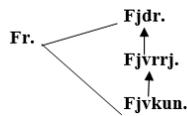
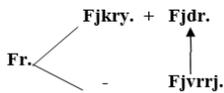
Ej, më foli për atë, // po më tha // se s'vijen gjë.(Hey, he told me about him, //but said, // that he's not coming.)



Sometimes the phrase becomes complicated with more than 2-3 predicate elements, united in syndetic and asyndetic way, as in the examples we have found in different linguistic situations, selected by the author..

Nuku kënaqem aspak me të piekura kaqë të shkurtëra, ju shoh fort mbë të rrallë, pa përandaj duhet të më zgjatni kënaqien që ndienj nga të ardhurit tuaj.( I am sad, to see you so seldom,that's why it gives me great pleasure if you come.) In Mitko's Talking Dictionary we can also find substructural constructions: Ej zot, e mësonj, //po këjo gjuhë, //sado e vëjejëcime që është, //nuk është pas modës.(Oh My God, I do study//although interesting// this language is archaic//.) Të kënduarit e Anglishtes është kaqë të fështirë, //sa nukë mund të nxini //të këndonit mirë as mbë dhietë viete. (Reading English is so difficult//that you can't assimilate it //read well even after 10 years.)

<sup>1</sup> De Mauro, Tullio: **Lezioni di linguistica teorica**, GLF Editori Laterza, Roma-Bari, 2008, p. 130.

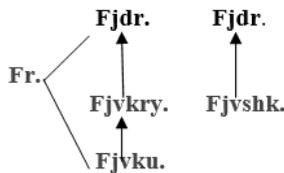


The following phrases as well, have a structure according to the nature of our language, with ordinary tools of the folk syntax, despite the indirect constructions:

*Mbë kotë mbrohij, //unë jam bindurë //se ju këndonit shumë mirë, //edhe se keni zë të bukurë.* (It's not even worth discussing// I am convinced you sing very well// and you have a beautiful voice.) *Ju s'keni kaqë nevojë, //tek gjendej ndë Elladë, //e përherë gjeni voli //të flisni Grëqisht, //meqënë unë nuku gjenj kurrë.* (You don't need to study Greek, since you live in Greece// and you practice it//but I have never had the opportunity. ) *Meqënë ju, shudhasni Italishten, // që të merrij me tregëtiën, // thoni më // se qysh thohet ay // që heq një kambiallë?* (Since you learned Italian//to trade//tell me //how do you say// to extract a tooth?)

In Mitko's talks we notice that the means of connection used between the predicate components are the same from the phonetic viewpoint, but the units that follow them are functionally different, as in the following construction:

*Nuk rri afërë ziarrit, //se kam frikë //se mos nxehem shumë.* (I can't stay close to the fire//I'm afraid//I am too hot.) Symetric constructions of the components can be found in Mitko's talking phrases, such as: *M'u duk/ se e pash //të shkonjë parëdie, // po nukë munda t'e mbesonj, //pasij s'më kishnit thënë gjë për këtë.* (I guess//I saw him leaving a day before yesterday//but I couldn't believe// since I was not told about that.)



You can also find although rarely, conversational vocabulary phrases, arising as complicated constructions, may be due to the influence of the foreign languages, as in the following period, with 3 centers of syntactical organization, with 3 SOC-s (syntax organization centers).

*Nuk mungojnë, në të rrallë, edhe fraza të fjalorit bisedor, të cilat dalin me ndërtime të rënduara, mbase edhe nga ndikimi i gjuhëve të huaja, si në periudhën e mëposhtme, me 3 QOS:* (po) (sepse)

*"Dotë më vinte shumë keq// të ish //që të ju rëndohesha, //të mirët tuajë e quanj për më të shtrenjtë sesa kënaqiën teme, //prandaj e keni liriën me pashë, //po kujtohej //se të piekurit tuajë qe pesë së imëtash të orës, // edhe se dotë ju përes një tietërë ditë të javës //që vien."* ("I would feel sorry//if I harmed you//I greatly appreciate your goodness rather than my enjoyment// that's why it's up to you to settle, // I wanted to see you only 5 minutes, // and will meet you another time in the coming week. ")

#### D. The correlation with the order of Greek-Albanian components.

This issue could be fully treated in this article, if only we had bilingual texts: Albanian-Greek or vice-versa, in order to achieve a correlative visual representation between the components. For this, as well as for the patterns brought to the review of phrase units, we should focus on the anastatic text of the Talking Dictionary, which is similar to today's bilingual guides, likewise to compare selected segments of the clauses' order. It is important to also bring here today's linguistic theory data, where several terms of characteristic features are used on the basis of **potency** in special languages.

In the translation process, language is used in a variety of situations, always allowing a formulation passing from- the source language - to the target language, of course, provided that the specific phonetic and rhythmic phenomena or the source

semantic and syntactic peculiarities are abandoned. <sup>1</sup> Furthermore, we get to know that whoever is familiar with several languages or with the theory of translation, is aware of the fact that it is often not easy to find the equivalents of a formulation from the source language to the target language. It is highly suggestive to look for the equivalent in the target language and it is so fascinating to notice some common traces found by the speakers of different languages separately which help expand their semantic heritage, but this suggestion and enchantment depend precisely on the fact that in every language, the speakers proceed in their own way (*suo iure*) to expand, build and rebuild their semantic heritage, and this constantly leads to the lexicon distance among themselves. "And it is precisely this - writes De Mauro - in the history of languages that we focus on important borrowings from one language to another, which prove to be a short way, in terms of the translation." <sup>2</sup>

P P C  
125. Nuk ju marr vesht, duhet të m'a thoni më këthiellëtë këtë.

Δεν σας εννοώ, αρέσει να εξηγηθήτε κάλλιον σε ρε τούτο.

(I can't understand you, you should explain it better.)

P P C S  
126. Vërtet vemi, sepse më pëlqen shumë këjo melodramë.

Αληθώς, θα πηγαίνουμεν λοιπόν, διότι μου αρέσει πολύ αυτό το μελόδραμα.

(Really, we will go, because I like this melodrama very much.)

P P C  
127. Po ju thom se nukë mund të ju gjegjem tani.

Ακούσατέ με, σας λέγω ότι δεν δυνάμαι να σας ακροασθώ.

(Listen to me, I can't respond to you now.)

128. Më prishni punë shumë, përse është fjala për një kafshë fort të madhe.

<sup>1</sup> The same author, the same material, p. 130.

<sup>2</sup> **noetike**: **noesi** – greek phylosophy term, that carries the meaning of intuitive recognition; In Husserl's phenomenology is any act through which the subject perceives or recognizes or desires the object of experience. From Greek "Nōēsis" - perception, intelligence; Comes from "noein" - thinking, perceiving.

Με αποθαρρύνετε πολύ, επειδή πρόκειται περί υποθέσεως πολύ σπουδαίας.

(You disappointed me so much, because it is a very important report.)

132. Ky, zot, duket, se e kupton shumë mirë gjuhën italishte.

Ο κύριος, φέρεται ότι εννοή πολύ καλά ιταλικήν γλώσσαν.

(This gentleman seems to understand italian very well.)

136. Unë s'thom gjë përveçe se, dot'ju bënj të më njihni paraqë, tuke ju thënë arrësyen.

Εγώ δεν λέγω άλλο παρ ότι θέλω σας κάμη να με γνωρίσητε παρώπους, λέγων σας τον λόγον.

(I am asking nothing else but simply to meet me, giving you the reason why.)

139. Thoni ju atë që dëgjuat.

Είπατε σης ό,τι ηκούσατε.

(Tell me what you heard.)

141. Ecëni të blini një okë peshk, po shukoni të jetë i njomë.

Πηγένετε ν'αγοράσητε με ον οκάν ψάρια, αλλά να προσέζητε να'ναι νωπά.

(Go and buy some fish, but make sure it's fresh.)

146. Unë s'harronj kaqë kollai miqët.

Εγώ δεν λησμονώ τόσο εύκολα τους φίλους.

(I don't forget my friends so easily.)

146. Edhe unë e njoha par viet ndë Vienë.

Εγώ τον ε γνώρισα υπό ενός έτους εις την Βιένναν.

(I met him in Viena two years ago.)

\* \* \*

What we notice from these functional clauses correlations and their topicality within the parallel structures, in the introduced units for the characterization of the languages used here, we need to use the adjectives **potent** and **impotent** in all their uses, but even with an implication, using their special meaning.

Then, we come to the definition that *the semantic potency of a code is the number of markers it can distinguish within its noesis (perception) field.*<sup>1</sup> Based on this notion, some theoretical approaches call this relevance of the languages we have spoken about, as **semantic omnipotence** or **semiotic**. It is worth focusing on the explanation of the term **potency**. De Mauro gives the following explanations:

- A language, that is able to welcome all the meanings of the phrases of another language, is **equipotent** (equivalent); it is precisely, in their diversity, that the languages may be equipotent among them, through the enrichment, the extension of the lexicon or the definition of meanings, etc. -----

- If a language is able not only to contain the meanings of another one, but to describe the syntax and structures, it is more than **equipotent**, it is more **potent**.

- A language that is able to be more potent than another one is **metalinguaggio**<sup>2</sup> and the other language is an **objective language**.<sup>3</sup>

Naturally, among the researches of linguistic theories, one may ask: Regarding these few correlations, which of these two languages we approached is more potent, Greek or Albanian, or are they both equipotent? The answer would require an in-depth research, because we can not rely neither only the archaic approaches, nor on the written documentary tradition, nor on the lexical wealth, nor on the syntactic structures, since this particular relevance, is a natural quality of every human language. A partial indicator would be the semantic synonymy, or even grammar formal reduction. Through our simple examples, as they come from the literary legacy of Mitko, we have only shown some differences regarding the order and placement of the functional clauses of the Albanian and Greek phrases - as a language used for centuries, but with no filiation report, as the only European language **in the old continent**.

This simple analysis of the syntax level of Th.Mitkos's Dictionary, can become an object of research and study even at other levels of language to bring to light the Albanian writing of his time, otherwise called the variant of the South.

<sup>1</sup>Metagjuhë metalanguage:

in logic and in the theory of formal languages, the term "metalinguaggio" means a formally defined language that is intended to define other artificial languages, which are referred to as objective language or object language (in the SGML districts of XML - the term "application" is also used). As for the SGML character symbols, we provide information technology: Standardized Generalized Markup Language - it is a metalanguage, defined as the ISO standard (ISO 8879: 1986 SGML), and intends to determine the languages used in draft of the texts intended for transmission and archiving with information instruments - in computer readable form. But the Middle Ages wise men show that they have perceived something more, that is, that in spontaneous - informal uses - a language can also perform even its own metalinguistic function. Thus, the metalinguistic communication is one that has the object of language in itself.

<sup>2</sup> De Mauro, Tullio: **Lezioni di linguistica teorica**, GLF Editori Laterza, Roma-Bari, 2008, p. 132.

<sup>3</sup> \*\*. Correlation is significant at the 0.01 level (2-tailed).

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## Supervision of learners with intellectual disabilities in a special school: *In loco parentis* of teachers as a wellness perspective

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### Abstract

This chapter addresses a study that was conducted at a special school for learners with intellectual disabilities in the Bojanala region of South Africa's North West Province. After all, the learners are the heartbeat of the school; in their absence, the school, its buildings and facilities, and even the teachers would be rendered pointless. The aim of this study was to explore ways in which learners are supervised and cared for, considering their mild, moderate and (in a few cases) severe intellectual disabilities. This longitudinal study took place over a period of three years and was embedded in a community engagement project conducted at a particular special school in said region. Due to the nature of a project, action research was selected as the approach most likely to yield useful results over an extended period of time. Additionally, Hettler's Wellness Theory (1980) was used as the theoretical framework by which to investigate how this school's teachers and other personnel adhered to the *in loco parentis* principle - i.e. teachers' legal imperative to assume some of parental functions and responsibilities, including protecting learners' physical and psychological wellbeing. As such, the school management team (SMT) and teachers made up the study's participants. Data were collected by means of questionnaires, interviews and observations. In their encounters with the school management team, the researchers realised that it is particularly crucial to ensure learner safety at special schools. Initial findings also revealed that most of the teachers employed at the school had not received training on teaching at a special school. Furthermore, teachers indicated that they were aware of their specific roles, stating that they only needed to be reminded of what they needed to do in order to ensure learner safety at all times. They pointed out that they simply followed the duty roster with regard to learner safety. This entails teaching learners about dangerous objects like garden utensils and how to remove them from the school premises in addition to adhering to the school safety policy. The teachers further revealed that 24-hour security personnel were employed by the school and that the school premises were bordered by a fence. Meanwhile, the SMT indicated that, although the school did have a safety policy, threats to learner safety persisted. For example, learners were not provided with protective equipment while working in the workshops. The SMT listed the potential consequences of this unsafe school environment as physical injuries, bullying, kidnapping, arson, harassment, and teen pregnancies. Since the study was transformative in nature and action research was relevant, there was a need for intervention. Thus, the findings of the study were shared with the SMT. Furthermore, it was clear from conversations with teachers that they needed intervention, including in-service training. The intervention process was discussed with the school management team and all staff members. It was patently obvious that the majority of the teachers and some of the management team did not have specialised training in special needs or inclusive education and that they were not aware of the needs of learners with intellectual disabilities. The SMT thus highlighted the need for training for all staff members in how to adhere to the *in loco parentis* principle.

**Keywords:** Intellectual disabilities, wellness, health promotion, safety, *in loco parentis*, supervision, bill of rights, professional teaching staff, behavioural problems, special school.

### Introduction

Intellectual disabilities are defined by their advent during a crucial developmental period of the sufferer. They are characterized by sub-average intellectual functioning, with sufferers testing with Intelligent Quotient (IQ) scores of 70 below

and demonstrating deficits in at least two areas of adaptive behaviour; i.e. communication, self-care, home living, social skills, self-direction, learning, leisure and work (Intellectual Disability Rights Service, 2009, pp. 1).

Meanwhile, education becomes meaningful only when learners, regardless of their intellectual capacity or abilities, are able to pursue their educational rights in an environment that is both safe and secure (Joubert, 2015, pp. 153). Public school educators are obligated to supervise learners for the full duration of the school day; this includes time spent participating in extra-mural activities. Moreover, extra care is needed when dealing with intellectually disabled learners since many of them, especially those suffering from autism, are unable to care for themselves as well as other children are able. As such, South African common law dictates that educators must assume the responsibility to care for children from their parents while they are at school or involved in official school activities. Note that educators are not expected or allowed to replace parents, but they are accountable for anything that happens to learners while they are at school. Roos, Oosthuizen and Smit (2009, pp. 126) posit that the *in loco parentis* principle obligates educators to carry out caring supervision over learners' the psychological and physical welfare, since they are impressionable and immature persons. In keeping with this, Coetzee (2007, pp. 74) argues that educators are vested with both "delegated" and "original" authority to take good care of the children placed in their charge. Teachers are supposed to ensure their duty of care on learners as *bonus paterfamilias* (i.e. to act as any reasonable person would act given the circumstances). This duty begins when the first learner arrives at the school in the morning and continues until the last learner has left the school in the afternoon. Geographically, the bounds of teachers' responsibilities extend to a few meters beyond the boundaries of the school premises; i.e. the immediate vicinity of the school.

### **Theoretical Framework**

The perspective that guided the study in question was Hetler's (1980) Wellness Theory, as expounded on by Van Lingen (2000), which defines wellness as a continuous process of holistic development based on personally determined goals. Hetler (*ibid.*) adds that there are six dimensions pertinent to human development: physical, emotional, social, spiritual, intellectual and career wellness. According to Myers, Sweeney and Witmer (2000, pp. 252), meanwhile, wellness is:

*A way of life orientated toward optimal health and well-being in which body, mind and spirit are integrated by the individual to live life more fully.*

This theoretical framework was of great use to the researchers in the study at hand as it helped them to better understand the ways in which the SMT and teachers supported learners in their holistic development across all wellness dimensions. The framework also assisted researchers in identifying gaps in teachers' knowledge and skills, hindering their ability to provide adequate learner support.

### **Legal Framework for Learner Safety**

In the Republic of South Africa, the supervision of learners with intellectual disabilities in special schools is governed by the following legal framework:-

#### **1. The 2007 United Nations Convention on the Rights of Persons with Disabilities and Optional Protocol**

The preamble to the United Nations *Optional Protocol to the Convention on the Rights of Persons with Disabilities* (2007) reaffirms that all human rights and fundamental freedoms as well as the needs of persons with disabilities are to be fully guaranteed without discrimination. In terms of Article 10 of this document (*ibid.*) :

*[The] parties reaffirm that every human being has the inherent right to life and shall take all necessary measures to ensure its effective enjoyment by persons with disabilities on an equal basis with others.*

Moreover, Article 12 of the *Optional Protocol to the Convention on the Rights of Persons with Disabilities* (*ibid.*) holds that the life of a disabled person matters just as much as that of his or her able-bodied counterpart. In most circumstances, disabled children rely on able-bodied persons to assist them both mentally and physically to safely navigate dangerous environments. Unsafe environments therefore pose a particular threat to the disabled person's right to life.

#### **2. The Constitution of South Africa, 1996**

##### **a. The right to education (Section 29)**

In terms of Section 29 of *The Constitution of the Republic of South Africa* (1996a), all South Africans have the right to basic education. This right can only be fulfilled in a safe school environment. The State must therefore ensure that public schools are free of drugs, weapons and other potentially dangerous elements. When Government fails in this mandate, many learners are forced to drop out of school to protect their own safety and are thus deprived of their right to basic education. Parents cannot be forced to enrol their children in schools where threats to their children's lives and wellbeing abound. Moreover, educators cannot provide learners with basic education if their own right to safety cannot be guaranteed.

**b. Equality (Section 9)**

*The Constitution* advocates the right to equal protection and benefit under the rule of law. Section 9(3) (Republic of South Africa, 1996a) states the following:

*The State may not unfairly discriminate directly or indirectly against anyone on one or more grounds, including race, gender, sex, pregnancy, marital status, ethnic or social origin, colour, sexual orientation, age, disability, religion, conscience, belief, culture, language and birth.*

Disabled children in South Africa are among those groups of people who qualify as previously disadvantaged. Therefore, as per the current dispensations affirmative action policy, special attention is paid to this group when it comes to matters such as employment and education to protect them against unfair discrimination. The Criminal Justice Support Network (CJSN) (2009) defines discrimination as follows:

*[Discrimination] is treating a person, or group of people, less favourably than others would be treated in same circumstances because of their membership of a particular group, such as having a disability or being a woman.*

Thus, any form of negligence in terms disabled children's safety on the part of educator may amount to unfair discrimination.

**c. Human Dignity (Section 10)**

Section 10 of *The Constitution* states that "everyone has inherent dignity and the right to have their dignity respected and protected" (Republic of South Africa, 1996a). Bullying and sexual violence violate the human dignity of disabled learners. Female learners, in particular, are often forced to drop out of school to escape violent school environments (Prinsloo, 2009, pp. 53). To combat this, user-friendly infrastructure and approachable social services personnel should be put in place to ensure safe schooling environments for disabled learners. The absence of such infrastructure and social services can be regarded as a serious infringement on the disabled learner's right to human dignity.

**d. The right to life (Section 11)**

Although Section 11 of *The Constitution* states that, "everyone has the right to life" (Republic of South Africa, 1996a), unsafe school environments continue to pose threats to the right to life of learners. For example, corporal punishment and bullying, among others, can be considered violations of this section. When learners are left unsupervised, the risk of them fighting and or otherwise injuring themselves becomes far greater. This is evidenced by the proliferation of media reports of stabbings, bullying, and rape in South African public schools over the past several years.

**e. Freedom and Security of Person (Section 12)**

In terms of Section 12 of *The Constitution*, the freedom and security of a person refers to their being safe from all forms of violence, torture, and cruel, inhuman and/or degrading treatment (Republic of South Africa, 1996a). This applies as much to intellectually disabled learners as to any other South African citizen. Thus, name-calling and other forms of degrading treatment and discrimination based on their disabilities amounts to infringement of this right.

**f. Privacy (Section 14)**

In terms of Section 14 of *The Constitution*, infringement on a person's right to privacy includes accessing their personal information in order to divulge it to third parties (Republic of South Africa, 1996a). The personal information of disabled learners is of a particularly sensitive nature and so must be handled with care in order to remain confidential, in keeping with this section of *The Constitution*. It is the responsibility of the school management team, together with the teaching staff, to ensure that learners' privacy is maintained.

Nevertheless, it should be noted that, in terms of Section 36 of *The Constitution*, no right is absolute and can be limited provided the limitation is reasonable and justifiable (Republic of South Africa, 1996a). In all human rights, safety comes

first. This simply means that an individual's right of to privacy can be limited if preserving this right may endanger the individual's safety or that of other citizens. For example, if it is suspected that a learner has brought drugs or weapons to school, their right to privacy must be infringed upon to enable a search of their person and property.

**g. Safe environment (Section 24)**

Barry (2006, pp. 111) posits that the legal duty of care vested upon schools requires that they take action to prevent any foreseeable harm to learners in their charge. The SMT is responsible for drawing up a duty roster to ensure that all educators are involved in supervision. Such a roster will also serve as evidence of accountability in case of any incidents in which learners are harmed or threatened with harm.

**3. The South African Schools Act, 84 of 1996**

Section 8(a) of the *South African Schools Act* (84 of 1996) (Republic of South Africa, 1996b) advocates the search for and seizure of drugs and weapons in schools and other public areas. Moreover, the Minister of Education permits schools to utilise search devices for this purpose and to contact that South African Police Services (SAPS) to conduct random searches. In such cases, a police official may, without a warrant, conduct a search of any public school premises, provided there is sufficient reason to suspect the presence of such contraband. All people within the public school at the time of operation may be subjected to a search. Any weapons and/or drugs found during the search will be seized.

**4. The Regulations for Safety Measures at Public Schools (2001) as amended in 2006**

In 2001, the Minister of Education declared public schools to be violence- and drug-free zones in terms of Section 61 of the *South African Schools Act* (Republic of South Africa, 1996b). Safety measures must thus be in place in order for schools to remain free of drugs and other dangerous objects. These safety measures should be ensured in the school safety policy and should include the following:

- a. People are prohibited from carrying dangerous objects onto the public school premises.
- b. Illegal drugs are forbidden on the public school premises.
- c. No person must be allowed to enter the public school premises under the influence of alcohol or drugs.
- d. No form of violence or unrest will be allowed on public school premises.

In keeping with the *South African Schools Act* (Republic of South Africa, 1996b), school safety policies should also allow police officers to conduct random searches, as discussed under Point 3.

**5. The Children's Act, 38 of 2005**

The Children's Act, 38 of 2005 is derived from Section 28 of *The Constitution*, which holds that the best interests of the child are of paramount importance in all matters pertaining to the child. As such, Section 9 of the *Children's Act* (38 of 2005) (Republic of South Africa, 2005) states that in all matters concerning the care, protection and wellbeing of a child - the child's best interests are of paramount importance. According to Joubert (2015, pp. 169), Section 10 of the *Children's Act* (Republic of South Africa, 2005) states that every child of such an age, maturity and stage of development as to be able to participate in any matter concerning that child, has the right to participate in an appropriate way, and that views expressed by the child must be given due consideration. In other words, within the context of this study, the law requires that the learner's voice be heard in all matters pertaining to his or her educational. Within this paradigm, it is clear that more serious attention needs to be paid to hearing the voices of intellectually disabled learners, lest their disabilities prevent them from effectively communicating their needs and desires.

**Research Methodology**

The study in question was embedded in a transformative-pragmatic paradigm, which employed both quantitative and qualitative methods for data collection. To ensure adherence to the relevant ethical considerations, the project was cleared by the University of South Africa ethics committee and the Bojanala regional office of the North West Province Department of Education. Participants included the school management team and teachers at a special school for learners with intellectual disabilities in that region. The researchers used questionnaires, interviews and observations for a data collection. Manual thematic content analysis, as outlined by Henning, Van Rensburg and Smit (2004, pp. 179), was used to analyse the data. Frequency tables were compiled based mainly on teachers' perceptions of how supervision was

conducted at the school, whereas more in-depth data was obtained from both the SMT and the teachers. Out of this, the following themes emerged:

- Inadequately qualified educators;
- Safety concerns related to learner transportation;
- Safety concerns in workshops and the garden;
- The importance of effective feeding and health schemes;
- The need for a functional roster for playground supervision.

## **Risk Environment**

### **School Playground**

The school playground is the place where learners usually spend their leisure time during and after school hours. Schools are required to take reasonable steps to assess and respond to potential risks of harm to their learners (Barry, 2006, pp. 113) and this responsibility extends beyond the bounds of the classroom. School managers should ensure the presence of educators on the playground whenever they are in use by learners. Indeed, Joubert (2015, pp. 179) posits that the *in loco parentis* responsibility of educators starts from the time the learners enter the school premises and continues until the last learner leaves at the end of the school day.

### **Sports Grounds**

Most school extra-mural activities take place on site on the school sports grounds, where injury in the normal course of play is inevitable for learners participate in school sports (Joubert, 2015, pp. 179) such as athletics, soccer, rugby, netball, cricket, and so forth. In light of this (and to prevent more serious injuries) educator supervision of the sports grounds supervision is essential. Such supervision is even more important in special schools, where disabled learners may be uniquely vulnerable to injury. In addition, all schools must obtain signed consent forms from parents before allowing learners to participate in school sporting activities. Joubert (2015, pp. 174) asserts that the following information should be included in such consent forms:-

1. The purpose of the school activity;
2. The nature of the school activity undertaken;
3. The full fixture of the school activity with the name of the supervising educator and his or her contact details;
4. The kind of transport, accommodation and food arrangements that have been made for away-from-school activities.

It is important to note that schools are not allowed to request parents to sign indemnity forms, exempting the school and educators from liability for damages. Such forms, even if they are signed by parents or learners, are not legally binding and the school will still be obligated by law to provide compensation for damages.

### **Transportation of Learners**

Although the majority of South African learners currently utilise public transport, there are a number of learners whose parents bring them to and fetch them from school. In this regard, Section 5.10.1 of the Department of Education's *Guidelines to ensure quality education and support in special schools and special school resource centres* (2007a) states that a special school must provide transport for all those learners who require transport in order to be able them to access the school. The guidelines further recommend that the transport subsidy for special schools, both residential and non-residential, should be evaluated regularly to ensure adequacy. Furthermore, transportation companies that convey learners to and from school should register with the school, since their activities are interconnected with those of the school. In this regard, the Department of Basic Education's *Regulations for Safety Measures at Public Schools* (Department of Basic Education, 2007, schools must ensure that the following conditions are met:-

1. The drivers of such vehicles are in possession of valid driver's licences and professional driving permits.
2. The transport company or the owner of the vehicles provides the school with the following:
  - a. Insurance and roadworthy certificates for each vehicle;
  - b. Passenger liability insurance documentation.
3. The vehicle transporting learners has a fire extinguisher.

Additionally, certain challenges are posed when learners are dropped off outside the school premises since somebody needs to monitor them until they enter the school. Schools should thus ensure that all learners (including both those who use public transport and those who are transported by their parents) are both dropped off and collected inside the school yard to ensure their safety before and after school.

### **Workshops and Craft Centres**

Learners are taught practical skills such as woodwork in school workshops and craft centres. Whilst these are very valuable skills to impart to learners with intellectual disabilities, the kind of equipment and substances involved in such activities can pose serious threats to learners' safety. In terms of the South African *Occupational Health and Safety Act* (85 of 1993), learners, like employees, are entitled to a safe working environment and it is the school's duty to ensure that potential hazards and risks are eliminated or at least mitigated (Republic of South Africa, 1993). Woodwork tools like saws, jointers, boring machines and the like can cause injuries if learners do not use them properly and the noise and sawdust that they produce can also be detrimental to learners' wellbeing. Learners with strong allergies can develop serious respiratory problems such as chronic bronchitis if they are repeatedly exposed to sawdust and persistent exposure to loud noises can cause permanent damage to learners' hearing. Therefore, personal protective equipment (PPE) such as dust masks, respirators and earmuffs must be provided to learners under the supervision of educators to ensure the proper use of PPE and adherence to sound health and safety practices.

### **Garden**

At the special school where this study was conducted, as part of the focus on gardening as a learning area in the curriculum, each learner is assigned a portion of the school yard in which to cultivate a garden. As with woodwork, this valuable practical learning experience does pose some safety hazards. Garden tools such as spades, garden forks, and hoes used to loosen the soil can be dangerous; especially when they are used by intellectually disabled children. Learners working in the garden thus need educator supervision to minimize the risk self-injury and injuring to others. Additionally, the proper PPE, such as gloves and safety boots, must be provided to learners to further minimise the risk of injury.

### **Road Safety**

The special school in the study is situated in a rural area along a main road, which learners coming from the village have to cross in order to gain entry to the school. This situation poses a serious threat to learners' safety as there are no traffic signs or road markings to clearly indicate a pedestrian crossing, and there is no scholar patrol on duty to assist learners in crossing the road before and after school. This situation is especially disconcerting if one considers the fact that intellectually disabled learners often need more assistance in such situations than their able-bodied counterparts do. This is yet another instance by which we are reminded that even learners with only mild intellectual disabilities have significant difficulty in effectively managing their lives without sufficient support and training.

### **Access to School Premises**

All schools ought to have well-trained security guards at their points of entry to control access to the premises. Security guards employed in special school must receive additional training on how to interact with intellectually disabled learners (Department of Basic Education, 2007b). All people entering the school premises are subjected to searches. It is advised that visitors be required to produce identity documents and provide their details before they are granted entry to the school. Collection of children from the school must also be monitored to ensure that the right child is collected by the right parent or designated person. The school will be held liable if any child goes missing during school hours.

### **RequirementS for safe environmentS in Special schools**

#### **Trained staff**

The Department of Basic Education's *Guidelines to ensure quality education and support in special schools and school resource centres* (2007b) advocate that staff in special schools should include professional teaching staff as well as professional and non-professional support staff to ensure a learning environment and support structure suitable for children with special needs.

### **1. Professional Teaching Staff**

Special schools require well trained professional educators who are specifically qualified to teach intellectually disabled learners. The safety and scholastic development of intellectually disabled learners can be jeopardised if they are supervised by educators who know nothing about their needs. Prospective staff members must be thoroughly screened before they are appointed to ensure that they are suitable to work with children with special needs (Department of Basic Education, 2007b). According to the aforementioned guidelines (Department of Basic Education, 2007b), professional teaching staff should have the following skills if inclusive education is to be supported:

- A first degree or diploma, which includes training on special needs or inclusive education;
- Training in the development of Inclusive Learning Programmes;
- Engagement in ongoing professional development related to the needs of the learners;
- Competence in the methods of communication utilised by the learners in the school.

It is also recommended that learning support teachers and teaching assistants be included on the teaching staff. Special schools should adhere to the teacher-learner ratio recommended by the Department when appointing teachers.

### **2. Psychologists**

Individuals with intellectual disabilities often also suffer from associated mental illnesses (Intellectual Disability Rights Service, 2009) and therefore require the support of a psychologist. Psychologists can easily diagnose and assess the nature of both the intellectual disability and the mental illness and subsequently recommend the most appropriate modes of support. At times, intellectually disabled people may have more than one disability that, in the absence of a psychologist to make a proper diagnosis, often goes undetected. It should be noted that a single psychologist can be appointed at District level to oversee a number of special schools rather than focus on just one school. Through partnership with psychologists, special schools can ensure optimal safety and support for all learners, since each learner's particular needs can be identified and understood.

### **3. Social Workers**

The services of the social workers are inevitably required when one is dealing with intellectually disabled learners, particularly when those learners demonstrate behavioural problems. Among other services, social workers, like psychologists, can provide counselling to learners. It is the responsibility of the social worker to liaise with learners' parents and guide them to the appropriate support channels. Intellectually disabled learners who pose a threat to the safety of other learners can also be directed to social workers.

### **4. Nursing Staff**

As nursing staff are fairly scarce, it is recommended that health professionals be appointed by the District and stationed at special school resource centres to ensure their accessibility to multiple schools (Department of Basic Education, 2007b). More importantly, nurses should be required to pay regular visits to special schools to ensure that prescription medication, where relevant, is being administered correctly. Ensuring the safety of intellectually disabled learners in class and surrounding is not only dependant on educators creating a safe physical environment; learners' internal functioning must also be regulated and this internal regulation is often performed by medication.

### **Recommendations for a Maintaining a Safe Special School Environment**

Schools should draft simple posters outlining their safety policies and procedures and display these in all classrooms. This will assist in maintaining a risk-free environment for staff and learners. Unsafe conditions must be identified and reported to the school office immediately. It is the responsibility of educators to provide sufficient supervision in the classroom. Under no circumstances should intellectually disabled learners be left unattended in the classroom or on the school grounds. As such, principals should refrain from calling educators to the office during class time and staff meetings should be scheduled

for after school, once the learners have already gone home. Additionally, the security of the building and perimeter fences should be checked regularly.

## **Discussion of Findings**

### **Inadequately Qualified Educators**

The researchers found that, of the 22 teaching staff members employed the school, only four had qualifications specialising in inclusive education. Eighteen of these educators only had generic three-year teaching qualifications, with only the aforementioned four teachers being qualified at NQF Level 8. The challenge was that it was not easy for the four relevantly qualified teachers to guide or teach the other 18 staff members how a special school should be run. These less qualified staff members were frustrated by the need to teach these learners in a more holistic way than they had been trained to do. As Hettler (1980) explains, for all wellness requirements to be satisfied at a special school, teachers need to make sure that every learner's intellectual, emotional, social, physical, and spiritual potential is unleashed in addition to preparing them to be eligible for employment upon completion of their schooling. Teachers expressed their desired for skills development interventions to better prepare learners for gainful employment. The challenge is to prepare students to enter the workforce by the time they graduate at age 21 so that they can support themselves financially, without having to rely solely on government disability grants. Furthermore, teachers were worried about the teacher-to-learner ratio in their classrooms, with the large class sizes making it difficult for them to supervise learners properly. As such, they expressed the need for assistant teachers to be employed at the school to provide support in this regard.

### **Safety Concerns related to Learner Transportation**

The study revealed that almost half of the learner population used public transport facilities to travel to and from school. It was clear that the school's minibus was not sufficient to transport all learners. Learners from neighbouring villages travelled on the backs of *bakkies* (small trucks) with canopies not designed or intended for this purpose but rather for the transportation of goods. Due to socioeconomic constraints, parents had no choice but to depend on this highly unsuitable and even dangerous mode of transportation for their children. Sadly, no staff member raised the issue of the clear need for a school learner transportation service, despite the fact that they were all aware of these issues and many even transported learners themselves. This situation is clearly having a very negative impact on learner safety.

### **Safety Concerns in Workshops and the Garden**

Learners in the various skills classes were grouped according to their abilities and interests in order to prepare them for the most suitable careers. Unfortunately, the classrooms, workshops and outdoor spaces where welding, electrical work, carpentry, needlework, and gardening skills were taught only accommodated learners with mild intellectual disabilities. In other words, only those learners who possessed of the intellectual capacity to understand workshop safety practices and to take the necessary precautions were truly safe in these environments. Nevertheless, it was encouraging to discover that all learners were supervised by teachers at all times in these environments. This is significant as the inadequate safety precautions made it necessary for an adult present to prevent accidents. With regard to gardening, teachers encountered the challenge of learners wanting to water the garden during teaching periods when they became bored with academic subject matter. Teachers allowed this, despite the risk involved in these learners being left unattended.

### **The Importance of Effective Feeding and Health Schemes**

Kwatubana and Nel (2014) assert that a health-promoting school eliminates health hazards in the school and its surrounds. The school in question indeed complied with such a definition of a health-promoting school. The kitchen where food was prepared was clean, despite water shortages, thanks to the diligence of the kitchen staff. Learners also washed their hands before they ate their meals and teachers supervised the serving process as well as the collection of dirty dishes. No learner was allowed to eat while standing or outside of the classroom in order to ensure close monitoring. School meals were especially important because some of the learners only ate at school due to impoverished home environments. The vegetable garden in the school premises meant a great deal because learners knew that, after the harvest, their crops would form part of their meals. Hence, they took special care of the garden and watered it regularly.

### **The Need for a Functional Roster for Playground Supervision**

The only formal roster that was availed to researchers was the one used for formal sports training or when there were matches at the school premises. Most often, due to staff shortages, children played alone on the sports field with no supervision during break times. Teachers complained that they were supervising children who were eating in the classroom and were unable to supervise those playing outside the classrooms. This poses a serious challenge to teacher learner ratio at a special school for learners with intellectual disabilities.

### **Intervention**

Since the project involved both research and the community, it was necessary to perform the research before sharing the findings thereof with the SMT and teachers. The nature of the project called for action research, which is more concerned with practice than with theory (Townsend, 2010). Furthermore, as Wood (2014, pp. 667) asserts:

*Action research contributes to improving social situations, while simultaneously generating knowledge that can influence educational practice and research in a significant way.*

The researchers asked the school management team to outline their needs and where they needed immediate intervention. Their immediate needs lay in the area of teacher roles and responsibilities regarding supervision and to help teachers to understand their *in loco parentis* responsibilities. To address this, the researchers organised a workshop for the entire staff on supervision and *in loco parentis* responsibilities in relation to the various roles pertinent to learner safety within the school premises.

The intervention was initiated in terms of holding a number of workshops in areas where knowledge and training gaps has been identified. The workshops covered transport safety, safety in workshops, hygiene and health matters, and children's rights in general. Evaluation was done to measure how successful the intervention workshops were and the findings were satisfactory in that they initiated a reasonable change at this special school.

#### **1. Transport and Safety**

The first workshop was on the safety of the learners during their transportation between their homes and the school. Some of the learners travelled in vehicles of various descriptions, whilst others who lived in the village simply walked to school. Neither road signage nor road markings were in place to inform drivers about children that are crossing the road from the village. To ensure the implementation of adequate solutions, the school management team included this item in their parents meeting so that the issue of safe learner transportation was thoroughly discussed and addressed. Some parents volunteered to monitor the transport used by the learners in addition to ensuring that the rules of the road were respected.

#### **2. Safety in Workshops and the Garden**

The school has the following workshops: welding, carpentry, bricklaying, and electrical work. In all of these workshops, certain precautions must be taken to eliminate the risk of injury. The second workshop was thus on safety in the workshops, where learners are exposed to hazardous substances such as dust, heavy machinery, and hand tools. Safety rules and warning signs were posted on the walls of the workshops and these rules were explained to and continually reinforced with learners each time they entered the workshops.

Meanwhile, in response to concerns with regard to the safety of learners while gardening, teachers were made aware of the importance of supervising learners when they are using garden tools and pesticides, and even when they lay fertilizer. The school did not have a garden and so the researchers assisted the teachers and all the learners who were interested in planting one. These interested teachers and learners were also given training by a facilitator organised by Unisa's Chance2Advance initiative. One of the primary values of this initiative was its strong ability to prepare learners for career wellness. Subsequent to receiving the training on gardening, two learners from the school found employment in this field in the nearby town.



Image 1: Learners under supervision of teachers and facilitator on how to start a crop garden  
(2013 Unisa Community engagement intervention)

### 3. Teacher and SMT Roles

The whole responsibility of ensuring a safe environment in school is vested in the school management team (SMT). The researchers therefore instituted the intervention initiative of training the SMT on learner supervision. The training was aimed at making the SMT aware of its duties and responsibilities as expected in terms of its *in loco parentis* role; i.e. teachers are required to honour their duty to care for learners as *bonus paterfamilias*. This duty begins when the first learner arrives at the school in the morning and continues until the last learner leaves the school in the afternoon. It is extended to a few meters beyond the school yard, within the vicinity of the school. Each educator's duty to care for learners must be included in his or her job description, to remind him or her that it is their lawful obligation. When drawing up the school duty roster, the SMT must ensure that it indicates the names of teachers who are on supervision duty at the school entrances and surrounding areas.

As mentioned, sports ground supervision is of also paramount importance in special schools. Classes left without an educator descend into chaos, especially in the case of learners with special needs. Teachers were encouraged to implement what they had learnt and informed that, after three months, the research team would return to the school to evaluate the safety measures put in place.

This intervention will benefit the school in that teachers now understand their roles regarding learner safety at the school and will practise what they have learnt. Moreover, the school management team will be able to allocate teacher duties (especially those that involve learner supervision at break times) more appropriately and effectively. It will also benefit the learners in that the teachers will be more careful in dealing with safety issues that impact them in the future.

### 4. Career Wellness

Since teachers expressed concerns about how to prepare learners for future careers, the researchers organised facilitators for to train the learners in computer literacy and pedicure and manicure skills. The teachers were also trained in those skills so that they could supervise learners during their practical activities for those subjects. The training was done over a period of five days from 08h00 to 14h00 each day. All those who attended training received certificates from Chance2Advance. For teachers, this training was credited as continuous professional development.

### Evaluation after Three Months

After a period of three months, the researchers visited the school in order to give support and guidance where necessary. It was found that the teachers and the school management team had sought sponsors to buy the necessary material where they needed to improve their situation. They had also advertised posts for teachers with various skills in promoting career wellness for learners with intellectual disabilities. Workshop environments had become far safer. Although there was a lack of some items like safety boots, the school had managed to obtain safety hats for bricklayers, glasses for welders, and two sewing machines. The school's training hair salon was also equipped with the necessary supplies. The SMT and teachers were applauded for their initiative in these areas. The crop garden had improved significantly and learners took great pride in the sense of ownership and achievement they derived from planting and tending to the garden when they saw the crops growing. The vegetables from this garden were harvested and cooked as part of healthy break-time meals for learners. In this way, physical wellness was promoted, with the garden initiative contributing towards healthy eating patterns for the learners.

The following images demonstrate some of the successes achieved through the action research project at this school.



*Image 2. An improved garden after three months*



*Image 3. After a while, bricklayers had the material to use and all had safety hats*



*Image 4. Two sewing machines were secured and learners sewed their own netball uniforms*



Image 5. Protective/safety glasses were worn by learners when welding

## Conclusion

This chapter has repeatedly emphasised the fact that learners have the right to basic education in terms of Section 29 of *The Constitution* (Republic of South Africa, 1996a). This right can only be fulfilled in a safe school environment. The intervention was thus framed within the essence of education law embedded in the German concept of *geborgenheit*. Cassells (as cited in Oosthuizen, 2009, pp. 16) explains that, in the German language, the term infers more than its direct English translation as “security”; it encompasses a web of concepts including “salvage”, “salve”, “save”, “rescue”, “shelter”, “shield”, “hide”, “conceal”, “being saved”, or “being in safety”. Teaching and learning for children can only take place in an environment that is free of fear and the risk of harm.

Learners’ wellness in all dimensions is crucial irrespective, of their situation or abilities. Nevertheless, the current study demonstrated the particular need for holistic development for learners with intellectual disabilities. The researchers, in using action research, were able to support the school management team and teachers by intervening where information, training and infrastructure gaps were identified. The school also realised its need to seek help and support from other organisations so that the learner is developed holistically. As the old expression goes, “it takes a village to raise a child”. Indeed, special schools need an extensive network of stakeholders in order for all the wellness needs of learners to be met. In action research, lessons learnt for participants promote self-reflection and the development of problem-solving skills (Zuber-Skerrit, 2011) that promote lifelong learning. The efforts of teachers to outsource skilled teachers and resources has greatly benefited the school and enabled it to improve despite the challenges inherent in its rural location. When learners exit the school at the age of 21, they will be adept in one or two key skills, imparted to them during through this holistic approach to their education.

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## Cooperative Learning Strategy in teaching Arabic for Non Native Speakers

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### Abstract

Cooperative learning is a teaching strategy that can help students to be successful in academic achievement and skills, as well as can assist the students to enhance the social interaction and human relation; however, this research explored the cooperative learning strategy in teaching Arabic for non native speakers, and will show the experiences for Arabic lecturers during their applying this method for teaching Arabic at sultan Idris education university Malaysia. The researchers will depend on the survey research design. The study will use a sample of 10 lecturers who are teaching Arabic language randomly selected from Sultan Idris education University Malaysia . The method will use data collection which included a 10-items questionnaire. Results show that majority of lecturers strongly support to apply the cooperative learning during the classes and outside of classes to help the students to improve their language skills, communication skills and social interaction .

**Keywords:** Cooperative learning, Strategy , Teaching, Arabic, Non Native Speakers

### Introduction

Teaching Arabic for non Arabic speaker is not successful if the teachers did not use proper strategies and approaches during the teaching. We are living now at 21 century era, the era of technology, the teaching tool and strategy already changed according to developing of era. But still a lot of teachers and lecturers are using traditional teaching method without any changing in the classroom, especially in high learning institute. However, the teacher – centre approach is not suitable for the students in the university any more, the university students unlike the students in the school have ability to search knowledge by themselves, and have creative and critical thinking skill, the lecturer in the university just like facilities to guide them to search the knowledge. Therefore, students- centre approaches are very strong recommending within the teaching in the university, like discover –based learning, problem- based learning, and Cooperative learning approaches.

Cooperative learning is a teaching strategy that can help students to be successful in academic achievement and skills, as well as can assist the students to enhance the social interaction and human relation (Slavin, 2009). It was developed from social psychological studies of cooperation and competition inhuman behavior (Deutsh, 1949). Since the early 1970s, cooperative learning has one of the greatest success stores in the history of educational innovation, cooperative learning strategy is now so common place that they are often seen as standard part of education practice, not as a innovation (Slavin1999).

Here, this research aims to export how effective for application of cooperative learning strategy in teaching Arabic for non native speakers in Sultan Idris Education University Malaysia, as well as to investigate any of relevant skills which effected by using cooperative teaching. The researchers will administer to a sample for 10 lecturers at this University .

### Problem Statement

Teaching language for non native speaker at non native speaker is always discussed by expertise of language and education, especial teaching Arabic language, many of teachers and lectures of Arabic language are very experts in

language but not experts in education and teaching, that why, nowadays, many of them still use traditional teaching method without changing and without depends on the technology to teach Arabic language. During the Arabic class, students just listen and take note from lecturer, after the class, they don't practice any skills for the Arabic language, as well as there are very limited research discussed about good strategies for teaching Arabic. Therefore, this research aims to distribute the effects and benefit of students self directed learning in learning Arabic process, which is called cooperative learning in Arabic teaching to fulfill the gap of the research field on this topic.

### **Hypothesis**

This study will state some of the relevant hypothesis as following:

1. All lecturers are using students centre strategy, especial cooperative learning.
2. All lecturers think that cooperative learning can help them to improve students' language skills, social interaction between students and lectures.
3. Cooperative learning benefit and effect to teaching and learning Arabic language.

### **Research Questions**

This study will cover following questions:

1. What kind of strategies using by the lecturers to teaching Arabic language?
2. What is perception of lecturers for cooperative learning?
3. Is cooperative learning benefit and effect to teaching and learning Arabic language?

### **Research Objectives**

The objectives of this research will investigate:

1. The strategies using by the lecturers to teaching Arabic language in Sultan Idris Education University.
2. The perception of lectures for cooperative learning in teaching and learning Arabic language.
3. The benefit and effect of teaching and learning Arabic language by using cooperative learning strategy.

### **Importance / benefits of Research**

This topic was discussed as a Zero in the academic education field, according to successful result of teaching foreign or English language by using cooperative learning for certain researchs, this study will benefit to the Arabic lecturer and students who are majoring in Arabic language. As well as, will fulfill the gap of academic research field.

### **Literature review**

Since cooperative learning became common teaching strategy in the world, there are researches discussed about this topic in different field and promote to apply this strategy in the teaching and learning process. Even thought, the topic about "cooperative learning in teaching Arabic language" is very limited, but still some researchers are relevant to this research.

There is a research titled "Cooperative learning in lectures of an advanced electrical engineering course" by Myllymaki (Myllymaki2012). The researcher discussed about A cooperative learning (group work) method was applied in lectures of an advanced engineering course in Microelectronics Packaging Technology and Reliability at university of oulu in finland, The study provided some valuable insights into the effects of group work, and a student feedback system in an engineering context, and was arranged in a course of twelve lectures, a practical exercise, and five exams, and it was observed by several teacher colleagues. The course provided a solid structure of learning events, which were able to improve the students' learning and give them a positive picture of the technology field. The author found that the group work will not automatically bring better results for students who have weaker earlier knowledge in the field. As well as, learning new teaching methods takes time for both the lecturer and the students. Besides that, the finding shows that using the student feedback system after every lecture was perhaps the most positive result of this study.

Kagan cooperative learning model also always discussed by educational scholars, as a topic covered about teaching foreign language by using Kagan cooperative learning approach, titled "Kagan Cooperative Learning Model: The Bridge to Foreign Language Learning in the Third

Millennium" (davoudi, 2012). The researcher agreed that Kagan cooperative learning model is one of the best model among this strategy to teach and learn foreign language, and to improve the social interaction skill and employability. According to studying of the researcher, Kagan cooperative learning structures enable students to work as teams inside and outside of the classroom. The structures of Kagan cooperative learning enable students to learn language together without feeling alone, but supported each other among the group members. The students learn multiple ways to solve language problem and learn to tackle a language challenge as a group. Students become skillful to express their ideas, attitudes and feelings.

Based on study of this research, we can apply cooperative learning in any foreign language, and Arabic language is not exceptional.

Since some questions asked the reasons for applying cooperative learning in the teaching and learning process is better than teacher centre method, there is a study discussed about 101 reasons for using cooperative learning in biology teaching (Lord, 2001). Based on the author's review of the study, he summarized certain reasons for using cooperative learning in biology teaching, the cooperative learning will enhance the social skill, practical skill, social thinking, attitudes, instruction, evaluation, value and learning environment. As well as, cooperative learning show to upgrade the language skills, model real life and supporting learners without difference between gender. According to his review, he tried to study those reasons. He found that when done correctly, cooperative learning is much more offer for biology students than traditional teachers centre method.

If we are language teachers or lecturers, during teaching language, we need to teach poetry also. So, what is best strategy to teach poetry? Here, a study suggested to using cooperative learning in teaching poetry. This study emphasized on "effect of cooperative learning in teaching poetry" (Chemwei, Bernard; Kiboss, Joel K; Ilieva, Emilia 2005). This study was to determine the effects that cooperative learning in school literature has on student's academic achievement, as well as on the learning of poetry in baring district secondary school. The research by poetry achievement test and students interview guide found that students using cooperative learning tend to perform better than their counterparts using conventional or so called regular methods and using cooperative learning has potential to engage learners in active participation in poetry learning process.

According to our review, we found that very limited literature which is talking about cooperative learning in Arabic teaching, and we found there is a PHD dissertation relevant to the topic titled "Effects of cooperative Learning on achievement in Arabic writing and social skills for form two students in Selangor, Malaysia". (ABDUL-HAMED, 2004). This study is an experimental research to explore the problem among students of Arabic as a second language in Malaysian secondary schools in applying Arabic writing rules in their writing tasks. The problem was based on the unique factors of Arabic writing skills and an unsystematic application of general academic writing skills which caused low scores among students in their Arabic as a second language paper. Also, the study determined the relationship between learners' social skills and their achievements in Arabic writing papers. The study compared between the effectiveness of Cooperative Integrated Reading and Composition with Teacher-Centered instruction method.

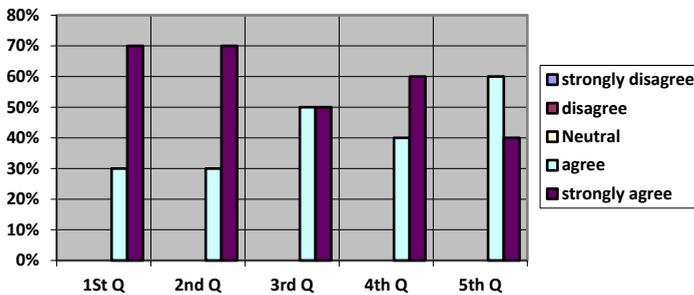
The researcher found that the significant differences in mean scores on Arabic writing an overall significant correlation  $r = .71$  in determining the relationship between achievement in Arabic writing and students' social skills.

### **Research methodology**

The researchers will depend on the survey research design. The study will use a sample of 10 lecturers who are teaching Arabic language randomly selected from Sultan Idris education University Malaysia. The method will use for data collection will be a 10-item questionnaire. The response pattern was in the form of strongly agree, agree, disagree, and strongly disagree, and not sure. These were weighted 5, 4, 3, 2, and 1 respectively for the data analysis's purpose. Percentages were used to describe this. However, some theoretical framework will also support to this research.

### **Finding and discussion**

The following Table 1 which included 5 questions presents the importance of applying cooperative learning method in teaching Arabic language

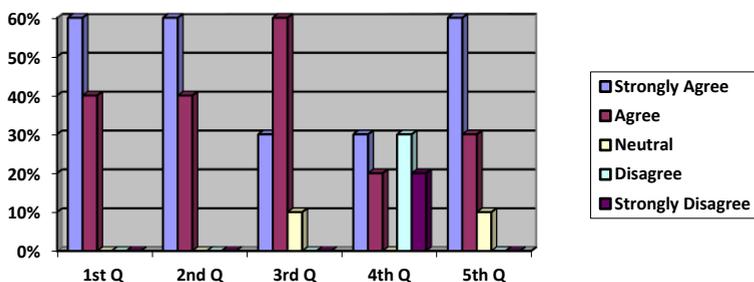


- Q1. Applying cooperative learning is important in learning Arabic language.
- Q2. Applying cooperative learning is making easy for learning Arabic language.
- Q3. Applying cooperative learning can provide new experiences and make learning more thoroughness and focused.
- Q4. Applying cooperative learning improve language skills (speaking, listening, reading and writing).
- Q5. Applying cooperative learning provide students to get the knowledge.

The table above shows that the percentage of responders, and we can see that majority of participants agreed the 5 questions which mentioned above. The question 1 and 2 shows that 30% of participants agreed that Applying cooperative learning is important and easy in learning Arabic language, and 70% of participants strongly agreed that. The result of Q 3 shows that 40% of participants agreed that Applying cooperative learning can provide new experiences and make learning more thoroughness and focused, and 60% of them strongly agreed that. From the chart, we can see that Question 4 and question 5 also shows that the supporters are majority of participants.

Based on the previous data and the information, the researchers found that a majority of respondents know the method of cooperative learning in terms of their reality. They also know about its importance and role in the process of teaching Arabic language. In summary, most respondents agree that the cooperative learning method is very important and none of the respondents objected to the importance of cooperative learning.

The following table 2 which included 5 questions to show the lecturer's perceptions of the implementing for cooperative learning.



- Q1. Using the cooperative learning method plays an important role in increasing linguistic growth for the students.
- Q2. Cooperative learning Method helps Lecturers to practice activities in the process of teaching Arabic language
- Q3. Implement Cooperative learning Method in the process of teaching Arabic language is necessary matter.
- Q4. I know the theory of cooperative learning, but don't know how to apply it in teaching Arabic language.
- Q5. Cooperative learning helps students to be independent.

The table above shows that the percentage of responders, and it indicated that the question 1 and 2 shows that 40% of participants agreed that Using the cooperative learning method Plays an important role in increasing linguistic growth for the students and helps Lecturers to practice activities in the process of teaching Arabic language . However, 60% of participants strongly agreed that. The result of Q 3 shows that 30% of participants agreed that Implement Cooperative learning Method in the process of teaching Arabic language is necessary matter, and 60% of them strongly agreed that. And 10% of participants are cannot make sure. From the chart, we can see that Question 4 indicated only half of participants agreed that they know the theory of cooperative learning, but they don't know how to apply it in teaching Arabic language. As well as they are 50% of them disagreed this question. May they did not know about this theory , and don't know how to apply as well. And question 5 that also shows that Cooperative learning helps students to be independent is supported By majority of participants. Only 10% of participants are not sure about answer.

Based on the response of the respondents, the researchers found that the perception of the lecturers and their perceptions in the method of cooperative learning is very good. They want to use the different cooperative learning method suitable and attractive to them. The researcher noted that most respondents make sure that the application of cooperative learning method can increase their level and achievement in Arabic The researcher concludes that respondents want to apply cooperative learning within the Arabic language and beyond, and believe that its application is capable of increasing their understanding and helping them to raise their level of Arabic language.

### Conclusion

This research discuss about application of cooperative learning in of Arabic language teaching at the Sultan Idris University. The researchers presented the questionnaire to the Lecturers in the Arabic language department at this university. The questionnaire contains elements in the application of cooperative learning method especially in Arabic language as a model for this research .

The researchers found that many respondents agreed and know the reality of the application of cooperative learning method, and know it's importance, especially in the Arabic language teaching. Through the perceptions of the lecturers on the of cooperative learning application, the researchers found that the lecturers like to apply this method in Arabic class because it helps students to understand class easily and effectively, as well as assist students to Improve their language skills and to enhance the social interaction and human relation.

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## Information Processing Analysis of the Harbor Nautical Charts and Their Representation of the Changes in the Territory: the Case of La Plata Port

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### Abstract

Nautical charts are a representation of a territorial moment. Understanding the territory as a state of the process of social construction, historical analysis of the nautical charts allows the understanding of the spatial transformations that has crossed a maritime territory. Thus, the study of them represents a tool for the understanding of territorial transformations from the physical-social environment and in their navigation. According to the territory they represent, their scale and the information provided by nautical charts are classified as: general, Sailing, coastal navigation, approach or landfall, and Harbor charts. The latter, which constitute documents that provide important information for different classes of users, are modified as a result of the fact that ports as complex maritime spaces and of great dynamism cause in its coasts and nearby areas important modifications in both the physical and social environment that are reflected in the documents. The information organization and retrieval contained in the nautical charts are essential for access to them. The RDA (Resource for Description and Access) constitute a set of norms for information processing developed from the Librarianship and Information Science. This work will analyze the functionalities of the concepts of work, expression, manifestation and item incorporated to the RDA for the processing of nautical port charts and the possibilities of representation of the changes in the territory that have occurred over time.

**Keywords:** harbor nautical charts - Resource for Description and Access – Functional requirements for Bibliographic Resource – La Plata Harbor – Information Processing - Information retrieval

### Introduction

In each historical moment, we can recognize a production of the territory where objects and actions are constructed and reconstructed and give a new meaning to the territory, with past traces and new imprints that are fruits of the world and the place at the same time. That is, the world events are mixed with the local leaving multiple types of inheritance (Carut, 2014)

To think of territorial organization as a process charged with historicity involves the study of territorial transformations that allow us to unravel these assessments and to understand that this organization of space has historically favored some areas to the detriment of others.

Throughout its history, different assessments of the territory, emerging from the prevailing climate of ideas, manifested in particular logics of appropriation and occupation; construct a succession of vocations, each of which leaves multiple traces (material and / or symbolic): territorial inheritances, in which the past becomes present.

These transformations in the territory described above when represented in different classes of information resources (maps, nautical charts) in the case analyzed, constitute a challenge for those who process this type of information.

According with the Statement of International Cataloguing Principles (IFLA, 2016) establishes 13 general principles as guidelines in the construction of catalogs that allow the retrieval of information.

Resource Description and Access (RDA) is the accepted international standard for cataloguing resource in the library and Information science discipline. It's was implemented in 2013. This means that although the new standard has been implemented four years ago the process of change and adaptation has not yet been completed. As argued Andrew, Moore and Larsgaard (2014) *when learning to describe cartographic resources using the new standard, it will be necessary to do some things differently but other will remain the same as in AACR2, the previous international standard for cataloging bibliographic resources. Part of this process is to learn and understand a new language, or at least new labels that identify objects, ideas and applications.*

Focusing our attention on the RDA, it is important to emphasize that they are based on the functional Requirements for Bibliographic Records. These have been developed by IFLA in the 1990s. As stated in the final report of FRBRs the entities that have been defined represent the key objects of interest to users of bibliographic data. The entities have been divided into three groups. The first group comprises the products of intellectual or artistic endeavor that are named or described in bibliographic records: *work, expression, manifestation, and item*. The second group comprises those entities responsible for the intellectual or artistic content, the physical production and dissemination, or the custodianship of such products: *person and corporate body*. The third group comprises an additional set of entities that serve as the subjects of intellectual or artistic endeavor: *concept, object, event, and place*. Each of the entities defined in the model has associated with it a set of characteristics or attributes. The attributes of the entity serve as the means by which users formulate queries and interpret responses when seeking information about a particular entity.

A nautical chart is a graphic representation of a maritime area and adjacent coastal regions. Depending on the scale of the chart, there are different classes of nautical charts: general, Sailing, coastal navigation, approach or landfall, and Harbor. Chart it may show depths of water and heights of land topographic map, natural features of the seabed, details of the coastline, navigational hazards, locations of natural and human-made aids to navigation, information on tides and currents, local details of the Earth's magnetic field, and human-made structures such as harbors, buildings and bridges. Nautical charts are essential tools for marine navigation; many countries require vessels, especially commercial ships, to carry them. Nautical charting may take the form of charts printed on paper or computerized electronic navigational charts. Recent technologies have made available paper charts which are printed "on demand" with cartographic data that has been downloaded to the commercial printing company as recently as the night before printing. With each daily download, critical data such as Local Notice to Mariners is added to the on-demand chart files so that these charts will be up to date at the time of printing.

Nautical charts are based on hydrographic surveys. As surveying is laborious and time-consuming, hydrographic data for many areas of sea may be dated and not always reliable. Depths are measured in a variety of ways. Historically the sounding line was used. In modern times, echo sounding is used for measuring the seabed in the open sea. When measuring the safe depth of water over an entire obstruction, such as a shipwreck, the minimum depth is checked by sweeping the area with a length of horizontal wire. This ensures that difficult to find projections, such as masts, do not present a danger to vessels navigating over the obstruction.

Nautical charts are issued by power of the national hydrographic offices in many countries. These charts are considered "official" in contrast to those made by commercial publishers. Many hydrographic offices provide regular, sometimes weekly, manual updates of their charts through their sales agents. Individual hydrographic offices produce national chart series and international chart series. Coordinated by the International Hydrographic Organization, the international chart series is a worldwide system of charts, which is being developed with the goal of unifying as many chart systems as possible.

There are also commercially published charts, some of which may carry additional information of particular interest, e.g. for yacht skippers.

The objective of the work is focused on the functionalities analysis of the entities defined in the FRBR (work, expression, manifestation and item) incorporated in the RDA for the processing of nautical port charts and the possibilities of representation of changes in the territory which have occurred over time

### **Origin and evolution of the port of La Plata**

Taking into account these periodization's of the defined economic Azpiazu and Nochteff (1994), the periods of spatial valorization of the metropolitan estuary (Carut, 2014) and the identification of the port organization by Costa (2003) since

it was put into operation in 1890, it has gone through cycles of boom and decline, in response to these models and their functionality, in general, subordinate to the port of Buenos Aires. can identify four stages:

During the second half of the nineteenth century, Argentina went through a long period of organization towards the constitution of a nation-state based on an external development of the national economy, which would be reflected in port management, with a strong presence of the State in investment (Costa et al., 2003). In addition, it is important to note that, in the case of the ports, the ports are located in the provinces and municipalities (Costa et al., 2003).

As a corollary of the process of national organization, marked by the agro-export development model, in February 1880, the federalization law of the city of Buenos Aires was issued. This decision arose, and later revived the struggle of interests between the Buenos Aires elites with provincial and national interests. The city of La Plata then emerges as a political project. Not only out of necessity but also as an ideological proposition.

The harbor of La Plata was not part of the architectural contests or the layout of the city made by Burgos and reformulated by the Department of Engineers. The design of the new port of the Ensenada, of 21 feet of draft, was commissioned by Rocha to the Dutch engineer Waldorp in 1882, being approved the plan in 1883.

The territorial configuration designed for the space of the port was based on the idea of continuity between the economy of the Pampas region, based on an agricultural export matrix, materialized in a linear axis that would cross the city (Avenues 51 and 53, monumental axis) and end in port. To the northeast, the axis was directed towards the destination of exported raw materials: Europe; towards the southwest, the axis was imagined internally in the province of Buenos Aires, producing area of these matters (Losano, 2005). As can be seen in the images that accompany the present work, the urban area of La Plata and the port, although contiguous, are separated by the baths of Berisso and Ensenada, low lands and floods that conform the geomorphological unit of the Coastal Plain (Fidalgo and Martínez, 1983; Cavalotto 1995). The differential altimetry of the estuary littoral was valued for the positioning of the city on higher ground in the Continental Plain or Interior Zone (Fidalgo and Martínez 1983), Lomas de Ensenada, and therefore, some 9 km away from the river.

On March 30, 1890, the Port of La Plata was established. The works had begun in 1883. In just three months, the port access channel had been excavated, and the following year the piling-up was completed, giving shelter to the anteport (Katz, 2007). The Dutch origin of Waldorp - the engineer who developed the project - introduced in the design of the Port the concepts of Dock of Overseas and Dams of Cabotage that still today are evidenced as an indelible mark in the port territory

Until 1896, the economic functioning of the port continued to increase, both in terms of imports and exports, surpassing the latter to the former. Towards 1900 the salt industry began its decline, as the refrigeration industry opened its way.

At the beginning of the 20th century, Paulino Pagani, an Italian who was foreman of port works, settled on the island that later adopted his name, on the left bank of the port channel. There he built a hotel, which during the period of tourism of elites (Bertoncello, 2006), is frequented by personalities from Buenos Aires and Platenses of this social stratum. The lands, belonging first to Lavalle and Medici, and later to the company of the Dock of Transit from 1910, were terraplenados, and during the first half of century XX agricultural activities were developed, being protagonist the production of the denominated wine of the coast.

Meanwhile, Santiago West Island began to be populated by port workers of Italian, Spanish and Uruguayan origins, mainly based on tax lands granted by the state, and gradually developing fruit-horticultural activities (Hernández et al., 2013). The initial vegetation cover of both islands was completely modified by the economic activities therein.

Map 1: Stage prior to the construction of the port La Plata. Period analyzed: 1801-1872



Map 1: Stage prior to the construction of the port La Plata. Period analyzed: 1801-1872. Prepared by: Lic. Georgina Ghatti

## 1. A Port in the Service of the Argentine Industry: the Period of Industrialization by Substitution of Imports (1943-1980)

The port movement linked to the export of meat products was closely linked to the fluctuations of demand during the world wars. The supply by means of the export of refrigerated meat for the provisions of the armies maintained the boom of the meat industry (Lobato, 1990). However, at the end of the Second World War the demand for meat products exported decreased, and in addition to other factors such as the impossibility of technological readjustment of the refrigerators, the decay of the same began, generating the transformation of the port into one of cabotage

Towards 1940, another great sudestada with a peak of 4,45m, strikes on the coast of the port area affecting seriously the margins of the island Paulino and the activities related to the recreation like the hotel of Pagani and the activities of horticulture and fruit-growing in the island, and whose negative consequences would last for a long time.

Between 1950, and later in 1990 a new process of industrial specialization of the Port is generated and at the same time a decadence of the refrigeration activity begins. Thus, to the Rio Santiago Shipyards (1936), the Textile Cooperative of Labor (1940) is added the Military Factory of Sulfuric Acid (1952) and later Petroquímica Ipako (1962), Propulsora Siderúrgica (1969, of the Techint group, private sector at the mouth of the Arroyo Zanjón on the Santiago River), Petroquímica General Mosconi (1974), Copetro SA (1978), the creation of the Berisso Technological and Information Technology Pole (1989) and the operation since 1990 of an Industrial Estate the port industrial profile. It is, then, an industrial vocation linked, in part, in association with the oil industry. The development of the same will be focused mainly on the Ensenadian margin, unlike the meat industry in the previous period, on the Berisian margin. Parallel to these changes, towards the end of the 1950s, the National State cedes the use of 70% of the port to the YPF distillery, reaching 90% the export of the port in fuels (Sanucci, 1983)

Map 2: Model stage industrialization by import substitution



## 2. Opening and Decay: the Port in the Economic Opening Model (1980-2001)

Until 1990, the movement of the port of La Plata was dominated by the YPF and COPETRO Distilleries, which presented deterioration in the access channel. This was compounded by the construction of the Dock Sud pipeline, which acted to the detriment of cargo movement. In 1991, and in the framework of a series of policies of neoliberal cut implemented at national level, Puerto La Plata is transferred to the Province of Buenos Aires (through the decrees of the National Executive Branch 2074/90 and 906/91, ratified by Provincial Law No. 11.206) as part of the state decentralization. It should be clarified that the administration and exploitation of the ports was transferred, although not the ownership of the ports). State policies migrate their role to beneficiaries of private actors, favoring the accumulation of capital of the same.

The return to the provincial level of the jurisdiction of the port of La Plata, made effective with National Law 23.696 / 92, poses the challenge of a reconfiguration towards the new global market, being one of the first steps the creation of the "Zona Franca La Plata", which was added in 1999, the creation of the Port Management Consortium. The Consortium was constituted as a non-state public entity that has the purpose of administering and operating the Puerto La Plata, with legal, financial, accounting and administrative individuality and dependent on external auditing, through the Court of Auditors and the Organisms of the Constitution of the province of Buenos Aires.

With the aim of modernizing the port structure towards a port suitable for insertion into the global trade dynamics, the Director Plan was formulated, which outlined a series of strategic guidelines for the modernization of the port structure. These works included dredging of periodic maintenance, the reconstruction of the southeast breakwater (concreted in the following period, see map 2), the development of terminals of public use specialized in containers.

Map 3: Model stage of economic opening



### 3. A New Port for the Global Horizons (2001-Today)

In 2001, under the new Port Master Plan, a public tender was approved for the construction of a Multipurpose Container Terminal.

The ambitious port project includes works in the area of the intermediate and external port to reconvert the profile to a multipurpose port, adding works related to improving road accessibility and service provision. In the first sector, work has been carried out on the expansion of the "Cuatro Bocas" turnaround zone, at the intersection of the port channel with the Santiago River, in order to increase the maneuverability of vessels of 500 m in diameter, to a depth of 34 feet. In addition, the terminal for the TECPLATA container was completed in 2014, in lands previously belonging to the Armor refrigerator, which is practically in disuse today (see map 2). As complementary works, coastal defenses were carried out on a sector of the intermediate channel and road infrastructure works were started to guarantee connectivity to the metropolitan infrastructure network. Likewise, in 2012, the "Engenada de Barragán" Thermoelectric Power Plant, operated by the state company ENARSA, was launched. The company built a fuel supply facility on Santiago Island (see map 2).

The dredged material of the expansion of "Cuatro Bocas", the deep channeling of the port channel and its mouth, was placed in a sector of the Paulino Island. Although the Consortium declares that it has all the relevant permits, and claims to have carried out the toxicity studies of the retreated sediments, with negative results, complaints have been made by non-governmental organizations.

The Master Plan also includes works that have not yet been initiated, such as those relating to the outer port, consisting of a platform that would house terminals of containers, a shopping area, and service area

At the present stage, the port territorial configuration is the result of a mosaic of territorial vocations that refer to different historical pulses, coexisting tourist-recreational in the islands, with military, industrial and services

Map 4: Model Stage of Global Horizons



### Nautical Chart relevant data

A nautical chart shows water depth, the shoreline of adjacent land, prominent topographic features, aids to navigation, and other navigational information. It is a work area on which the navigator plots courses, ascertains positions, and views the relationship of the ship to the surrounding area. It assists the navigator in avoiding dangers and arriving safely at his destination.

The data contained in nautical charts can be classified in: general, topographic. Hydrographic and services and aids among the general data it is possible to mention: title blok, that should be the first thing a navigator looks at when receiving a new edition chart. The title itself tells what area the chart covers.

The chart's scale and projection appear below the title. The chart will give both vertical and horizontal datums and, if necessary, a datum conversion note. Source notes or diagrams will list the date of surveys and other charts used in compilation. Shoreline: nautical charts represent the line of contact between the land and water at a selected vertical datum. In areas affected by tidal fluctuations, this is usually the mean high-water line. In confined coastal waters of diminished tidal influence, a mean water level line may be used. If the low water line differs considerably from the high water line, then a dotted line represents the low water line.

If the bottom in this area is composed of mud, sand, gravel or stones, the type of material will be indicated. If the bottom is composed of coral or rock, then the appropriate symbol will be used. The area alternately covered and uncovered may be shown by a tint which is usually a combination of the land and water tint.

Another core elements are the sounding: Charts show soundings in several ways. Numbers denote individual soundings. These numbers may be either vertical or slanting; both may be used on the same chart, distinguishing between data based upon different surveys, different datum, or smaller scale charts. Large block letters at the top and bottom of the chart indicate the unit of measurement used for soundings. Soundings are supplemented by depth contours, lines connecting points of equal depth. These lines present a picture of the bottom. Depths are indicated by soundings or explanatory notes. Only a small percentage of the soundings obtained in a hydrographic survey can be shown on a nautical chart.

Besides these mentioned data, there are others that will not be listed in this work. The analysis will focus on those data to be taken into account when preparing a bibliographic record that have an impact on the retrieval of the information

### **Harbor nautical chart data and FRBR model**

#### **1) Work, expression, manifestation and item**

A *work* is an abstract entity; there is no single material object one can point to as the *work*. We recognize the *work* through individual realizations or *expressions* of the *work*, but the *work* itself exists only in the commonality of content between and among the various *expressions* of the *work*. The attributes of a work for that are unique to harbor nautical charts is:

Coordinates: Degrees, minutes and seconds of longitudes and latitudes

An expression is the intellectual or artistic realization of a *work* in the form of alpha-numeric, musical, or choreographic notation, sound, image, object, movement, etc., or any combination of such forms. Defining *expression* as an entity in the model gives us a means of reflecting the distinctions in intellectual or artistic content that may exist between one realization and another of the same *work*. The attributes of a work for that are unique to harbor nautical charts are:

Scale: Scale is the ratio of distances in a cartographic *expression* to the actual distances they represent.

Projection: is the method or system used to represent the surface of the Earth or of a celestial sphere on a plane

Presentation Technique: is the method used to represent geographic or other features in a cartographic image

Representation of relief: is the technique used to depict the elevations or the inequalities of a land surface or of the bed of a body of water in a cartographic image

Geodetic, Grid, and Vertical Measurement: information on the spheroid used to construct the cartographic image, the grid or referencing systems used in the image, horizontal datum, vertical datum, mathematical data on contour intervals, bathymetric intervals, etc.

Recording Technique: is the technique used to capture an image through remote sensing (e.g., multispectral photography, infrared line scanning, SLAR, passive microwave mapping, etc.).

Special Characteristic: A special characteristic of a remote sensing image or an image produced through aerial photography is the altitude and attitude of the sensor, the position of the platform, the category and name of the satellite, the number of spectral bands involved, the quality of the image, the extent of cloud cover, or the mean value of the ground resolution

The manifestation is the physical embodiment of an *expression of a work*. The entity defined as *manifestation* encompasses a wide range of materials, including manuscripts, books, periodicals, maps, posters, sound recordings, films, video recordings, CD-ROMs, multimedia kits, etc. As an entity, *manifestation* represents all the physical objects that bear the same characteristics, in respect to both intellectual content and physical form

There's not specific attributes for nautical chart at this level. the general attributes that also apply to nautical charts are

Title of the Manifestation, Statement of Responsibility, Edition/Issue Designation, Place of Publication/Distribution, Publisher/Distributor, Date of Publication/Distribution, Fabricator/Manufacturer, Series Statement, Form of Carrier, Extent of the Carrier, Physical Medium, Capture mode, Dimensions of the Carrier, Manifestation Identifier, Source for Acquisition/Access Authorization, Terms of Availability, Access Restrictions on the Manifestation.

The entity defined as *item* is a concrete entity. It is in many instances a single physical object (e.g., a copy of a one-volume monograph, a single Nautical chart, etc.). There are instances, however, where the entity defined as *item* comprises more than one physical object (e.g., a monograph issued as two separately bound volumes, a recording issued on three separate compact discs, etc.).

In terms of intellectual content and physical form, an *item* exemplifying a *manifestation* is normally the same as the *manifestation* itself. However, variations may occur from one *item* to another, even when the *items* exemplify the same *manifestation*, where those variations are the result of actions external to the intent of the producer of the *manifestation* (e.g., damage occurring after the *item* was produced, binding performed by a library, etc.).

The attributes of an *item* defined for the FRBR are the following: *item* identifier, fingerprint, provenance of the *item*, marks/inscriptions, exhibition history, condition of the *item*, treatment history, scheduled treatment, access restrictions on the *item*

## 2) Person and corporate body

*Persons* are treated as entities only to the extent that they are involved in the creation or realization of a *work* (e.g., as authors, composers, artists, editors, translators, directors, performers, etc.), or are the subject of a *work* (e.g., as the subject of a biographical or autobiographical *work*, of a history, etc.).

The attributes for a person defined for the model are: name of *person*, dates of *person*, title of *person*, other designation associated with the *person*

Corporate body is an organization or group of individuals and/or organizations acting as a unit.

The entity defined as *corporate body* encompasses organizations and groups of individuals and/or organizations that are identified by a particular name, including occasional groups and groups that are constituted as meetings, conferences, congresses, expeditions, exhibitions, festivals, fairs, etc. The entity also encompasses organizations that act as territorial authorities, exercising or claiming to exercise government functions over a certain territory, such as a federation, a state, a region, a local municipality, etc.

The attributes for a corporate body defined for the model are: name of the corporate body, number associated with the corporate body, place associated with the corporate body, date associated with the corporate body, other designation associated with the corporate body

## 3) Concept, object, event and place

The entity defined as *concept* encompasses a comprehensive range of abstractions that may be the subject of a *work*: fields of knowledge, disciplines, schools of thought (philosophies, religions, political ideologies, etc.), theories, processes, techniques, practices, etc. A *concept* may be broad in nature or narrowly defined and precise.

The attribute defined for a concept is: term for the *concept*

The entity defined as *object* encompasses a comprehensive range of material things that may be the subject of a *work*: animate and inanimate objects occurring in nature; fixed, movable, and moving objects that are the product of human creation; objects that no longer exist.

The attribute defined for a object is: term of the object

The entity defined as a event encompasses a comprehensive range of actions and occurrences that may be the subject of a work: historical events, epochs, periods of time, etc.

The attribute defined for an event is: term for the *event*

The entity defined as a place encompasses a comprehensive range of locations: terrestrial and extra-terrestrial; historical and contemporary; geographic features and geo-political jurisdictions.

The attribute defined for a place is: term for the *place*

it should be noted that the entities of the third group (concept, object, event and place) are not defined for the RDA, so they will not be considered for the present analysis.

### **Application of the RDA for the processing of nautical charts of ports: the case of the Port of La Plata**

As has been discussed in previous paragraphs, the territory involved in the area of the Port of La Plata has undergone successive changes over the last 100 years. The making of documents as nautical charts over time represents these changes that translate into important information for the user.

How does the RDA cataloging code of recent implementation respond to these information needs? Analyzing the FRBR model and its application in the RDA code on the one hand, there are no changes in the data that allow us to describe the port nautical charts. The following table shows the above mentioned

Nevertheless the concepts of work, expression, manifestation and item allow to link the different documents of the same place through time. The port of La Plata has gone through four clearly differentiated stages that are manifested through different documents. Each document (maps or nautical charts of the port of La Plata) represents a distinct stage with a given space structure. Each map represents different moments of the same work, with four different expressions, each of which contains its manifestation, with its item.

### **Conclusion**

This conceptual model for information processing allows establishing links between information resources that have a common origin. This functionality of the FRBR applied to resources such as nautical charts of ports generates a benefit to the user when retrieving related information optimizing their time and reducing the dispersion of information

The application of this model to the processing of this type of resources endows the register of meaning by transforming the data into elements relevant to the description, allowing the distinction between entities such as work, expression, manifestation and item.

It is important to emphasize that the bibliographic description includes elements of the manifestation and also attributes that link it with the expression and the work

It is important to emphasize that this functionality of the bibliographic record improves the information retrieval process, but also allows the user to have additional elements of information resource selection and the possibility of navigating through the catalog

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## The impact of training / education on business results and employee satisfaction

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### **Abstract:**

This research starts from the existing theoretical assumptions that education is a good investment for the employer and positively affects employee *satisfaction*. Our intention was to test this hypothesis through appropriate research in Serbia and to identify which factors and to what extent it influences. We started from the fact that HR is a complex process and influenced by various factors. In this context, special attention is paid to the integration of training and education into other HR processes, as one of the most important conditions for influencing business results and employee satisfaction. In doing so, it is especially true that the HRM concept in Serbia has been accepted with great delay and only with the arrival of foreign investors. The main goal of this research is to identify and examine the factors that influence the effects of training/education in the organizational context, and to determine under what conditions education can be an investment rather than an expense. This work is methodologically based on the analysis of the available literature and the results of the research of the authors statistically processed based on the survey on the example of -187 respondents from companies selected by random sample. An appropriate model is presented that in a simple way shows the factors influencing the cost-effectiveness of investment in education/ training.

**Key words:** human resource management, employee, satisfaction, training, investment, business results

### **Introduction**

Today it is not even debatable that the most profitable investment is the one in education and that it pays off to the investor in the span of a couple of years, ensuring capital and profit. People as their organization's potential are its biggest driving and creative power. They have the decisive role and importance in the production process, they are the bearers of change implementation, additional value creation, business efficiency advancement, and the driving force behind its future performance. The realization of the organization's set goals and mission ultimately depends on the degree of the employees' competence for the job, state of their work habits, creativity and motivation.

However, we have seen that the investment in education is not an investment in its own right, because it can be an expense if the appropriate conditions for the use of education results are not fulfilled. The main objective of this paper is to identify factors that influence the effects of training/education in organizational context and to examine their effect on the company's performance and its employees' satisfaction. Within this objective, we have found it important to look into the relation between certain influential factors, costs and business results, in order to determine under which conditions education can be an investment and not expenditure. Our intention was to test this assumption through the appropriate research in Serbia and identify which factors exert influence and to what degree.

We have begun with the assumption that this is a complicated HR process affected by various factors. In this context, we have carefully examined the integrity of training and education within other HR processes as one of the most important conditions of influencing business results and employee satisfaction. Having said that, it is important to note that the HRM concept has been accepted in Serbia with a huge delay, and it's mostly related to the arrival of foreign investors. Training used to be seen as an independent activity in relation to other HR processes, and the prevailing belief was that this activity had unconditionally positive effects on business success in its own right, and that it was even redundant outside of formal education.

Based on the gathered and presented results it has been confirmed that education and training affect business success and employee satisfaction, provided that there exists the influence of certain factors that are especially related to HRM. This research has enabled us to identify the appropriate model which easily demonstrates the factors of influence on the profitability of investments in education and training. It has been confirmed that both employees and training will be treated as a cost as long as there is no clear connection between them and business results. The findings of this research contribute to the testing of the assumption of the importance of training for modern organizations and its effect on their practice.

### **Literature Review and Theoretical Framework**

In the existing extensive literature on HRM there is a consensus that all the processes within HRM are interconnected and have the function of human potential enhancement, and that employee training is the developmental function of HRM. Having said that, it is important to underline that training can achieve the desired results only in the context of other processes. Through their policies, practice and processes with HRM, organizations encourage its employees' development and search for methods and instruments that have strong motivational and identity effects on employees. Different training and development programmes are becoming ever more important, and they serve to advance knowledge, competence, capabilities, motivation and satisfaction of employees.

Especially important is the fact that education/training is a human need since through learning one improves their personal development, develops their own potential, knowledge, interests, personal satisfaction, influencing their organization's performance, and in a broader sense, the whole society.

Education and training have been recognised as important factors of personal and organizational development ever since the first papers in the organizational, management and behavioural theories were published. On the one hand, theoreticians were interested in its importance for the individual, their motivation and development, and on the other hand, in the importance for the development and success of the organization itself.

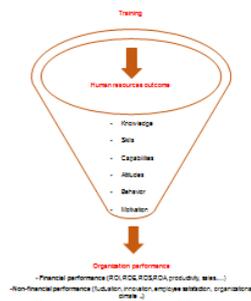
We can recognise the need for education within the need for respect and self-actualisation starting with Maslow's works. Alderfer, however, considers this need as the human need of the highest order, and McClelland's need for achievement is human's need to achieve success in their field. Motivational aspect of training is reflected in employees' direct gain from learning and knowledge, which can be seen in the way they use the acquired knowledge as a lever for development and achievement of other (including material) goals.

In their research, Lee and Bruvold (2003) have proven that investment in employee development is positively correlated to job satisfaction and fluctuation. More recent research indicate that the "high commitment" from HR, in fields like employee development, affects organizational results in shaping employees' behaviour and their attitudes. (Arthur, 1994; Huselid, 1995;).

Although motivation as an energizing (driving) and satisfaction as an emotional component cannot be seen as one of the same, and even though one cannot claim with certainty that satisfaction warrants higher productivity, one can also not deny the importance of satisfaction in the relation employees have with their organization and work results. Employee satisfaction can be influenced by various practices. Basically, human resource practices which enable positive working environment for their employees, and offer them the right to vote, participate, have the autonomy and power of decision, have positive effect on employee satisfaction (Ostroff&Bowen, 2000). The same authors believe that, next to their influence on qualities, attitudes, motivation and behavior of their employees, some human resources practices can advance structural and operative aspects of work, such as work force flexibility and employee behavior control. These processes can enhance operative efficacy.

Training and development didn't use to be considered as activities that could help companies achieve "additional value" and face their competitors successfully. Today, companies use training as a weapon in achieving competitive advantage. Some more recent theoretical views on correlation and strategic role of HRM have contributed to this. Backer & Huselid (2008) underline the necessity of organizing human resource management in a way that would enable it to play a decisive role in organization's strategic planning, and ensure the efficient alignment between human resources and company's strategy. The entire HRM system is the core of competence and it is increasingly acquiring new roles that are of key importance for conducting business, such as the development of policies and strategic business partnership. Barney& Wright (1997) likewise stress that a system of human resources has to be set up that will create a synergetic effect, and not a set of independent individual human resources functions. These authors emphasize that the work results should be bigger than the sum of individual results, and that combining individual capabilities should bring qualitatively new

organizational capabilities. This requires a change in the traditional views on HRM practices (recruiting, selection, training, assessment, development, benefits, etc.) and these independent practices should be seen as related components in a co-dependent system, that are complementary and not opposed to each other, that cannot be identified and copied by the competition, so in this relation they would be a competitive advantage (Noe, Hollenback, Wright, 2006). Barney & Wright (1997) presented six theoretical models for studying HRM, three out of which (resourced based view; sybernetic system; behavioral perspective) are relevant for understanding the relation between training and organizational performance. These theories indicate that the effect of training on organizational level results is mediated by the direct influence of training on employees' attitudes, behavior, knowledge, skills and capabilities. Kozlowski et al. (2002) suggested a multilevel developmental framework, where the efficacy of training entails the relationship between micro training results and macro goals on higher organizational levels. They focused their attention on the transfer of training "since this is the main point of training which affects the efficacy of an organization" (2000:159) and constitutes a theoretical framework for directing research towards vertical transfer (e.g. top-bottom transfer), where they showed the organizational factors that can have a direct and governing effect on learning. All the described theories indicate that the effect of training on the results of organizational level is mediated by the direct influence of training on employees' attitudes, behavior, knowledge, skills and capabilities. Training can affect the results of human resources, which can be measured by both financial and non-financial results. In the financial sense, results are reflected by: Return on investment (ROI), return on assets (ROA), return on equity (ROE), return on sales (ROS), improved productivity, sales growth, etc. Tharenou, Saks and Moore (2007) conducted a meta-analysis of 67 research papers (which is at the same time the first research on the results of training at organizational level), about the relation between training and organization performance. The results have shown that training is positively correlated to human resource results and organization performance, which is shown in picture no. 1.



**Picture 1:** The effect of training on human resources results and organization performance

Source: Author of the text

The system of human resources is a very complicate seth of practices and policies that affect skills, behaviour, motivation, satisfaction and dedication of employees. These employee attribues can serve as a vicarious mechanism that connects human resources practices and organization performance. Although research has shown that training affects organization performance, as one of the human resource practices it cannot act independently without the support of other practices, because only when mutually connected can human resource practices contribute to a company's competitive advantage.

The existing theoretical findings indicate that training influences organization performance and employee satisfaction, provided it is integrated within the function of human resource management and aligned with strategic goals. Therefore, the intention of this research will be to examine these assumptions.

### Methodology

In the process of proving, that is, testing the set hypotheses, confirmative research was conducted, based on a survey that encompassed indicators that were important for examining the influence of education/training on organization performance and employee satisfaction. The research utilized a comparative analysis of the characteristics of the theoretical concept

and human resource management practice. It was conducted during the period from Jun-October 2014 on the territory of Serbia. The examinees were guaranteed anonymity, that is, high confidentiality in the respect of personal identity and their organization's name. The sample was random, and 187 examinees participated in the research.

The survey has 43 questions, the answers to which are distributed on a five degree Likert type scale, and they are used to assess different attitudes important for examining whether training is an investment or expenditure, and what effect training has on organization performance and employee satisfaction. The statistical methods utilized for data processing within the SPSS package v.19 are: descriptive statistics, variant analysis and Pearson correlation coefficient. The results of Cronbach's alpha Test have shown that there is a high degree of reliability (0,973) when using Likert type scale for measuring attitudes in the conducted survey. The survey encompassed the following variables:

sociodemographic variables (sex, age, education, position within the company, time in the company)

company's ownership structure

human resource management function structure and development

employees' attitude towards the company's management

employees' attitude towards the company's goals

employees' attitude towards training – seen through the average value of the total score of examinees' assessment in the five segments of training in the company they work in. This variable was tested with the help of 29 questions in the survey (including, among other things: the adequacy of the training, its effect on motivation and business performance, training program compatibility, training opportunities).

## Results and Findings

The research has confirmed the influence of all the above mentioned variables, but in this paper we will closely examine those that hold more importance for the assessment of our assumptions. Having said that, what we find important are certain results from descriptive statistics. One of the main variables in our research is the development of HRM function, and a large number of employees in the research sample (74%) work in companies that have a separate human resources department, while 7% work in companies that have at least one person employed in this field. Only 2% work in companies that use the services of professional human resource management agencies, while 17% state that the job of human resource management in their company is performed by their top management. This data serves to show that free market economy has encouraged Serbian companies to accept human resource management as an institutional form, regardless of its size, industrial sector and ownership structure. This is a huge step, considering that the practice of human resource management was underdeveloped in Serbia until recently, and mainly directed to administrative tasks with a traditional approach. The activities of these departments were mostly concerned with the "personnel function", that is, with personnel records management, managing work relations, recording employee presence and absence etc. The main activities of human resource management such as recruiting, selection, training, career planning, compensation, performance assessment and employee development were pretty under-developed. Accordingly, most human resources departments in transition economy were not involved in strategies, policies or operative decisions related to human resources. Today, many Serbian companies have introduced human resource management function with all its practices that take part in planning company's goals and strategies, just like in developed countries, which is something that might have been influenced by foreign companies that conduct business in Serbia. 60% of examinees agreed that human resources management function contributes to better business results of the company, which leads us to conclude that the participants of the survey can see clearly, through their experience in the organizations they work for, that policies and practices of human resources are considered as a means of improving profit, business result, quality, satisfaction, etc.

The way of including human resources function in formulating, planning and implementation of organizational goals tells us about the relation between top management and this function, and of its position within the organization itself. Sixty per cent of examinees believe that human resource function is involved in planning company goals, which leads us to the conclusion that this function has positioned itself well within companies, and that top management has recognized its contribution in achieving business results.

The compatibility of training with a company's vision and strategy is one of the main preconditions for training's effect on organization performance. However, only slightly above half of the examinees, 54, 5 % to be precise, believe that this is

standard practice in their companies, while 24,9% are non-decided, and 20,5 % do not have a positive opinion about this. Positive opinion (from more than half of the examinees) regarding the realization of training in compliance with company's strategy and vision demonstrates that human resource management function has full legitimacy with the top management to conduct and implement business strategy through educational activities, that is, training.

Forty-six per cent of employees believe HRM function in their company to be well developed, 31% see it as moderately developed, and 23% as poorly developed. This means that 46% of examinees concluded that HRM function contributes to their company's business results, that it is involved in goal planning, training/education implementation in accordance with the strategy and vision, that it regularly assesses the need for training and follows and encourages its employees' career development. The examinees that believe the function/department of HRM to be moderately developed (31%) probably think that their department does not perform well when it comes to certain activities. One might assume that in the organizations where the examinees believe the function/department of HRM to be poorly developed (23%), this function is still performing activities in the role of "personnel" function, and that it should start working on activities that include a developmental and not administrative component.

The examinees have expressed their experience regarding their notion of motivational aspect of training based on the following claims: education helps me to understand the contribution of my work activities; my salary is higher than the one of my colleague who performs the same job because of the given education/training; my job is more secure because of the training/education I have participated in; my work satisfaction has increased after training/education; training/education has a positive effect on my motivation. The answers on whether training has a motivational aspect to it are almost identical. This is shown by the average value of 3,0718 of responses to this question.

It can be concluded that only 35,9% examinees feel they are motivated to participate in training, and a slightly lower percentage thinks that the motivational effect is average or they cannot see it all. The percentage of those who cannot see the motivational aspect of training is 30,9%, constituting one third of all the people who filled in the survey, which indicates that employees do not see the positive effect of training on salary increase, job security, personal motivation and satisfaction, which will in turn be reflected on their performance.

Assuming that it is important for employees to understand what benefit they can gain from learning, that is, why they need to learn something before they decide whether they will invest effort in it, the survey examined the attitudes of employees related to how adequately trained they are for performing tasks that are expected of them; whether the training is in accordance to the company's strategic goals and if it helps in their better understanding; whether the training is conducted with the expectations of the working positions in mind; whether the management wants to utilize training in order to affect employee satisfaction. The average value of these responses is 3,3401 on a scale of 1 to 5, which is a pretty low result that might be compared to other developed countries, although this wasn't comparative research.

Only 40,4% of examinees believe that companies have created conditions for training their employees in financial and strategic sense, that there is an established plan for employee training and education, that the implementation of training is compliant to its participants and their needs, that management supports training/education and individual development of its employees, that training is an investment, and not a costs, and that the superiors support the employees who attend trainings. As many as 30,4 % of examinees are not sure how much this has been achieved in their companies. On the other hand, 29,2 % of examinees believe that their companies have in no way created opportunities for employee training. This is almost one third of companies from our sample, and based on this, one could not say that training has been understood as an investment, and knowledge as competitive advantage.

Employees' attitude towards training, as seen through the average value of 3,2547 of the total score on examinee assessment pertaining to the adequacy of training, motivational aspect, its effect on job performance, training compliance and opportunities for training in the companies they work for, is as follows: only 40% of examinees have a positive attitude towards training, 34,5 % of them are ambivalent, while 24,8% have a negative attitude. The results are really discouraging for a developing economy that is trying to "catch up" with its surroundings. On the other hand, a correlational analysis confirms our assumptions regarding influential factors on examinee attitudes.

Namely, the results of this research (table 1) confirm that education and training influence organization performance if its employees believe that training is in accordance with the organization's strategic goals and integrated with human resource management function. In the companies whose employees have a clear idea about the main strategic goals and that have function/department which deals with the development of its employees, nurtures training and learning environment, the

employees have a positive attitude towards training and believe that training and education can significantly improve productivity and organization performance. What was also confirmed was our assumption that human resource function should be in a holistic relation with all its functions, in order for us to expect a positive outcome of the performance, that it should be supported by the top management, and that it should work in accordance with the strategy and take part in goal planning.

Correlations

		Attitude towards training and its role	Attitude towards company goals	Development of HRM function
Attitude towards training and his role	Pearson Correlation	1	,726**	,675**
	Sig. (2-tailed)		0	0
	N	154	153	153
Attitude towards company goals	Pearson Correlation	,726**	1	,492**
	Sig. (2-tailed)	0		0
	N	153	181	178
Development of HRM function	Pearson Correlation	,675**	,492**	1
	Sig. (2-tailed)	0	0	
	N	153	178	183

\*\* . Correlation is significant at the 0.01 level (2-tailed).

**Table 1:** Correlation coefficient between the attitude towards company goals, attitude towards training and his role, and development of HRM function.

The gathered results (table 2) also indicated a relationship between development of HRM and attitude towards training and its role. The examinees stated that HRM in their companies is well developed, that it works in accordance with the strategy and takes part in its planning, that it enjoys the support of the top management that had organized adequate trainings which had a motivational aspect, which in turn lead to higher salaries, career development, and improved satisfaction. They also stated that the trainings were in compliance with organizational goals and it had an effect on performance improvement. The assumption that training/education of employees can be an investment and not an expenditure for the company, provided that it is in compliance with organizational goals and employee needs has been confirmed, as shown in table 2.

Correlations		Management sees training/education as an investment and not an expenditure	Attitude towards training and its role	Attitude towards company goals
Management sees training/education as an investment and not an expenditure	Pearson Correlation	1	,740**	,543**
	Sig. (2-tailed)		0	0
	N	183	154	178
Attitude towards training and its role	Pearson Correlation	,740**	1	,726**
	Sig. (2-tailed)	0		0
	N	154	154	153
Attitude towards company goals	Pearson Correlation	,543**	,726**	1
	Sig. (2-tailed)	0	0	
	N	178	153	181

\*\* . Correlation is significant at the 0.01 level (2-tailed).

**Table 2:** Correlation between the way how to management sees training, attitude towards training and goals

A well-organized educational process, which takes into account the individual characteristics and trainees motivation, the content and the selection of training methods, when the organization encourages and favors knowledge, when creating the conditions for the transfer of learning, creates preconditions for greater employee motivation and higher job satisfaction, which our survey confirmed, as shown in table 3.

Correlations

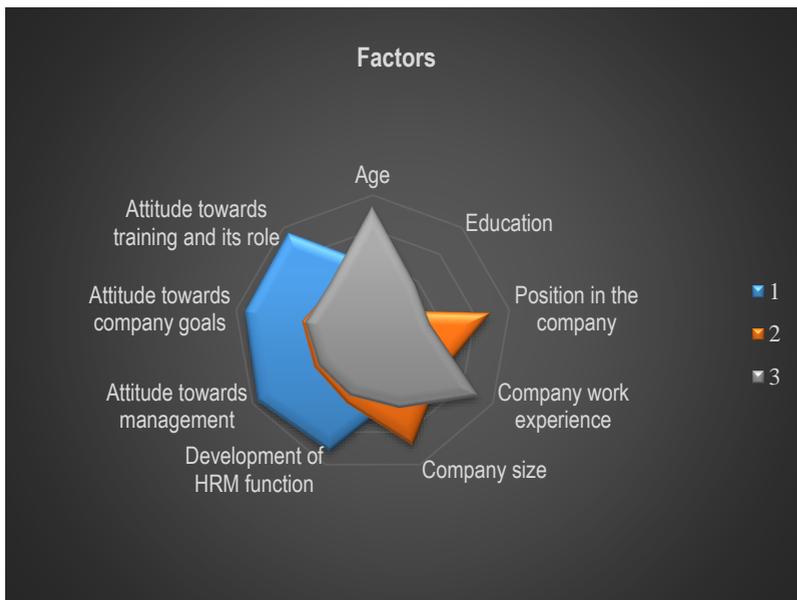
		My job satisfaction has increased after training / education	Training/education positively influence my motivation
Attitude towards training and his role	Pearson Correlation	,755**	,609**
	Sig. (2-tailed)	0	0
	N	154	154

\*\* . Correlation is significant at the 0.01 level (2-tailed).

**Table 3:** Correlation between attitude towards training, job satisfaction and influence on motivation

In the processing of data gathered in this research, factor analysis was used, providing us the opportunity to determine which factors are decisive for accepting the assumptions that training influences organization performance, job satisfaction and is an investment for the company.

By using factor analysis based on mutual dominant characteristics, we discovered three factors that explain 65,207% variance, as shown in the image that follows (picture 2).



**Picture 2.** An example of factor analysis

Having this in mind, we can form the conclusion that training will have better results and investment effects if employees believe that their company's management is more willing to present goals, provide the opportunity for them to contribute to the realization of business strategy with their work, create an environment that will influence motivation and job satisfaction, and be consistent in implementing training.

It has also been confirmed that the companies that have a developed human resource management function that directly influences implementation of all the steps in education programs realization have better preconditions for their employees to equate their own goals with company goals, and in this way these activities can be seen as an investment (both personal and company's). By the same token, employees will be more satisfied with their job, they will have a more positive attitude towards training and be more willing to develop and give higher contribution in their work, because their needs will also be adequately met and contribute to better performance.

### **Conclusion and Recommendations:**

This research has confirmed our assumptions based on the existing literature – that training has influence on an organization in its entirety, and that its advantages can be seen in improving organization performance: profitability, efficacy, productivity, cost reduction, quality and quantity enhancement, employee fluctuation, company's reputation etc.

The results clearly indicate that training will have a bigger influence if it is integrated with other human resource management practices, while human resource management function should be a part of the top management and included in planning the strategy and setting up company goals from the very beginning. The value of the given results should be seen from the perspective of it giving relevant information to scientific and professional public, which can contribute to one developing a better understanding of the importance of training for a company's success.

The importance of this research, the first whose topic was examining the influence of training/education on performance and employee satisfaction in companies in Serbia, lies precisely in the realization that training will influence performance and employee satisfaction if it is compliant with strategic goals and is integrated in human management resource function. Based on the observation gathered by the analysis of the research conducted in Serbian companies, the following needs to be done:

educate managers with a view to understanding the importance of training and professional development of employees, since the lack of it can negatively impact an organization's competitiveness.

train employees in human resource management function in accordance to their competence and implement training in HRM processes in order to gain positive outcome of individual and organization performance.

strengthen the role of human resource management function at organizational level, by making it a part of management structure and enabling it to participate in creating strategy and organizational goals.

thoroughly organize and implement every step (as explained in the theoretical part of this thesis) in educational process so that it would give results.

provide adequate training to participants, based on their needs, and explain the purpose of their attendance.

create an environment that will favor and reward the employees who participate in training and motivate them before, during and after training.

With this in mind, these recommendations can serve as a first step in helping companies in Serbia to find ways for better use and development of human capital with the help of training and human resource function practices, which would also improve their competitiveness in the difficult conditions both domestic and world economy are facing.

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## Intercultural Translation and Communication

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### Abstract

The accuracy of translation and interpretation in intercultural communication is a primary element in the exchange of messages between two or more cultures. When it comes to precision in translation, it is imperative to put in the foreground the precision of finding the equivalence or correspondence appropriate to the communication of two different identities. That precision is entirely in the hands of the translator, but not only. Accurate translation is related to the role of translator in this communication, but also the recognition of jogging elements, as well as the social context in which the process takes place. It is well known that intercultural communication has been achieved through translation science, as it is clear that without this science intercultural exchanges could not happen. There is no way to get used to all the languages of the world. Since the creation of human life, various verbal and nonverbal interpretations between different communities had to be communicated. Intercultural communication relies heavily on translation and interpretation, which are two very important tools for creating a bridge of meaning-crossing, from one language to another, and from one culture to another. Translation is one of the most ancient linguistic phenomena. It was seen as the necessary solution that brought the great number of languages around the world at a time when mankind had just started extending widely to the planet called Earth. Translation has a special merit in communicating between two speakers who speak different languages and have different cultures. Merit relates to the exchange of words that carry the meaning and accurate transmission of the message between two interlocutors or between two different identities with unmatched tradition, culture and habits. In intercultural communication, during the translation process, translators are left free to choose words to describe the concepts from source language to sign language, but this free hand is allowed only by being faithful to the meaning. An important role plays a social context as the interpreter should be attentive to distinguish which culture is being translated and is always ready to find the right linguistic and cultural parameters for the sole purpose of realizing communication. The work of an interpreter can not be done by anyone who knows two languages. The interpreter should be a good connoisseur of the language and culture of the source language and the sign language. Also, the interpreter must necessarily be a very good connoisseur of the social context, which translates or interprets. In intercultural communication, the work of an interpreter can not be left to linguistic equivalence alone, as it is highly riskful to convey the meaningful message. The sender transmits signals to the receiver. For a man who does not know the language - the source of the message, these signals find no sense, so it is imperative for the interpreter to intervene, who, besides being able to embody them, makes meaningful sense to the recipient of the message. How does he do this? Of course, finding the correct verbal and nonverbal parameters as well as necessarily calculating the time or social context in which the translation takes place. Given all the above elements, the interpreter should always be keen to achieve an accomplished communication. He should have a very good knowledge of the language and culture of the source language and quite well the language and culture of the sign language. You should also know the social period or context for which you are translating well. You can not overlook the inner state or curiosity of the interpreter himself.

**Keywords:** Intercultural Translation and Communication.

### Introduction

#### How do you find the right word at the right moment?

Of course, it is not a major difficulty for a professional translator, but in different situations, difficulties can be made even possible or at a high level. This usually happens through cultural translations of the traditions or customs of a people or the daily or popular jargon of a certain identity. An example of the correct translation of a social reality in Albania is eating a

basketball bag made by many Albanians during their long journeys. How can you explain to an alien, for example, that in Albania it has become good that when people leave for holidays in the south, at some stops along the way, stop eating locusts and pilafs? In folk culture or let's call it in the tradition of the current social context of Albanians, eating a few pupae pans is indispensable for gastric gathering so that you do not feel the mixture over a long journey. Can a Frenchman understand this, whose morning over a long journey is just a croissant and a glass of milk? The aforementioned situation is closely related to the fact that different realities are translated according to different situations. Of course, an interpreter should translate everything.

There is no doubt that we are living in times of great change. As we prepare teachers or students, we are aware of many changes taking place at the global level. Population shifting continues to happen all over the world, bringing in contact intercultural dialogue between groups who speak different languages and carry different cultures. This change does not affect only sectors of society, industry, health, politics or business, but also education. In different parts of Europe just like anywhere else in the world, school curriculum designers include intercultural objectives in school curricula and teachers find themselves facing the challenge of promoting and supporting the acquisition of intercultural competence through teaching. This is true for subject teachers but mostly for those of foreign languages. Foreign Language Teaching is intercultural in essence. Entering a foreign language into a classroom means connecting students with a world that is different from their world. Thus, nowadays it is expected to all foreign language teachers take advantage of this potential and encourage empowerment intercultural competence among students and their students. Intercultural competence is the degree to which a person is able to exchange information efficiently and appropriately to individuals who belong to a different group. People have different ways of communicating with individuals who are remodeling of a different culture. This makes the intercultural process a difficult process. Purpose of whether expressed or not, of many researches in the field of intercultural communication is the improvement of intercultural competence in individuals. One of the most important competency barriers intercultural is ethnocentrism. Intercultural contact turns individuals into ethnocentric, prejudicial and discriminatory. Even when we are aware of the barriers they make particularly difficult intercultural communication, we can attribute it erroneously other people's problems and do not focus on our abilities or the lack of these skills. Misunderstandings are equally likely to be created by intercultural contacts as well understandings.

The objective of teaching foreign languages is no longer defined by the appropriation of communication competence in a foreign language. Teachers nowadays are required to teach students and students the intercultural communication competence. Being able to cope with intercultural experiences requires that a person possess a range of competencies and intercultural characteristics. These powers and features are identified as a desire to engage in foreign culture, self-awareness and the ability to see oneself from an external point of view, the ability to see the world through the eyes of others, the ability to face the most insecure, the ability to act as a cultural mediator, and the ability to consciously use the skills of learning the culture and to read the cultural context. Given the above, the article will focus first on a general theoretical overview on the importance of communicative and intercultural competences, various interpretations of the concepts as well as the way of passing and acquiring intercultural competence in English language learning. This competence is seen today as a modern trend in foreign language didactics and as one of the most important in the field of education, aiming at a multi-dimensional development of the individual's personality. First of all there are some of the most important methods and exercises such as critical situations, role playing, simulations, which assist in the transference of intercultural competence develop this competence and decide students in real intercultural situations. Then examples of other methods will be given, such as laboratory learning, virtual realities, reflective dialogue, use of fictitious texts, the use of books, virtual classes, and learning through electronic media – all these show concrete aspects and awaken the interest of not only students but also teachers who are looking for ideas to promote the development of intercultural competence. To do it this will be even more clear proposals, examples and concrete exercises as well as instruments didactics to mediate and convey intercultural elements that help teachers for the organization of the lesson, but also the students to be able to communicate and interact during different intercultural situations. An important part of the paper will be the collection of empirical data related to the role of teachers in intercultural learning of the English language, analyzing these data and extracting them and making conclusions and recommendations.

### **What is culture?**

We encounter the notion of "culture" in diverse ways, in different contexts, as well as in diverse meanings and definitions. But what is meant by "culture"? It is about so-called "culture" such as theater, literature, architecture, etc., or the word is for everyday culture, for example. How we are nourished, how we fix the house and how to dress, how the women and men are greeted here, etc.; or with culture do we understand our traditions, rituals and customs? Culture is undoubtedly

an integral part of our life and society. Also worthy of note is that with the phenomenon "culture" many scientists and personalities have taken over. Based on this, we can assert that "culture" is a complicated and manifold notion, since it itself is also cultural. Word culture implies important and countless aspects of life, making them an inseparable part of it. For most anthropologists, culture includes learned behaviors, beliefs, views, values, and ideals as characteristics of a particular society. It can therefore be said that each of us is born into a complex culture, which exerts a great influence throughout our lives. Culture has to do with the lifestyle of a society, and it includes not only the aspects that are considered more desirable in society, but mostly the everyday activities of everyday life. Suffice it to mention here the example of playing piano or reading the works of Kadare or another author. In this case, social science scientists would only consider elements of what is called general culture. But if we were to talk about culture as a whole, then we would recognize that culture also includes human activities, such as clothing, eating and drinking, washing clothes, driving events, etc. Uncultured society is said to have no, as there are, and uncultured individuals. So we agree with the opinion that every society has a culture, however simple it is and as a result each individual owns a culture, so it is cultured, being a member of a particular society. Culture is taught and adopted by being transmitted mainly through language. The first definition of the concept of culture is found in 1871, given by anthropologist Edward Taylor. In its definition, it is noted that the concept of "culture" includes knowledge, belief, art, law, morals, customs, as well as any other man-made ability and norm as a member of a society. It can be said that, from this point of view, the concept of culture is clear and understandable. But would there be any definitions that are so comprehensive, clear or would they have a more modern orientation? Would there be numerous definitions? It is worth mentioning that since then, the definitions have been numerous. Thus, in 1950, A. L. Kroeber and Clyde Kluckhohn collected from the literature about 100 definitions of culture. In all these definitions there is a clear division of behavior on the one hand, and the abstract values, beliefs and perceptions of the world, on the other. If we would say in other words, we would say that culture is a complex of values and beliefs people use to explain and create new behaviors. Although it is a word of frequent and frequent use, it is not always clear what it means. Like many other notions of this kind, "culture" is also meaningful and its meaning varies in context and usage. For this reason, there is no talk of a homogeneous and general definition of culture.

Thus, according to cultural and social anthropology, which deals mainly with the research of "Cultures" count over 500 definitions of culture. As mentioned above, culture is a difficult notion to define, as there is no single definition accepted by everyone. For this very reason, in this paper we will mainly dwell on those definitions, which are important to our topic. Initially, it is important to know the etymology of the word culture, from which language has its source and what its prime meaning is. The word culture comes from Latin culture ("work, plowing of the earth"; the body (of the soul) ", which is related to the cholera (" cultivate ", " cater ") and generally indicate the way people build their lives together with what they have been thinking and achieving.

### **Intercultural and interculturality**

The main aspects of intercultural studies include issues of intercultural learning in foreign language learning. But before addressing the aspect of intercultural learning, it is important and necessary to clarify and explain the notion of "intercultural" as a broad and highly controversial notion. What is understood by this notion can be seen in different ways according to the scientific disciplines, which we have seen above in explaining the notion of "culture". Generally speaking, aspects of "interculturality" or "intercultural" are understood as a classic example or as a personification of communication between people of different cultures. According to Neuland, communication between speakers of different cultures is always meaningful and this is not only in the context of increasingly growing internationalization of politics, economy, education and culture, but also in teaching a language. Of course, not all the definitions can be addressed in this paper, but those aspects, which have a special significance in learning English for foreigners. The "intercultural" notion is widely used since the mid-1970s and early 1980s, in a very large number of combined definitions, more or less related to teaching and learning of foreign languages . Initially, this notion came out as a thematic word in the field of pedagogy and later in the didactics of foreign languages . It implies the necessary learning that leads to a better understanding of the respective culture as a different culture, alien and its own culture, as we live in a society where different cultures meet. It is about developing the readiness and the ability to be sensitized to the views and ways of others' behavior, to understand them, to tolerate and learn from it something about personal behavior. Concerning this is understood the processes of exchange between cultures, or more specifically: between persons and groups with different cultural history and traditions.

From the point of view, we think that Latin prefixes inter- mean exactly "between two or more entities, with each other, mutually." So let's note that in relation to "interculturality" it is a "between (them)". Interculturality unfolds as a theoretical

model of how to behave in different situations of cultural meetings in which cultures can not be seen as biased, but as open systems of rules, which act in mutual respect and exchange with each other.

Only after the collapse of the communist system, after the 90s, the term "intercultural" and "intercultural" began to be talked about, although it did not really mean the same thing, which was supposed to be spoken in the western Europe. This notion began to be used almost for every relationship between foreign countries and their countries, as well as everything related to foreign culture, and was described as "intercultural". Thus, the fact that interculturality is also intriguing was also ignored. But we can say that after the overthrow of the political system after the 1990s, something began to change, as teachers, but not only, began to encounter this notion abroad; so they began to get acquainted with his meaning, then introduced in Albania. The result was extremely positive, as Albanians were later able to explain different intercultural situations as well as the very meaning of the notion. They also began to rely on the notion of "cooperation" between foreign cultures, of course in a broader sense. This view is not wrong, because everywhere, where different cultures meet, we are dealing with intercultural situations.

We think that there was no ideological or political reason for delaying the use of interculturality. In France, for example, in the years of communism they have studied and specialize in foreign language teachers but they have not approached the intercultural concept.

### **Communication and Intercultural Competence - Intercultural Communication**

Communication is a common and well-known part of our lives that we often do not we pay attention to the importance. Moreover, we often participate in the communication process only as senders and recipients of information without being aware that we are dealing with a complex process, which itself contains many interconnected steps with each other. Human society is built and exists precisely thanks to the human ability for communication. There are many tools that serve to communicate between people: gestures, screams, different signals, but the main tool is nested speech etc. Knowing how to communicate with other people is very important, but on the other hand you have the ability to be understandable about what you intend to say to them is a circumstance that facilitates relationships with them, thus avoiding misunderstandings, disagreements or conflicts. On a few occasions in our daily lives we have noticed that the cause of the great and sometimes insoluble conflicts may have been a mistaken word, not in the right place, as well as badly understood or heard. Also, we may often have felt badly when someone has talked to us seriously or did not understand us properly. Precisely regarding the correct use of the word, Mark Twain would write in his statement that "the difference between the word correctly and what is almost correct is the difference between the light of lightning and the light of the candle". For this, the experience of everyday life has shown that finding the right communication with everyone is difficult.

- First, we need to understand that not everyone thinks and desires the same. For example, likes read, another enjoys hiking in nature.
- Second, we talk to each other about different topics. If we do not like the theme, of course we can retreat, but that does not make us feel good.
- Third, not everyone is tolerant and uncomplicated and understands each other as it is without pre-ordination. To handle and resolve a dispute or conflict, it is imperative to have effective communication. The question should not be asked, "What is the definition of communication?" Or "What is communication?". The answer to this question can not be the same from everyone. Anyone from us would have a different answer. The most appropriate question would be, "What do we understand by communication and what do we want to say, express and convey by word?" Indeed, all the human relationship displayed as human relationships with each other, the human being with nature or the human being, is in fact in essence an infinite number of communications. Therefore, we find communication treatments in the most ancient thinkers, and therefore there is also a set of communication definitions.

Communication is not only an integral part of our daily life, but also an element of important for any form of coexistence among people. Communication involves everyone; it appears in all human situations. Given this, the fact is not surprising, why there are so many communication theories, and why defining the notion of "communication" is not easy at all, but an extremely complex issue.

The words communicate, communication are the source of the communicative Latin verb and are used in many languages, taking appropriate forms according to their phonetic-grammatical structure. In Latin this verb has the following meanings: 1. make joint; 2. participate, to something with someone; 3. interlock, add. (HenrikLacaj - FilipFishta, Latin-Albanian

Dictionary Tiranë, 1966, s.v.). In the "Albanian Dictionary of today" (2002) 48, are given two meanings of the word "communication": 1) action and state by verbs communicate, communicate (eg communication tool); 2) short notice, announcement (what is transmitted). But what does it mean to communicate? Like many other words in a language, the verb communication or the name of the communication that comes from it are words of great significance.

From this we can say that we face a difficulty defining the notion "community". In the most general sense, this notion is used for any relationship in relationships. So with communication we understand, firstly, putting into relationships of human minds. The notion "communication" can be defined as a process by which the communicator's internal discourse is transmitted to others. In this case we are dealing with a kind of process called human communication or oral communication. So communicating means communicating the information you have in mind.

It is in this process that we have the giver and recipient, namely the communicator, the one that starts communication and convey to others: knowledge, memories, images, trials, desires, feelings, etc., as a variety of things.

Research on intercultural communication is relatively new and started exactly when language science was being tackled not only with the semantic and syntax of the language, but also with the pragmatic one. The term "intercultural" includes all the phenomena that arise from contact between different cultures, but which do not always have a communicative dimension

It distinguishes four dimensions, namely: individualism - collectivism, power of distance, avoidance of insecurity and feminism / masculism. The first dimension (individualism and collectivism) can not be understood politically, but in anthropological terms. Individualist cultures assume that everyone in the first place cares for themselves. Quite differently happens in collective cultures.

In such a culture, everyone belongs to a certain group, who you must remain faithful to power of distance as a particular aspect of culture implies acceptance within a society of this distance from the weak, calling it quite normal. But avoiding uncertainty determines to what points of a culture show nervousness in situations that are unclear and unexpected. Given this, they try to avoid such situations by setting behavioral rules and confidence in absolute truth. Cultures, which have a significant avoidance of uncertainty, are more active, aggressive, sensitive, intolerant and in search of security. While cultures which try to avoid the least uncertainty, are less aggressive, cold, relatively tolerant and accept personal risks. The last dimension relates to feminist and machinist cultures. The masculine cultures emphasize the prohibition of men by women and the superiority of men. Men should be ambitious and competitive. They should also aim to be successful. It is quite different in cultures feminist, where the differences between men and women are not clear enough. What is highlighted by scholars, there are other variants of quality of life, namely social relationships as well care for the weakest. Basically any communication situation carries a risk on its own. This happens if the speaker has no knowledge of cultural good, in order to avoid the dangers. For Marsh (1993) 102 are extremely important situations in intercultural communication. It introduces the concept of "situational adaptability / adaptability to the situation". In his opinion it is a great advantage that the science of different academic ones, such as anthropology, sociolinguistics, etc., have approached each other as far as this topic is concerned. Different views have shown that if a person is in a certain situation, there are many different, psychological, social, and biological factors that influence this process.

There are two ways to look at intercultural communication, namely the "maximalist and minimalistic approach / maximum and minimum approach". Blommaert's (1988) maximum approach 107 supports the view that a person's culture always determines how the latter can interact with others.

According to Blommaert, this view is hidden, so it is not straightforward, as it presents an unchanged view of culture and its representatives.

If solutions to any problems related to intercultural communication will be sought, attention will focus on misunderstandings, completely forgetting the most successful communication process. People try to adapt not only to situations but also to interlocutors during communication. Thus, successes or failures are always the result of action in a given situation, but also part of human goals. One of the most common reasons for intercultural misunderstanding is the different use of mechanisms that promote communication. Such mechanisms include, for example, the right to speak, the mutual control of "listeners" through the addition of speech, listeners' passages, and through particles such as "hm". However, many of the communication situations are developing nonverbally, which is what it does even more complicated intercultural communication.

But what do they really change? This question is it is difficult to give an answer, as we would easily create cliché and stereotype. Everyone has created for other countries, their people and cultures their imaginations and ideas and perceptions that they can be general, but also detailed. Perceptions are closely related with each other. They not only exist in our minds, but are also extremely subjective.

### **Intercultural communication in the curriculum**

Intercultural learning of foreign language develops student communication skills. He offers them knowledge and skills for language and its use and gives them the opportunity to develop knowledge about foreign cultures to better understand and respect these cultures. In this case attention focuses on European identity, multilingualism and the diversity of cultures. So students become more able to learn foreign language in the most autonomous way. They also understand, that in order to have a communicative competence, communication should be exercised in a continuous way, durable and versatile. Therefore foreign language is considered as a whole skills, knowledge, but also as a cultural whole. The learner should be able to communicate appropriately in a language and foreign culture. He should be able to evaluate his / her language skills in relation to objectives and identify its strengths and weaknesses. The words in collision conspiracy. Intercultural situational adaptability as a success factor.

Cultural and intercultural competences are part of important to foreign language learning. For this, intercultural orientation should be part of inseparable, such as listening, speaking, writing and reading. Culture and Interculturalism should be included in the curriculum, but not only. Each language book (method) of the language foreigners should be equipped with cultural and intercultural elements, such as textbooks, role playing, dialogues according to authentic situations etc.

As we have mentioned in the heading above, learning the culture is part of the teaching of each language alien. This enables students to make a real assessment as well and a cultural exchange with their peers. In this way, the students except the competences communicative, and cultural development, from which it is created and respect for other cultures. So communication in a foreign language also implies cultural training. It is important for cultural exchanges to be part of foreign language learning, as this motivates students to communicate as much as possible during conversations and discussions. In multicultural classes in which pupils and teachers belong to different cultures, these cultural conversations are naturally more varied. Anyone would have to show it in this case something from his culture, pointing to the changes, but also the similarities that exist between the cultures. In this area naturally arises the question of what happens in single-cultural classes? In such classroom students and / or teachers come from the same culture, which makes the situation extremely difficult. In such students rely on the teacher to understand the language being taught but also to get as much knowledge as possible about the culture of this language. If we would say what we said above in other words, we would point out that every foreign language teacher teaches students not only knowledge, but also culture. Since language and culture are inseparable, then culture must be part of it component of the foreign language program. About the relationship between language and culture have been written even Somavar, Porter & Jain, who call the link between culture and communication inseparable. By calling culture as the foundation of communication, they show that culture takes care of continuity of communication.

### **Intercultural competences**

Everyone has its own history, life and therefore its own culture. In other words, each individual has its own cultural affiliation, or its cultural identity. In the relationship between people, this has to do, on one hand, with the changes that exist between cultures, regions, continents, or countries, but not only. Differences and differences exist between companies and their departments, between groups and minorities, different social strata and classes, or members of the same family, as long as there is talk of different social values. These cultural changes are not only relevant to a proper interaction, but also for the development of personal competencies. If we want to present a summary of the concept of intercultural competence, we will come up with concluding that this is not easy at all. For decades it has been emphasized and accepted, that being fit in the intercultural aspect is extremely important for a more cohabitation successful in a diverse world. Possessing intercultural competence is more important to develop and maintain democratic societies.

With a variety of meanings of this concept, the multiple views on related to this notion always have a positive impact on the process of understanding. Of course that besides the changes there is a range of common things. The notion of "intercultural competence" constitutes a modern concept, which has developed in half second century AD, as a result of massive migration and ever-growing globalization. About it many researches have been conducted in various fields such as psychology, as well as foreign language, sociology, anthropology, cultural science, pedagogy, philosophy, linguistics and

economic science. For each field the definition has its own characteristics. So for example, in language a clear distinction between intercultural competence and factual cultural knowledge.

For some scholars, intercultural competence has an important pragmatic part, namely increase tolerance to other cultures. The ability of speakers of different ages and gender to coexist in one society, peacefully and without mutual discrimination ". Because there are multiple views about communication competence, there are also different perceptions of intercultural competence. The following comparison of the selected definitions is intended to demonstrate the widespread use of this concept.

Intercultural knowledge, emotional dimensions (intercultural sensitivity) and dimensions connotative (acting ability in intercultural situations). All three of these powers allow us to have consider the concepts of perception, thinking, feeling and influence of foreign culture on our actions. It is also worth noting that all three of these dimensions are related with each other. Thus we can mention that the ratio of knowledge of intercultural processes is equally within the cognitive dimension. Elementary knowledge of cultural differences are not enough, as they fail to explain the processes of concrete interaction among the members of these cultures. So if we focus on the comparative views of cultures, we must also need to consider the interaction, as the latter best meets the first. The same we can also say about the emotional dimension, which is complemented by the connotative one. Ability to act in intercultural situations, which is seen as one of the basic goals in teaching foreign languages, plays an important role in intercultural learning of foreign languages. It is closely related to developing the student's identity towards intercultural learning. In such cases, experiences are restored intercultural personality of the competent person, creating the possibility of reviewing the stereotypes and prejudices and to learn something new. At the individual level, intercultural competences it is only an extension of interpersonal competence. To achieve intercultural competence, it is necessary adopting many factors: first, the recognition of the linguistic code, and the second, the recognition of the cultural environment as a basis for communication and awareness of personal behavior in relation to culture. Third, foreign culture and cultural expectation should be recognized and understood. Achieving intercultural competence representation represents an important process that extends throughout human life; this process should be started as early as possible and practiced in a consistent manner. Today intercultural competence is considered a modern trend in foreign language didactics and especially English. Intercultural competence is seen as one of the most important notions of the XXI century, also in the field of education, but also the main objective of intercultural learning in educational institutions.

So we can summarize that language and culture are an inseparable part and that learning a foreign language also means recognizing a certain culture. Knowledge of mother tongue culture, or as is known differently and in the first language, it is also a necessity for language teachers because otherwise we would have overestimated the parent culture and denigration of the culture of other nations. Learning a foreign language is inseparably linked to knowledge or learning of culture. But on the other hand, learning a foreign language or even mastering thatsemantic language, syntactic or pragmatic is not sufficient for an intercultural genuine dialogue. Very important is to know how to deal with and respond to our various intercultural behavior situations. Relying on the ideas that we have noted about intercultural concepts, examples studied, concrete case studies and collecting the opinions and views of teachers, can we draw the following conclusions:

-The term "communicative competence" is dealt with by many scholars as a competence which includes all forms of language communication. This competence is not simply about recognizing the structure language, but also with the meaning, possession and use of endless sentences in situations different backgrounds of everyday life using so and social experience,about the competence communicative has different interpretations. Here is shown particularly the interpretation that anthropologist Dell Hymes has given to communication skills. According to Hymes the competency communication is not only the grammatical knowledge of the speaker but also thepsycholinguistic, social and pragmatic knowledge.

-Intercultural communication is also defined as a process of exchange in which they are involved individuals of two or more cultures in different attractive situations. Naturally, the question arises, how much knowledge the interlocutor has in communication about the culture of the other. Although there are different views of what the intercultural competence implies, most researchers dealing with this concept are convinced that intercultural competences (defined as the ability to act in intercultural contexts) is transmitted to events and situations certain. This view seems credible if intercultural competence is not viewed as well self - sufficient and fully acquired ability, but as an integral part of a general ability to acting in different intercultural situations. The latter consists of partial competences, such as: individual, social, strategic, professional competencies, which find expansion in the intercultural context. Intercultural competence remains one of the most affected topics discussed, which is increasingly in the spotlight. Which of these competences to Partial individual is

the most priority, it is depending on the relevant culture, the situation and everyone's interests. Because of these differences and different interests there can not be a single and general definition of intercultural competence. This chapter has had also as an objective to present the main concepts of intercultural competence and intercultural communication, different interpretations of these concepts and the acquisition and transmission of this competence in learning English in particular, but also of any foreign language in general.

## Students' Cultural Background as a Determinant of Various Categories of Social Behaviour

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### Abstract

The aim of this research was to assess in which way the cultural background of students should be taken into account working with students as well as the adjustments of school activities by the school management, and what differences are possible to be noticed in regard to their cultural background. The empiric part of the research covered the sample of students of United World College in Mostar, comprising of 124 examinees coming from total of 47 different countries, but wider part of the research covered and comparisons with 67 students of Gymnasia Mostar, in total, the sample consisting of 191 examinees. In this piece of work, only the results considering the characteristics of students of United World College Mostar. Employing of Hofstede's operationalization's of national cultures, the students have been, in respect to culture they come from, grouped according to established dimensions: Individualism – Collectivism, Power Distance index, Uncertainty Avoidance index and Masculinity vs. Femininity. Within separate dimensions the comparisons have been carried out regarding to the level of expressed social distance toward the others, level of empathy, intercultural sensibility, locus of control and the assertion of parental control and emotionality dimension. Using t-test, and descriptive statistics, differences between the students have been stated regarding to considered criteria variables, while Pearson's correlation coefficient was used for variable being in linear relation.

**Keywords:** students' cultural background, intercultural sensitivity, social distance, empathy, locus of control

### Introduction

Contemporary researches are rich with the intentions of establishing a relation between characteristics of culture and personality traits as a member of a culture, although serious scientific critics could be mentioned for the majority of tries of presenting of national characteristics. In essence, it is needed, or challenging at least, to try to establish some of national characteristics (Hofstede, 2001, 2005; Rot, 2008). Certainly, every generalization should lead to dangerous and scientifically inadmissible generalization and stereotypes, but thanking to endeavour being left behind the American sociologist Riesman, anthropologists Kardiner, Linton, Mead, Inkeles and Levinson, as well as in the area of ex-Yugoslavia Jovan Cvijić, today we have an opportunity to talk about „basic personality structure“, „modal personality“, „national character starting from personality concept as relatively lasting and organized system of dispositions“, and common „psychological characteristics of inhabitants of the Balkan peninsula“ (all according to Rot, 2008). Emphasizing the importance of caution with establishment of national characteristics as well as complexity of such kind of research, Inkeles and Levinson (1969, according to Rot, 2008:153) suggest that such researches should be oriented not according to establishing of global personality but some behavioural categories such as: relation to authority, understanding of own self, self-respect, the main forms of anxiety, aggressiveness, the ways of cognitive processing and alike. Cultural background of the examinees has been possible to be examined in various ways, but for the purpose of this research we called upon Hofstede's standpoint (2001, 2005) on national dimensions of culture, social distance, and traditional results by Rotter on locus of control (according to Pennington, 2004; Sue and Sue, 2008). One of the most entire researches of characteristics of cultures national dimensions is one being offered by Geert Hofstede in period from 1967 to 1973, and his researches he appended with those dating from 90s and 2000s. Firstly, these researched had been conducted within the frame of IBM

international corporation with basic intention to establish differences arising from various cultures from the aspect of management and organizational culture. Later on, Hofstede had broadened up the understanding of national dimensions to different everyday behavioural standards and functioning within the family upbringing, school, and society in general. In order to determine more as precisely as possible, the characteristics of studied cultures, Hofstede called upon earlier works and researched conducted by Ruth Benedict, Margaret Mead, Alex Inkeles and Daniel Lavinson, developed and with time, modified Values Survey Model dividing 40 countries on the basis of four dimensional scores within 12 clusters. Applying both correlation and factor analyses, Hofstede has succeeded up-to date to collect and compare the results on nearly 90 cultures. For the term *dimension* as an aspect of culture, he decided out of two reasons: empiric measurability in regard to different cultures and ideal types description that are, this way, easier to be understood. In respect to culture characteristics on the basis of researched he had carried out starting from late 60ies up to date, Hofstede produces thesis as the all cultures could be placed into bipolar scales of Power Distance Index, Uncertainty Avoidance Index, Collectivism / Individualism, Masculinity vs. Femininity and Long Term Orientated vs. Short Term Orientated cultures. For the purpose of analysing gathered data within this study, the comparison of national cultures characteristics has shown very appropriate one, also in accordance with suggestions given by Inkeles and Levinson, especially since the research itself had been conducted at the international school United College in Mostar, Bosnia and Herzegovina (here within referred as UWC Mostar) attending by the students from the entire world as the name itself suggests.

### **The aim of research**

Within the scope of a large-scale study of the impact of the International School United World College Mostar to the local community (Alić, Cerić and Habibović, 2017), the importance of cultural background was separately analysed in respect to a sequence of criterion variables such as: the assertion of parents' behaviour, intercultural sensitivity, social distance, locus of control, empathy, the resistance to stress, anxiety and tendency to depressive mood. In theoretical part of the analyses, we leaned upon Hofstede's model of national culture dimensions in a way that we classified the students in regard to cultures they originate from, but at the same time with appreciation of the categorization that the author of this theory Geert-Hofstede (2001, 2005) had established on the basis of large-scale researches. During the results interpretation, it was especially interesting to compare data gained from the previous researches (Alić, Cerić and Habibović, 2013, 2015), in which, using similar instruments, observed different categories of social behaviour of students and youth originating from Bosnia and Herzegovina living in the USA and in some European countries. The aim of this research was to establish in what way a cultural background of students should be taken into consideration working with them, what adjustments are needed from the school management to be done in regard to school activities, and what differences are possible to be noticed among the students in respect to their cultural background.

### **Methodological scope of research**

The research has element of both qualitative and quantitative analyses. In this research, a non-experimental transversal lay out has been used, in which we relied on the interview with single students, focus groups, polling using standardized scales of evaluation, analysing of available historical data of UWC Mostar, analysing of theoretical information and statistical data processing. The empirical part of the research covered a sample of UWC Mostar students comprising of 124 examinees, out of which 75 females, 45 males, while 2 examinees stated to be bipolar-bisexual. Students of UWC Mostar are coming from 47 different countries but the biggest group is that comprising of 39 students coming from Bosnia and Herzegovina. We have stated as the students at UWC Mostar as their mother tongue mentioned 34 different world languages, 55% actively use or consider English to be their second language. By the use of Hofstede's operationalisations of national cultures, according to the culture they come from, we grouped students in regard to stated dimensions: Individualism vs Collectivism, Power Distance Index, Uncertainty Avoidance Index, and Masculinity vs. Femininity values. During the research, the following questionnaires were used: a questionnaire on general information of examinees; perception scale of family relationships with 25 items through which the examinees evaluate dimensions of emotionality and control both of mother and father– Alpha Cronbach for mother's emotionality is 0,771, father's emotionality 0,795, for mother's control 0,898, while Alpha Cronbach coefficient for father's control is 0,967; Empathy scale (Baron-Cohen, 2012) - Alpha Cronbach coefficient 0,837; Intercultural Sensitivity Scale / containing sub-scales: Interaction Engagement, Respect for Cultural Differences, Interaction Confidence, Interaction Enjoyment, and Interaction Attentiveness (Chen, G.M. & Starosta, W.J. 2000, according to Fritz, Mollenberg, & Chen, 2002) - Alpha Cronbach coefficient is 0,833; The locus of control / externality scale (Bezinovic, 1990) - Alpha Cronbach coefficient is 0,833; Social distance scale; and DASS21-Alpha Cronbach coefficient in this research for anxiety scale is 0,786, stress scale 0,787, and depression scale 0,852. The

Alpha Cronbach values had shown for majority of applied questionnaire equally high values as well as in our earlier researches ( Alić, Cerić and Habibović, 2013, 2015).

### **Analyses and interpretation of research results**

From the talks with some of employees of UWC Mostar, the assertions of the students of Gymnasium Mostar but also from the citizens, we have noticed numerous examples of differences among students from other countries in regard to specific behaviour of the members of local community. These differences attracted our attention and animated us into more detailed analyses of cultural background of students as a determinant of possible miss / understanding within the situation of cultural contact. The behaviour of students in respect to an attitude toward the authorities, established norms, responsibility take over, competition, independency, or the ability of cooperation with students from other cultures, significantly vary from the usual behaviour of young people of this region and is greatly conditioned by cultural partakes that characterize the students. It is also noticed as students from some cultures are not able to function together, i.e. students coming from cultures being competitively directed in prospect to others have problems whenever they have to cooperate within same groups. In regard to the evaluation of emotionality dimension and father and mother control respectively, we employed the scale of perception of family relationships, and in regard to the results gained above and under arithmetic mean, we have grouped the results of examinees into four parental styles: authoritative (high and balanced level of emotionality and control), permissive /high emotionality and low control), authoritarian (low emotionality and high control), and indifferent (low emotionality and low control of parental behaviour). Naturally, the perception of parental emotionality and control should be observed in compliance to the perception of parental role the examinees had already adapted in their culture background and in this matter, numerous parental behaviours could be valued as authoritarian in one culture but in other as authoritative.

For instance, Arabs would call the education *terbijeh*, which in simplified and free translation would signify the education/upbringing of soul in regard to compliance and spiritual slavery with the final goal of serving God. In the logic of English language, this term could not be literally translated without „unpack of cultural mental software“ keeping in mind that education/upbringing in Arabic culture is based on religious and philosophical foundations which nourishes different system of beliefs and values in that culture. Similarly, we can determine ourselves toward the dimensions of control and attention due to differences comprising from diversities formed within the cultural programming of the members of different cultures. While in the USA literal usage of the term *control* would provoke negative connotations, in Asian cultures, *control* and *training* could be considered as an integral part of enculturation. In these cultures, the accent is upon spiritual maturation based on the values and beliefs that are differently defined in the West. Along with that, it is important to emphasize as the typology of parental styles could never be considered as static category since the perception of authoritative parenthood significantly changes with members of Chinese, Japanese and Arabic cultures living in Europe and in the USA, therefore, a conclusion imposes as the usage of these terms has primarily socio-cultural context (Alić, 2012:209).

Taking into consideration that we had previously established the significant connection between cultural background of students and their readiness for cultural contact, we checked up to which extent the students' cultural background could be related with the sequence of considered criterion variables. Clearly, it is rare opportunity to analyse the members of different cultures, so such possibility and access to examinees coming from numerous different cultures, has been special research challenge. For this part of our analyses we used the suggestions of Alex Inkeles and Daniel Levinson on the possibilities of study the number of behavioural categories, and Hofstede's model of national dimensions of cultures in a way we classified students according to the cultures they originate, but taking into appreciation the operability of national cultures being established by Geert Hofstede the author of this theory after his vast research work. In this way, the students coming from 47 countries have been included in this research being grouped according to established dimensions: Individualism vs Collectivism, Power Distance, Uncertainty Avoidance, and Masculinity vs. Femininity values. The position of each culture studied is presented in charts in Figure 1. and Figure 2.

**Figure 1.** The overview of Power Distance Versus Individualism/Collectivism (adapted according to: Hofstede, 2005:83.)

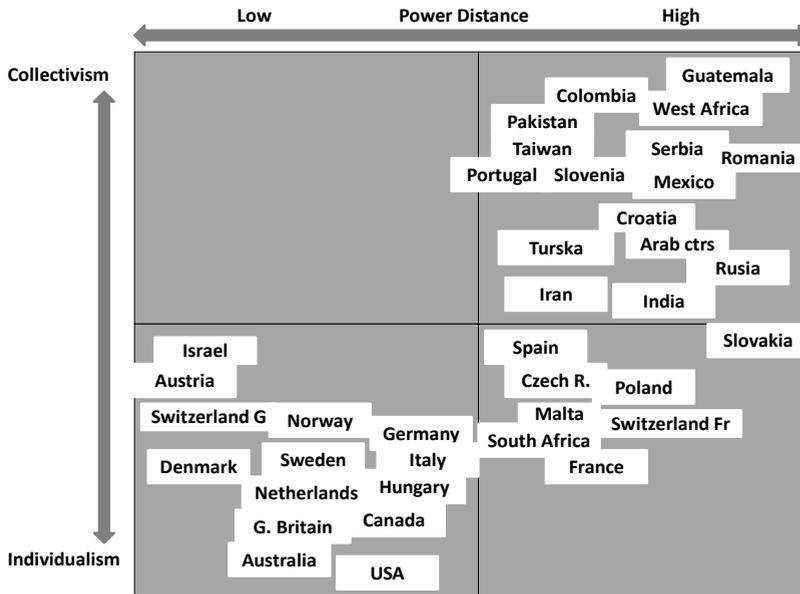
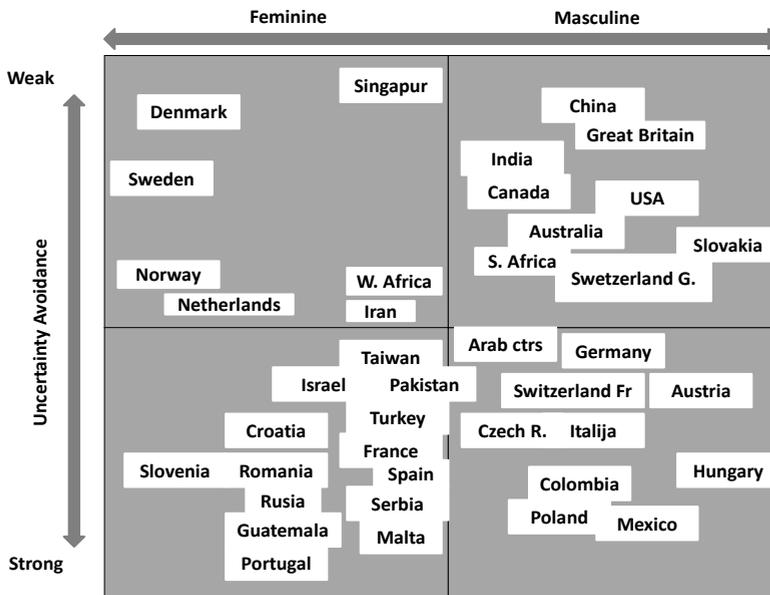


Figure 2. The overview of Masculinity/Femininity Versus Uncertainty Avoidance (adapted according to: Hofstede, 2005:187.)



We have carried out the calculation of connection of the observed criterion variables by using Pearson's coefficient of correlation, taking into consideration they are on interval or ratio measurement scale that are in linear correlation. Using Pearson's correlation coefficient, possible correlations are checked up between the variables: evaluation of emotionality and control dimensions of father and mother, level of social distance, empathy, intercultural sensitivity, inclination to anxiety, depressive moods, stress, as well as national dimensions of culture. It is affirmed that in respect to the evaluation of mother's emotionality there are no statistically significant differences in regard to national dimensions of the culture, (Table 1.).

**Table 1.** Extract from correlation matrix for dimensions of parental emotionality, parental control and cultural dimensions

Scales		Individualism vs. Collectivism	Power distance index	Masculinity vs. Femininity values	Uncertainty avoidance index
Dimension of mother emotionality	Pearson Correlation	.026	-.016	-.018	-.052
	Sig. (2-tailed)	.775	.859	.845	.577
	N	119	119	119	119
Dimension of mother control	Pearson Correlation	.262 <sup>**1</sup>	.285 <sup>**</sup>	.289 <sup>**</sup>	.133
	Sig. (2-tailed)	.004	.002	.001	.150
	N	119	119	119	119
Dimension of father emotionality	Pearson Correlation	.202 <sup>**2</sup>	.018	.072	.045
	Sig. (2-tailed)	.033	.852	.454	.641
	N	111	111	111	111
Dimension of father control	Pearson Correlation	.131	.229 <sup>*</sup>	.240 <sup>*</sup>	.181
	Sig. (2-tailed)	.170	.016	.011	.058

Regardless to cultural differences, the examinees highly evaluate mother's emotionality. The differences are visible in control mother's behaviour where the correlation at level  $P > 0,01$  has been noticed with examinees coming from collectivistic cultures ( $r=0,262$ ;  $p=.004$ ), but controlling mother has been evaluated to a higher extent by examinees coming from high power distance index ( $r=0,285$ ;  $p=.002$ ), and examinees from cultures in which femininity is more emphasized ( $r=0,289$ ;  $p=.001$ ). Statistically significant correlation at level  $P < 0,05$  ( $r=0,202$ ;  $p=.033$ ) has been noticed with the evaluation of father's emotionality coming from collectivistic cultures. In regard of father control dimension, correlation at level  $P < 0,05$  has been noticed with examinees from power distance index ( $r=0,229$ ;  $p=.016$ ) as well as with the examinees coming from the cultures where femininity values are more emphasized ( $r=0,240$ ;  $p=.011$ ).

In Table 2., an extract from correlation for national dimensions of culture and observed criterion variables, empathy, locus of control, intercultural sensitivity, inclination to depressive and anxiety moods and the resistance to stress have been shown.

**Table 2.** Extract from correlation matrix for national culture differences and observed criterion variables

Scales		Individualism vs. Collectivism	Power distance index	Masculinity vs. Femininity values	Uncertainty avoidance index
Social distance	Pearson Correlation	-.289 <sup>**3</sup>	-.289 <sup>**</sup>	-.165	-.194 <sup>**4</sup>
	Sig. (2-tailed)	.003	.003	.093	.048
	N	104	104	104	104
Empathy	Pearson Correlation	-.155	-.167	-.084	-.189 <sup>*</sup>
	Sig. (2-tailed)	.097	.074	.370	.042
	N	116	116	116	116
Locus of control	Pearson Correlation	.205 <sup>*</sup>	.226 <sup>*</sup>	.220 <sup>*</sup>	-.051
	Sig. (2-tailed)	.026	.014	.017	.582
	N	118	118	118	118
Intercultural sensitivity	Pearson Correlation	-.244 <sup>**</sup>	-.180	-.117	-.068
	Sig. (2-tailed)	.008	.051	.207	.467
	N	118	118	118	118
Depressiveness	Pearson Correlation	.128	.184 <sup>*</sup>	.077	.104
	Sig. (2-tailed)	.167	.046	.410	.261
	N	118	118	118	118
Anxiety	Pearson Correlation	.139	.205 <sup>*</sup>	.091	-.080
	Sig. (2-tailed)	.133	.026	.326	.392

<sup>1</sup> \*. Correlation is significant at the 0.05 level (2-tailed).

<sup>2</sup> \*\*. Correlation is significant at the 0.01 level (2-tailed).

<sup>3</sup> \*. Correlation is significant at the 0.05 level (2-tailed).

<sup>4</sup> World Economic Forum, 2006, Global Competitiveness Report 2006-2007, p.26

Stress	N	118	118	118	118
	Pearson Correlation	.143	.147	.129	.048
	Sig. (2-tailed)	.122	.113	.163	.603
	N	118	118	118	118

Statistically significant correlation between the level of social distance at  $P < 0,01$  has been noticed at examinees coming from individualistic cultures ( $r = 0,289$ ;  $p = .003$ ), the examinees coming from low power distance index ( $r = 0,289$ ;  $p = .003$ ). Also, a significant correlation at level  $P < 0,05$  in relation to lower social distance is noticed with examinees coming from cultures of low uncertainty avoidance index ( $r = 0,194$ ;  $p = .048$ ). The previous correlations confirm the expectations as cultural background has strong impact to social distancing and building up ex-group relations. The correlation between the level of empathy and national dimensions of culture has been noticed only in regard to dimensions of uncertainty, on level  $P < 0,05$  ( $r = 0,189$ ;  $p = .042$ ), while the examinees coming from low uncertainty avoidance index cultures gain somehow higher scores on empathy scale. We assume that such difference could be attributed to differences in early attributions of children's' behaviour knowing as in cultures with low uncertainty avoidance index a smaller usage of negative and obtrusive attribution. Correlations between externality of locus of control and cultural dimensions at level  $P < 0,05$  are found with examinees coming from collectivistic cultures ( $r = 0,205$ ;  $p = .026$ ), cultures of high power distance index ( $r = 0,226$ ;  $p = .014$ ), and cultures in which femininity values are emphasized ( $r = 0,220$ ;  $p = .017$ ) from which it could be stated as the examinees coming from these cultures incline to external locus of control.

In respect to intercultural sensitivity, statistically significant correlation at level  $P < 0,01$  has been found with examinees from individualistic cultures only ( $r = 0,244$ ;  $p = .008$ ).

The inclination to depressive moods is more pronounced with examinees coming from higher power distance index at level  $P < 0,05$  ( $r = 0,184$ ), while the inclination to anxiety is also statistically significant at level  $P < 0,05$  ( $r = 0,205$ ;  $p = .026$ ) with examinees coming from cultures of higher power distance index. These data could be related to the fact that the students coming from cultures of higher power distance after coming to the new culture, have far more difficulties to integrate into new context.

The connection between social distance, locus of control, depressiveness, anxiety and stress shows a dependence, extroversion and building up ex-group relations with students from individualistic cultures of low power distance and low uncertainty avoidance index. Unlike of students from collectivistic, students from individualistic cultures are more directed to outer groups that was also explained in literature as a characteristic of individualistic cultures. Higher level of inter-group interaction in collectivistic cultures, differences in building up inner and outer group relations effect to social distance, intercultural sensitivity, a concept of mental health, but also to the estimation of the importance of parental dimensions. Although there is a correlation on the scales of depressiveness, anxiety and stress only between depression and anxiety with examinees coming from the cultures of higher power distance, it is noticeable that students from collectivistic cultures on these scales gain higher scores that could be explained by social context they presently reside – it favours to higher extent to the students from collectivistic social context, but they do not get it sufficiently.

As a continuation of the analyses we present comparisons between the level of expressing the social distance, locus of control, empathy and intercultural sensitivity, for all poles of national culture dimensions respectively.

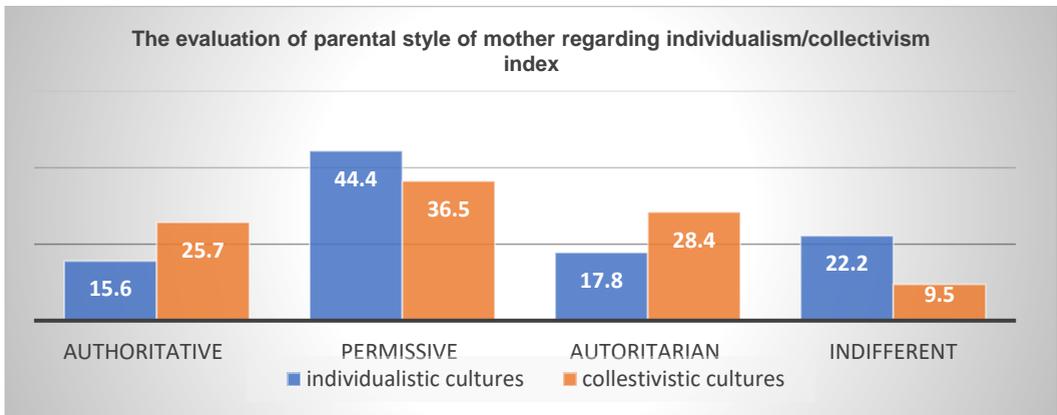
### Dimension individualism – collectivism

Hofstede considers dimensions individualism versus collectivism in opposed terms of defining the relationships among individual and community, and those relationships differ considering the nature of social structure, development of sense of belonging to the community but also a positioning of own, individual comprehension related to the community. Within this dimension, as Hofstede says, individualistic cultures promote the concept in which everybody should firmly grasp the destiny in its own hands, so the individual efforts build into the integrity of social system, while collectivistic cultures are more inclined to subject of the individual to community, acceptance of common destiny and relying on each other. The differences in defining and everyday practical living of cultural practices are recognizable in the field of children upbringing rituals, symbols the members of cultures use on everyday basis, but also in determination towards the parents and other important persons. Thus, the practice of upbringing and education of children in collectivistic cultures puts an accent on subordination to the group or collective, because of what are more present strategies modelling the concept of shame. In individualistic cultures, it is emphasized to rely on own potential, endeavour, self-initiative and generally speaking, higher responsibility and feeling of own control of events and activities.

Such ritual symbolic solutions if formed by the usage of a language. In English, first person in singular is written with capital letter "I", while Hofstede, referring to Chinese-American anthropologist Francis Hsu (2005:93), says that the closest word in Chinese for the first person singular – "Ren" that besides the individual also includes the entire social-cultural surrounding an individual lives in, so the individual being introduced to others actually introduces to entire primary social circles.

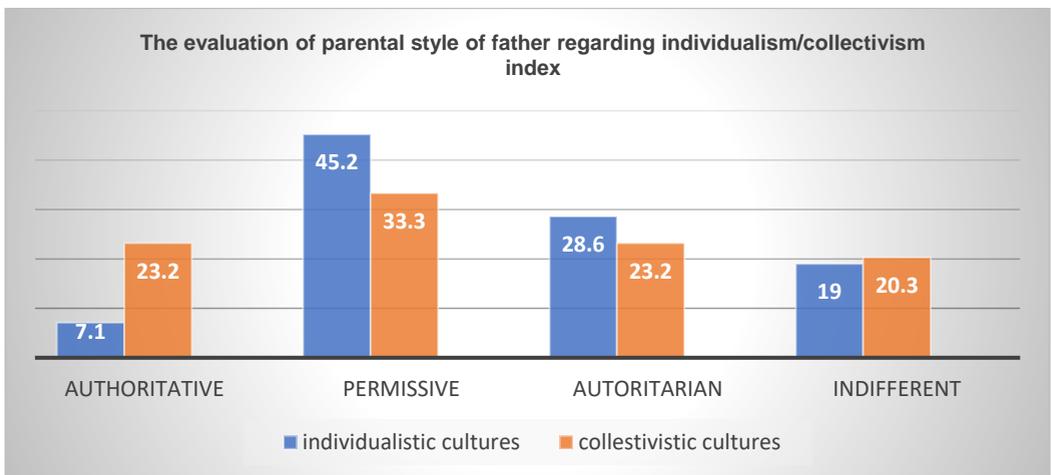
Non-adaptability to the local culture in regard to all variables that influence on the perception of UWC Mostar in the eyes of local community we have checked whether the students are coming from either individualistic or collectivistic cultures. From Figure 3., it is visible as students coming from individualistic cultures evaluate mother in higher extent as permissive (44.4%), indifferent (22.2%), while students coming from collectivistic cultures, evaluate in high percentage authoritativeness (25.7%) and authoritarianism (28,4%) of mother.

**Figure 3.** Differences between evaluation of parental style of mother regarding dimension individualism/collectivism index



The examinees coming from individualistic cultures significantly evaluate father as being permissive (45.2%) and indifferent (19%) than the children coming from collectivistic cultures. At the same time, much more authoritativeness (23,2%) has been evaluated with the examinees from collectivistic cultures, contrary to only 7,1% authoritative fathers in individualistic cultures (Figure 4.).

**Figure 4.** Differences between evaluation of parental style of father regarding dimension individualism/collectivism index



The examinees coming from both cultures almost equally consider father and mother being permissive, but the authoritativeness of father in relation to mother's has been far higher evaluated with examinees from individualistic cultures although there are no statistically significant difference among students in regard to evaluation of mother's behaviour, the difference is clear to be noticed in respect to extent of presence of parental strategy according which in individualistic cultures a high emotionality is dominant, but low control, while in collectivistic cultures a controlling behaviour of mother is more present. The continuation of the analyses brings the comparisons between the level of social distance expression, locus of control, empathy and intercultural sensitivity. In Table 3. it is visible as the differences are noticed between the all variables considered, except for the level of empathy.

**Table 3.** Differences between criterion variables regarding dimension individualism vs. collectivism

Scales	National dimension of culture	N	M	$\delta$	SE M
Social distance	Individualism	43	8.02	1.472	.224
	Collectivism	61	6.74	2.469	.316
Locus of control	Individualism	45	17.0000	4.90825	.73168
	collectivism	73	19.2603	5.51772	.64580
Empathy	Individualism	44	47.48	11.987	1.807
	Collectivism	72	43.75	11.405	1.344
Intercultural sensitivity	Individualism	45	102.2889	6.53530	.97422
	Collectivism	73	97.1781	11.52936	1.34941

t-test I - K	t	df	p
Social distance	3.051	102	.003
Locus of control	-2.316	116	.023
Empathy	1.675	114	.097
Intercultural sensitivity	2.714	116	.008

Higher interaction in collectivistic cultures, differences in building inner and outer group relations effect on social distance, intercultural sensitivity, a concept of mental health but also on the evaluation of the importance of parental dimensions. All of these variables according to their aftereffect are of importance for the total influence that school through its employees and students gains in regard to local community, but also the influence that through the organizational school culture and activities affect the students at UWC. This is confirmed by proportions obtained by t-test.

Social distance is statistically significantly lower with students from individualistic cultures at level  $p < 0,01$  ( $r = .003$ ,  $df = 102$ ). The difference is noticeable when we compare it with average score, thus with students from individualistic cultures it is 8.02 with SD 1.472, while with students from collectivistic cultures it is 6.74, and SD 2.469. Students from collectivistic cultures show statistically higher evaluation for dimension of mother control at level  $p < 0,01$  ( $r = .002$ ,  $df = 117$ ). Students from collectivistic cultures show statistically higher evaluation for dimension of emotionality of father at level  $p < 0,05$  ( $r = .003$ ,  $df = 109$ ). Although there are no statistically significant differences, it is interesting comparing the average scores to notice as students from collectivistic cultures consider of greater importance dimensions of emotionality of mother also and father control that confirms the thesis on importance of appreciation of cultural differences in building up the relationships, and differences leading from it in regard to evaluation of social distance and intercultural sensitivity as well as variables being important as criteria in the process of accepting or rejecting the others.

There is statistically significant difference in inclination to external locus of control. Namely, we notice that at level  $p < 0,05$  ( $r = .023$ ,  $df = 116$ ) students from individualistic cultures incline to internal, but students from collectivistic cultures incline to external locus of control. Although, there are no differences in regard of empathy, it is noticeable that students from individualistic cultures gain higher scores on empathy scale. In respect to sub-scales of intercultural sensitivity, statistically significant difference has been found at sub-scale of interaction concernment at level  $p < 0,01$  ( $r = .003$ ,  $df = 116$ ), sub-scale of appreciation of cultural differences at level  $p < 0,05$  ( $r = .042$ ,  $df = 116$ ) and sub-scale of interaction kindness at level  $p < 0,01$

( $r=.002$ ,  $df=116$ ) in favour of the students from individualistic cultures. Also, a statistically significant difference in noticeable at level  $p<0,01$ , ( $r=.008$ ,  $df=116$ ) in respect to entire intercultural sensitivity in favour of students from individualistic cultures.

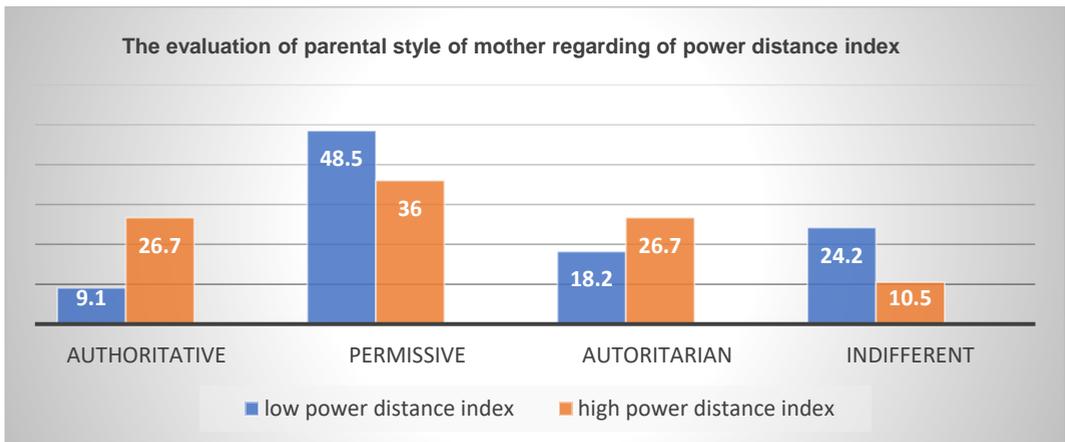
On the scales of depressiveness, anxiety and stress there are no statistically significant differences, but it is noticeable that students from collectivistic cultures gain higher scores that could be explained by social context they presently reside at – it more favours to students from individualistic cultures. Students used to pursue the elements of collectivistic social context but they do not get it sufficiently. That brings us to conclusion as, generally speaking, organizational culture of UWC inclines to partakes of individualistic cultures, and in such circumstances students from individualistic cultures cope much easier.

### Dimension of power distance index

Defining the extent of power distribution (in a family, school, organization, society...) is diametrically opposed within cultures of high and low power distance index. So, in cultures with highly emphasised power distance index, education of children is directed to obedience, subduing, resigned appreciation of authority of superiors, grownups and older. The all relationships are based upon the principle submissive –superior so in cultures where relationships are defined in this way, it is accepted as cultural norm from all participants. In cultures with high distance power index are dominant autocratic leadership, patronizing and commandment, thus an abuse of power is often. Opposing to such, in cultures with low index of power definition an inclination to equality, bigger freedom of individual choices, earlier becoming independent or appreciation of choices of every single individual are present. Hofstede brings as in such cultures a participative or democratic style are dominant ones, directing and inducing, negotiation and persuasion, thus the abuse of power is rare one. A need for independency in cultures with low power distance index is very early programmed into *mental software* of children.

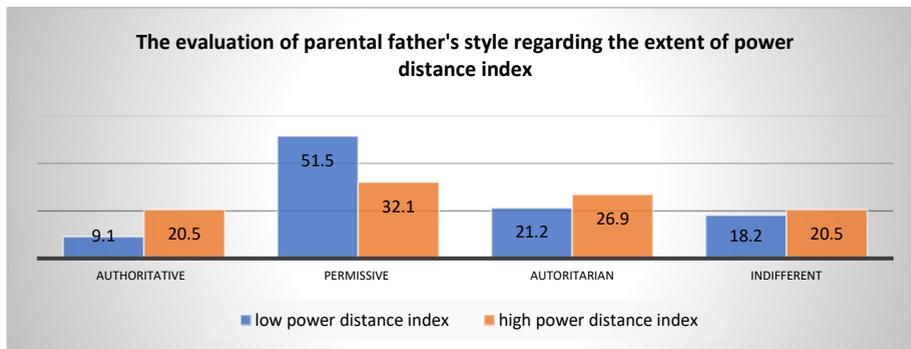
Dimensions of power distance index are noticeable in all institutions of society. Family structure and communication, and architectural layout of homes family live in, architecture of schools, classroom layout, forms and methods of learning as well as the relationship between teachers and students vary in accordance to the extent of defined power. Judging by the distribution of the results of evaluation on parental mother's behaviour and in cultures of low power distance index, far more represented are permissive (48,5%) and indifferent (24,2%) styles, while in cultures of high power distance index noticeably higher evaluations are of authoritativeness (highly expressed balance of emotionality and control (26,7%) and authoritarianism – high control, low emotionality (26,7%) (Figure 5.).

**Figure 5.** Differences between evaluation of parental style of mother regarding dimension of power distance index



In cultures of low power distance index, a father has been evaluated in significantly higher percentage as permissive (51,5%), but in indifferent (18,2%), while, as expected, in cultures of high power distance index authoritativeness (20,5%) and authoritarianism of father (26,9%) are being significantly higher evaluated. (Figure 6.).

**Figure 6.** Differences between evaluation of parental style of father regarding dimension power distance index



Such results are in accordance with the expected and statistically significantly different at level of 5%, so it is possible to conclude as the cultural programming of *mental software* in respect to relations to authority and cultures of low power distance index significantly impact on low controlled parental behaviour, and consequently also to expected relationship towards authority with children coming from such cultures. In respect to comparisons of key criteria variables, using t-test the differences in regard to all variables, except for the extent of empathy has been stated. (Table 4.)

**Table 4.** Differences between criteria variables regarding dimension power distance index

Scales	Power distance	N	M	$\delta$	SE M
Social distance	Low	32	8.22	1.263	.223
	High	72	6.85	2.395	.282
Locus of control	Low	33	16.4545	4.99431	.86940
	High	85	19.1529	5.37079	.58254
Empathy	Low	32	48.31	13.010	2.300
	High	84	43.96	11.036	1.204
Intercultural sensitivity	Low	33	102.0606	7.30984	1.27248
	High	85	97.9882	10.95064	1.18776

t-test of Power distance index	t	df	p
Social distance	3.051	102	.003
Locus of control	-2.578	116	.012
Empathy	1.803	114	.074
Intercultural sensitivity	1.970	116	.050

Social distance is statistically significantly lower with students coming from cultures of low power distance index at level  $p < 0,01$  ( $r = .003$ ,  $df = 102$ ). The difference is notable when we compare it with average score gained, so with students coming from cultures of low power distance index is 8,22 with SD 1.263, but with students coming from cultures of higher power distance index is 6.85, and SD 2.395. Students from cultures of higher power distance index statistically highly evaluate dimension of mother's control at level  $p < 0,01$  ( $r = .006$ ,  $df = 109$ ). There is no statistically significant difference at empathy extent although a higher score has been visible with students coming from cultures of low power distance index. There is statistically significant difference in regard of inclination to external locus of control. Namely, we notice as at level  $p < 0,05$  ( $r = .012$ ,  $df = 116$ ) students of low power distance cultures incline to internal, but students from higher power distance index incline to external locus of control. In respect to sub-scales of intercultural sensitivity, statistically significant difference has been found at scale of interactivity engagement at level  $p < 0,05$  ( $r = .013$ ,  $df = 116$ ) and sub-scale of interactivity attentiveness at level  $p < 0,01$  ( $r = .010$ ,  $df = 116$ ) in favour of students from cultures of low power distance index. Also, statistically noticeable is difference at level  $p < 0,05$  ( $r = .050$ ,  $df = 116$ ), in regard of entire intercultural sensitivity in favour of students from low power distance index. On scales of depressiveness and anxiety we could notice statistically significant difference at level  $p < 0,05$

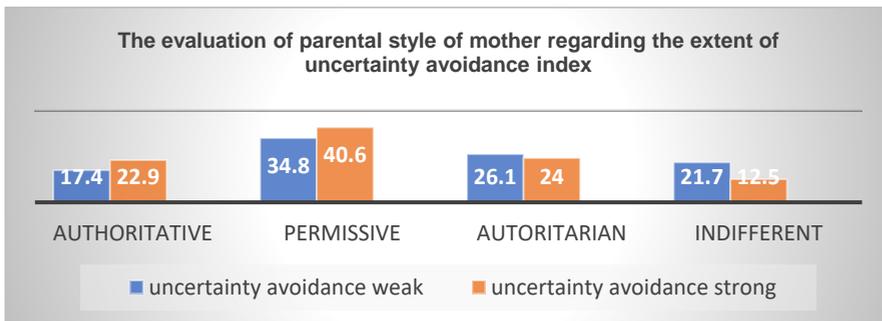
( $r=.019$ ,  $df=116$ ) in regard to inclination to depressiveness, and at level  $p<0,05$  ( $r=.014$ ,  $df=116$ ) in regard to inclination to anxiety, meaning that students coming from higher power distance index cultures are more inclined to depressive and anxiety conditions. This refers to possible conclusion as the entire organizational culture of UWC Mostar is closer to students coming from cultures of low power distance index, and less favours to students coming from high power distance index cultures. It is also possible to conclude that these data indicate eventual affinity on one side as well as the attitude to cultural norms that build up the entire relationships as at school, so at the school board.

### Uncertainty avoidance index

Disapproval or affirmation of boundaries of freedom and security are the integral part of repertory parental children disciplining starting with early age. A disapproval of initiative is a way of direct impact to will traits and when the will is affirmed, then it has to serve of accuracy and meticulousness. This way, in cultures of high power distance index contrary to uncertainty, the concept of absolute truth is developed which rests upon certain premises and if we follow it without prior examination and curiosity, the success will not be failed. Contrary to this, in cultures with low uncertainty avoidance index an exploring and tasting of own success that often means a risk take over and personal responsibility.

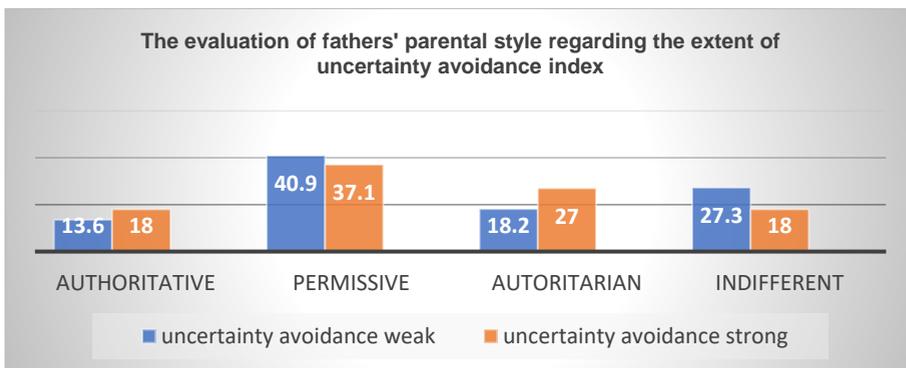
According to Hofstede (2005:174), it reflects upon the readiness of risk take over and everyday routine change taking into consideration a dominant presence of /non/ avoidance of uncertainty. Permissive style is the most present in cultures of high uncertainty avoidance index (40,6%), more emotionality affects to somehow more emphasized authoritative style of upbringing (22,9%), while in cultures of low uncertainty avoidance index there is more over-estimated indifferent parental behaviour (21,7%) (Figure 7.).

**Figure 7.** Differences between evaluation of parental style of mothers regarding dimension uncertainty avoidance index



The examinees from low uncertainty avoidance cultures, in percentage, evaluate somehow higher permissiveness (40,9%) and indifferentness of father (27,3%), while authoritativeness (18%) and authoritarianism (27%) and somehow over-estimated in cultures of high uncertainty avoidance (Figure 8.).

**Figure 8.** Differences between evaluation of fathers' parental style regarding dimension uncertainty avoidance index



Obviously that the rise of permissiveness also in cultures of high uncertainty avoidance index could be related to global tendency of impact upon parents in a sense of suggesting of higher expression of emotions, but competency that depends on expressing of carefulness as a consequence has lowering down of controlling behaviour out of fear the expressed authoritative could negatively reflect upon children development.

The comparison of t-test showed statistically significant difference at level  $p < 0,05$  in regard to expressing the social distance and empathy (Table 5.).

**Table 5.** Differences between criteria variables regarding dimension of uncertainty avoidance

Scales	Uncertainty avoidance	N	M	$\delta$	SE M
Social distance	Low	22	8.09	2.022	.431
	High	82	7.05	2.205	.243
Locus of control	Low	23	18.9565	6.06389	1.26441
	High	95	18.2632	5.23534	.53713
Empathy	Low	22	49.73	10.920	2.328
	High	94	44.10	11.697	1.206
Intercultural	Low	23	100.5217	10.57385	2.20480
Sensitivity	High	95	98.7895	10.13829	1.04017

t-test			
Uncertainty avoidance	t	df	p
Social distance	2.002	102	.048
Locus of control	.552	116	.582
Empathy	2.057	114	.042
Intercultural sensitivity	.729	116	.467

Social distance is statistically significantly lower with students from cultures of low uncertainty avoidance index at level  $p < 0,05$  ( $r = .048$ ,  $df = 102$ ). The difference is notable when we compare it with average gained score, so with students from cultures of low uncertainty avoidance index is 8.09 with SD 2.022, and with students from cultures of high uncertainty avoidance index 7.05, and SD 2.205.

Students from cultures of low uncertainty avoidance gain higher scores on empathy scale, so we find here a statistically significant difference at level  $p < 0,05$  ( $r = .042$ ,  $df = 114$ ). There is also statistically significant difference at sub-scale of interaction attentiveness at level  $p < 0,05$  ( $r = .050$ ,  $df = 116$ ) in favour of students from cultures of low uncertainty avoidance that is, at the same time, the only difference within considered field of intercultural sensitivity. In respect to other variables, this dimension of national culture is of no great importance.

### Dimension masculinity –femininity values

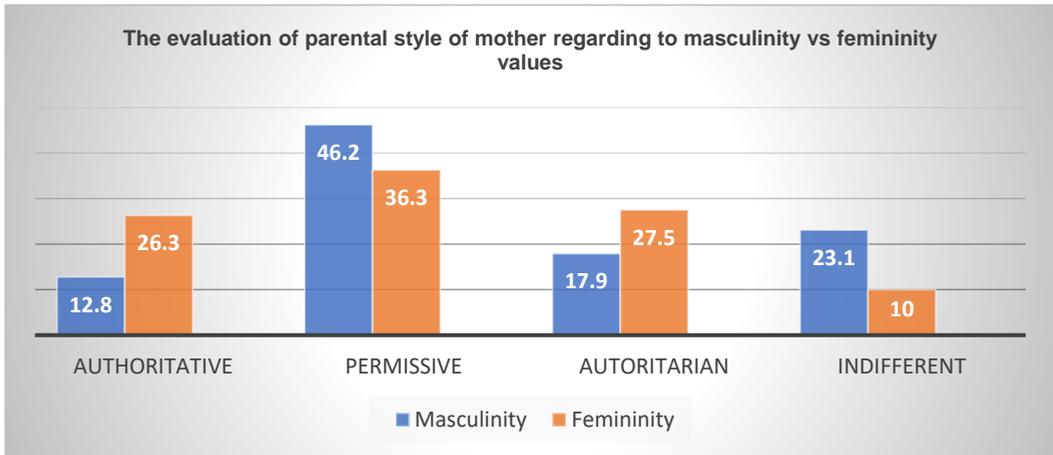
According to Hofstede, by identification with sex roles a mental software of masculine and feminine values is programmed. But, masculinity vs femininity values as cultural dimensions must not be identified with domination of either sex, but sex itself symbolises some attributes.

So, in cultures with dominant masculine values, results, prestige, money and aggressiveness (contentiousness) are appreciated unlike those with dominant feminine values where social position, development of adequate emotional relations, as well as the ability for forgiveness and sympathy are appreciated. When masculine ideals are dominant ones, competence, rivalry, market and economical advantage or calculation are in the first plan. Such life philosophy is emphasized even with family planning and children upbringing. So, it is possible that one culture affirms individuality, self-confidence, independency (individualism and low power distance index), but simultaneously the masculine values of domination and rivalry, along with the part of feminine population can promote masculine dimension. Because of that, Margaret Mead has established that in the USA a sexual attraction rises at males towards successful women, but in a case

of failure, the attraction falls down in a contrariwise manner. At the same time, in individualistic cultures where masculine values are affirmed, greater is a number of single mothers who decided to rise their children without any support and relying on males.

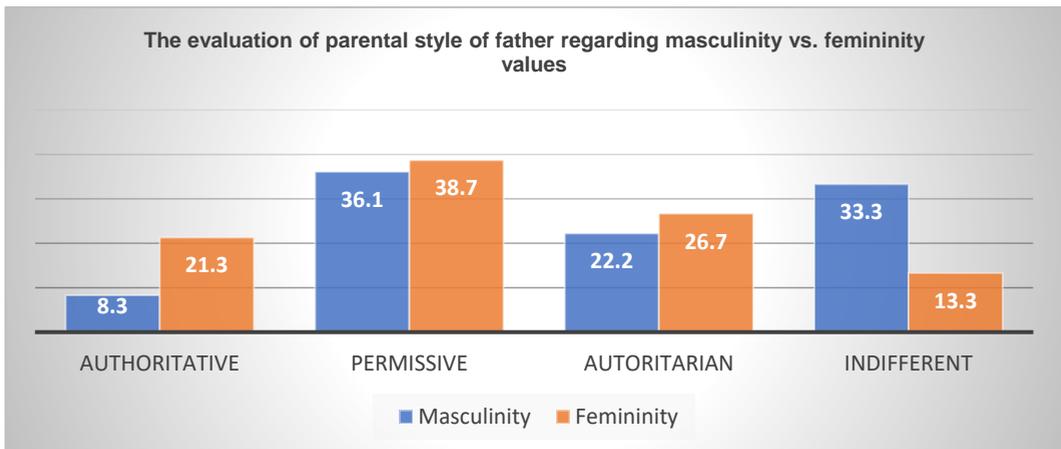
A descriptive account of evaluation of parental style of mother showed that in cultures with emphasized masculine values much more permissiveness (46,2%) and indifferent (23,1%) of parental behaviour. (Figure 9).

**Figure 9.** Differences between evaluation of parental style of mother regarding to masculinity vs. femininity values



From the differences in evaluation of dimensions of emotionality and controlling father, among examinees, the attention is pointed out especially to emphasized evaluation of indifference of father (33,3%) in cultures with pronounced masculine values (Figure 10).

**Figure10.** Differences between evaluation of parental style of father regarding masculinity vs. femininity values



Data that in cultures where much more attention is given to emotional relationships but less to competition and market competition far more authoritative (21,3%) (in relation to 8,3% in cultures of masculinity values) and authoritarian (26,7%) parenthood, fits in Hofstede's descriptions of this national dimension (Figure 10.).

As it is visible from Table 6. in which the differences between criteria variables regarding dimension masculinity vs. femininity values are presented, there is no difference in regard to social distance as well as the entire intercultural sensitivity. By additional check-up (that are not mentioned in table) a significant statistical difference has been noted in

evaluation of mother's control dimension at level  $p < 0,01$  ( $r = 0.000$ ,  $df = 117$ ) and father control  $p < 0,01$  ( $r = .003$ ,  $df = 109$ ) in favour the students coming from cultures where feminine values are dominant ones.

**Table 6.** Differences between criteria variables regarding dimension masculinity vs femininity

Scales		N	M	$\delta$	SE M
Social distance	masculinity vs	37	7.76	1.949	.320
	femininity.	67	7.00	2.296	.281
Locus of control	masculinity vs	39	16.7179	5.10907	.81811
	femininity.	79	19.2278	5.35640	.60264
Empathy	masculinity vs	37	46.59	11.805	1.941
	femininity.	79	44.49	11.694	1.316
Intercultural sensitivity	masculinity vs	39	100.8205	8.25856	1.32243
	femininity.	79	98.2911	10.98852	1.23630

t-test M-F values	t	df	p
Social distance	1.695	102	.093
Locus of control	-2.470	116	.016
Empathy	.899	114	.370
Intercultural sensitivity	1.270	116	.207

There is statistically significant difference in regard to inclination to external locus of control. Namely, we notice as at level  $p < 0,05$  ( $r = 0.16$ ,  $df = 116$ ) students coming from cultures with dominant feminine values incline to external, but students coming from masculinity values incline to internal locus of control.

On sub-scales of intercultural sensitivity, a statistically significant difference has been found on sub-scales of interaction engagement at level  $p < 0.05$  ( $r = .003$ ,  $df = 116$ ) and sub-scale of interaction attentiveness at level  $p < 0,05$  ( $r = .014$ ,  $df = 116$ ) in favour of students coming from cultures with dominant masculinity (data have not been shown in table). It means that it is expected from students coming from cultures of competition, rivalry, struggle for primacy to have higher level of readiness to participate, but also higher level of reciprocity and circular stimulating during the interaction.

### Final discussion

Researchers from these regions rarely get an opportunity to analyse the members of different cultures, so the possibility and admission to the examinees coming from 47 different countries has been special research challenge. For this research, we used the suggestions of Alex Inkeles and Daniel Levinson on possibilities of studying a certain number of categories of behaviour of members of different cultures, as well as Hofstede's model of national dimensions of culture. In regard to evaluation of emotionality and parental control, it was notices that examinees coming from individualistic cultures, cultures of low power distance index, low uncertainty avoidance index and cultures with stressed masculinity values consider their parents to be far more permissive, but also indifferent ones. Somehow higher extent of evaluation of father's control is expressed by examinees coming from collectivistic cultures, cultures of high power distance index, high uncertainty avoidance index and cultures with emphasized femininity values. The students attending the international school choosing an early separation and distance from prime social entity, coming from families in which, regardless to cultural specificity, somehow more liberal rules are practiced, they statistically prove that the majority of students have evaluated their parents as permissive ones (low control but high emotionality). The connection between social distance, locus of control, depressiveness, anxiety and stress shows the dependence on extroversion and building up ex-group relations with students coming from individualistic, cultures of low power distance index and low uncertainty avoidance index. Unlike the students from collectivistic, students from individualistic cultures are far more directed to external groups. A higher level of inter-group of interaction in collectivistic cultures, and differences in building up of inner and outer-group relations, effect on social distance, intercultural sensitivity, concept of mental health, but also on evaluation of the importance of parental dimensions. Correlation between locus of control and cultural dimensions have been found with the examinees coming from collectivistic cultures, cultures of high power distance index and cultures with stressed femininity values. Thus, it is

possible to state that examinees coming from these cultures incline to external locus of control. Although on scales of depressiveness, anxiety and stress there is correlation only between depression and anxiety with examinees coming from cultures of high power distance index, it is noticeable that students coming from collectivistic cultures on these scales gain higher scores that could be explained by social context they presently reside – it favours in great extent the students coming from individualistic cultures, the students used to collectivism search for the elements of collectivistic social context, but they do not get it in satisfactory sense.

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## Intergenerational Educational Mobility and Identity: a French-Argentine Comparative Study

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### Abstract

This study forms part of the author's longstanding research regarding social, educational and professional mobility observed in Argentina across three generations, associated with the factor of Education and with the greater flow of immigrants in the last century. This research encompasses various smaller studies. Here we mention one, a French-Argentine comparative study in which we worked with PhDs from different institutions and different social science PhD programs. Our objective was: a) to analyze what factors (quantitative) and what reasons (qualitative) positively and negatively impacted professional pathways (career mobility); b) to observe the level of educational mobility present in families with PhDs, taking the issue from different paradigms (reproductionist/interactionist): University of elites? University of the masses? The methodology was both quantitative and qualitative, using semi-structured surveys (which included open-ended statements so respondents could expand); the hierarchical evocation technique and interviews. Results: a) we observed the intergenerational educational mobility of PhDs (quantitative-descriptive level); b) we understood some of the "reasons" and "sense" that underlie said mobility and that have either acted as driving forces or have not acted as driving forces of social and cultural-educational promotion (qualitative level). c) We found similar levels of intergenerational educational mobility for PhDs in France and Argentina (graduates of various PhD programs). This result is interesting in the face of well-held myths of educational "hypo mobility", intergenerational drops in mobility, stagnation, a lack of educational/cultural promotion under "plafond" effects, or a saturation of degree holders, above all in developed countries. From the point of view of identity, this high level of intergenerational educational mobility impacted national, institutional and micro individual identity; three planes in sustained interaction using the author's theory: The Three Dimensional Spiral of Sense ((2015 a and b).

**Keywords:** Intergenerational educational mobility – University – Masses – Identity

### Introduction

#### 1. Theoretical Framework

##### 1.1. Intergenerational Educational Mobility and Career Mobility

Our research on mobility reaches back decades to 1980. Within this framework, the study carried out with PhDs belongs to the last phase. Previously, numerous studies have been carried out on educational and professional pathways for different populations, namely university populations (graduates from different universities, individuals who either abandoned their studies or who prolonged their studies beyond that stipulated by their Study Programs, students, university professors, high school teachers, researchers and PhDs). We have also completed studies with university subjects in public and private workplaces (businesses, NGOs, etc.) so as to compare, among other aspects, profiles of achievement as they relate to conditioning factors.

One of these observed effects – besides Objective achievement, Subjective achievement, Socioeconomic level and Professional status – is Workplace insertion reached and promotions observed (Career mobility) (Aparicio, 2005, 2007 a and b).

However, previously, we worked on Intergenerational Mobility, both from the Educational/Cultural and Professional points of view. This topic is very important in Argentina, a country which received one of the most important "waves" of European immigrants in history as a consequence of war and a favorable economy – causing the country to be known as the "breadbasket of the world" or "the country to make America." In fact, around 1930, the country changed its economic, social and cultural structure, becoming the fifth world power, in large part due to the arrival of immigrants and their accompanying

work ethic (Germani, 1955; 1963; 1966; 1972; Aparicio, 1981; 1984<sup>a</sup>, 1984 b, 1984 c, 1985, 1987, 1988, 1990<sup>a</sup>, 1990 b, 1992, 1992/93; 1993).

In effect, the role of immigrants and their cultural ethos had a notable influence on this growth (Panettieri, 1966), as has been recognized in the national and international literature. Some arrived with an important work ethic but without economic means, many times fleeing from war. Nevertheless, moved by the *n-ach* (achievement needs) and a sense of struggle and effort, in just a short time they reached an important professional and, particularly, economic status (McClelland, 1961). In the second generation – the children of immigrants – many had already reached university level and with this, the immigrant dream came to fruition. “My son, the doctor” is a phrase that became immortalized by Argentine literature to describe parents’ most relevant aspiration: that their descendants would reach the highest level of academic instruction. This was made possible by the fact that Argentina was, and continues to be, a country open to different cultures, where neither discrimination nor racism exist. For this reason it is considered an example of positive acculturation. In addition to this, we add the fact that university has been free and open to everyone since its origins (it is important to note that the University of Cordoba was the first university in the Viceroyalty of La Plata after the conquest of America).

Nevertheless, and though this goes beyond our objective here, it is necessary to point out that said immigration and the corresponding abrupt growth did have effects on individuals, who were made to adapt to cultural change, with all that this implies, and to gradually overcome anomie (Aparicio, 1984d, 1985c, 1996a, 1996b, 1997, 2014) and the so-called “status inconsistency” (Ellis, 1952; Ellis & Kirbb, 1954; Jackson, 1962; Benoit-Smullyan, 1969; Heintz, 1965, 1970; Jackson & Curtis, 1972; Jackson, 1962; Jackson & Burke, 1965; Segal, 1967; Germani, 1955, 1963, 1965, 1972; Aparicio, 2001).

The author dedicated many years to studying Implicit Intergenerational Mobility and its impact on national growth and in 2000 began to study personal/professional mobility. In this line, she translates R. Boudon’s work, *L’inégalité des chances. La mobilité sociale dans les sociétés industrielles* (1973) into Spanish, published by Laia (Barcelona, 1983). At the same time, she completes a review of literature from the USA from the 1960s in which cultural mobility is considered a factor of social achievement, but also of national achievement, and is frequently linked to the psychosocial factor “Aspirations” and “*n-Ach*” (Keller & Zavalloni, 1964; Krauss, 1964; Chinoy, 1952; Duncan, 1965; Elder, 1965; Levy-Leboyer, 1971; Jencks & Brown, 1975; Benetton, 1975).

The recent shift in focus relates to the growing importance of Workplace insertion in the presence of new workplace demands. Added to this, still today, is an education which is inadequate for current market requirements, insufficient professionalization (especially in the social and human sciences), an increase in structural underemployment due to the influence of technology and economic factors, and the delocalization of businesses within a context of growing globalization, among other factors (Aparicio, 2000; 2003, 2001<sup>a</sup>, 2001 b, 2001c, 2002, 2004<sup>a</sup>, 2004b). This widespread scene impacts both biographical/professional and national identity, forcing actors to adopt new strategies to “survive” in the labor system. It also impacts opportunities for professional development and, among factors which indicate such development, occupational mobility. Dubar highlights these two aspects in different works: on the one hand, the need to once again address the issue of Professional promotion, overshadowed by the global situation and market difficulties, and on the other, the impact that these changes have at the level of biographical and relational identity (Dubar, 1991, 1992, 2000; Goffman, 1963).

Through the years, with the end of the phase of great Argentine growth, under the protection of hyperfunctionalist theories/criticism, the idea that the University was an institution open to elites, despite being free and – in most cases and in most political terms – with unlimited funds, extended (Rajneri, 1990). This would make access to university more difficult especially, as one could suppose, for those from families not culturally favored, that is to say those families in which parents and grandparents did not reach university level. In other words, we may think that well-known process of mobility had become stagnant (particularly at the university level).

In synthesis, the study of Intergenerational Mobility (Educational and Occupational) was addressed in the first phase of the author’s research, inspired by the impulse of this topic in the USA under the Human Capital theory (Becker, 1964). Within this theory, Education is seen as an investment that brings about a better quality of life and other benefits. In a second phase (from the 1990s to the present), she dedicates her research to the issue of Career Promotion or Mobility, within the context of profound market changes, carrying out research with different populations.

Nevertheless, she always incorporated the variable of Intergenerational Mobility (educational and occupational) into her work, with the objective of observing tendencies throughout the years and contrasting the mobility of different populations as it relates to various conditioning factors and effects.

The question we now ask then is: What happened with Intergenerational Educational Mobility for PhD populations? This line of research – in light of combined quantitative and qualitative methodologies and with three real generations (grandparents, parents, PhDs) – was introduced by the author in Argentina and in France (in this context there were already diagnoses with “figures” or statistics regarding PhDs, though with other theoretical-methodological focus) (Aparicio, I2009, 2012, 2015d).

The fact that we analyze PhDs, that is those who have reached the highest educational level in Argentina (in France the 3<sup>rd</sup> cycle) has special significance.

## **1.2. Intergenerational Mobility for University Students**

We address the problem in two instances: first, we refer to results provided by Cereq (in France) regarding the Diploma/Mobility relationship; secondly, we point out what questions oriented our analysis.

### **1.2.1 Higher Education and Diplomas: Data**

*The value of the diploma:* access to higher education is becoming more and more commonplace. Since 1980, the number of individuals completing this level in France has quadrupled. Already in 1998, around 1 out of every 2 individuals had completed higher education.

Within this framework, obtaining a diploma continues to be a key factor, despite the devaluation of diplomas, and presents itself differently depending on the career program (Beltramo & Paul, 1994; Beltramo, Calmand & Montjourides, 2008; Beret, 2002; Cereq, 1990; Cereq-Bref, 1998; Duhatois & Maublancm 2006; Martinelli & Perret. 1998)). The same phenomenon has been observed in Argentina: university graduates are higher up on the occupational scale than non-graduates and continue to value their diplomas.

In fact, in France, university graduates from Business and Engineering Schools are those least affected by structural unemployment, frequently occupying management positions and enjoying more stable positions. In Argentina, a strange tendency is observed with Engineering programs: engineers are in demand but currently enrollment in this discipline is decreasing in all universities.

Globally, those with a university degree rarely find themselves unemployed. Approximately half of these young people find employment immediately after finishing their studies and temporary employment is very rare (above all for Engineers).

We may infer from these findings that university diplomas protect against unemployment, though they are currently far from being a guarantee against relatively low salaries.

*Salaries and gender:* After three years of active life, net monthly salaries of young university graduates follow the same hierarchy of diplomas in France. Thus, one additional year of university studies is almost always valued in terms of salary, though differences between men and women do still exist, no matter the diploma obtained.

*Entrance to professional life and unemployment:* Those who graduate from *Engineering and/or Business schools* enter active life more favorably. Unemployment rates for these populations is almost zero, with 90% in non-temporary employment and, after three years of active life, almost 80% in France reach management status. In Argentina, the data follows the same path. For many years, no unemployment was observed for university graduates, though this peaked with the employment crisis of 2001-2002 (20% of university graduates were unemployed).

As regards PhDs, important differences are observed according to specialty. For all else, having reached the PhD does not have much influence on insertion into workplaces with better working conditions.

Nevertheless, it is necessary to point out that there are great differences according to specialty: unemployment rates are practically non-existent in Health fields in France, while on the contrary, they are very high for the Social and Human Sciences. Salaries in these disciplines are lower than for engineers and graduates from Schools of Administration or Business (around 8-10% less); in Argentina this data is not available).

There also exist differences between those who complete their university studies and those who abandon their programs without obtaining the diploma (absence of thesis).

At the *Masters* level, the same general situation is observed: the higher the diploma, the higher the salary, the lower the unemployment rate and the lower the percentage of temporary employment, though differences do always exist depending on the discipline.

As regards *university, generally considered*, obtaining a university diploma presents advantages according to the discipline: again, graduates in social and human sciences generally have more difficulties entering the market (particularly French graduates in art, psychology, history, and geography who –after three years on the market- have high unemployment rates, 15%, 12% and 11%, respectively). Those who abandon their studies, as in the previous case, are sanctioned in the context of the labor market. In Argentina, those working in the field of education have difficulties with the aforementioned aspects and, particularly, with salaries.

This information demonstrates that, even under non-optimal market conditions, added to the effects of globalization: a) a university degree represents a « plus », though it no longer ensures important comparative benefits; b) this “plus” is much lower for the social and human science disciplines.

### 1.2.2. Questions Guiding our Analysis

Firstly, the idea has spread that University is for the elites in both countries, under the influence of hyperfunctionalist/reproductionist approaches which emerge with force in France in the 1970s (Bourdieu & Passeron, 1984). Education and the academic institution –previously considered from points of view of interactionism, theories of Human Capital and the so-called “Investment” theories (as opposed to the “Consumption” theories Mingat & Eicher, 1982) as motivators of human development were seen as devices of reproduction of the dominant classes (Bisseret, 1968; Giroux, 1983).

In addition, taking into account the democratization of teaching, a phenomenon more and more widespread since the 1960s, many individuals not previously incorporated into the educational system (minorities, black people, women, working classes, ...) gradually find their way into University. Thus, enrollments take off and the idea of the University of the masses begins to take hold, with its positive and negative aspects, especially in the labor market (Jarousse & Mingat, 1988;; Eicher, 1973; Levy-Garboua, 1976).

The issue, within this context, is if in the highest level of instruction there is greater access to University as compared to previous generations. Recent data from Argentina show that Intergenerational Mobility remains at the university level. The *Observatorio de Villa María* (Córdoba) demonstrates that a very high percentage reaches university studies for the first time. For its part, the University of Buenos Aires –with 400,000 students- demonstrates with its most recent statistics that (July 2017) that more than half of its students are first generation university students (their predecessors did not reach the university level). Its Rector, Dr. Barbieri, stated on Radio Mitre that “According to data from the University of Buenos Aires, half of its students are the first in their families to go to university” (...) “The role of the university is to reach out to all sectors. Each year, there are more and more individuals attempting to reach the university level of education.”

Secondly, we asked ourselves if this phenomenon took on the same dimensions in Argentina as in France, keeping in mind that in France thousands of PhDs graduate each year (many of them in social and human sciences), while in Argentina graduation rates in these fields has only recently begun to grow in the last decades (PhD programs in these areas were shut down in the 1970s under the military dictatorship). For this reason, we expected to find a greater increase in individuals in Argentina reaching the doctorate as compared to their parents and grandparents.

Continuing with the Argentine case, where the “cultural ethos” has always given education a unique position as a tool of progress, we asked ourselves if this ethos currently continued to push individuals to the highest academic level, despite the structural limitations non-existent in the last century. In other words: faced with a market of conflict and marked structural unemployment, do individuals still wish to attain this level, knowing full well it will be difficult to find a position in the labor market fitting of their education? In France, for its part, the market is also facing serious issues (the delocalization of businesses for one, with the subsequent increase in unemployment), which means that not all PhDs can get the positions they desire (Aparicio & Cros, 2015).

Faced with this panorama:

What moves or motivates people to carry out PhD studies and, particularly, PhD studies in the social and human sciences, where demand is limited to the State (in general, the majority will be university professors and researchers) where the structural limits are marked, as there are not enough positions to absorb supply (Aparicio, 2014). On the other hand,

European statistics show that Engineering and Business Schools especially are those which offer a more promising future in terms of occupational development (income, position, quality of life) (Aparicio, 2009).

What leads someone to desire to reach an educational level greater than that of his or her family, without linking this specifically to economic benefit? What image or representation is held regarding PhD programs? Is it still considered a type of passport to the future, despite contextual circumstances which are not always favorable? (Moscovici, 1961) Is this imaginary found in accordance with the real situation?

### **Hypothesis**

-PhD saturation in the French context, more marked than in the Argentine context, leads to the observation of lower degrees of relative intergenerational educational mobility.

-In both Argentina and France, higher or fourth level education is still accessible today, within a socio-economic context which is quite unfavorable, for individuals whose families did not reach this highest level of educational instruction.

## **2. Methodology**

### **2.1. Population:**

We worked with PhD students and PhDs in the social sciences and humanities in Argentina (UNCuyo, PhDs in Education and Social Sciences) and France (one university located in Paris and one located in the province). We took as our sample students who had entered starting in 2005 and later. In this paper, we refer to results found in our Argentine context, with only mentions made to similarities found respect to studies carried out in France.

### **2.2. Techniques**

Among the quantitative techniques used was a semi-structured interview of PhD students and PhDs (2005-2014). Among the qualitative techniques utilized were a semi-direct interview, word association (Doise, Clemente & Lorenzi-Cioldi, 1992; Wagner & Hayes, 2005; Wagner, Valencia y Elejabarrieta, 1996) and hierarchical evocation (Abric, 2001). In this paper, we will focus on the descriptive-quantitative segment.

## **3. Results**

Mobility, diploma and PhD education: These three aspects are important for the synthesis of individual and contextual aspects. We have addressed the question of statistics in the theoretical framework, with the official statistics from France contributed by Cereq (Center for the Study and Research of Data). We observe results for the different institutions studied.

In the words of the PhDs, one of every two graduates estimates that the degree obtained at the undergraduate level has been an engine for occupational mobility (this is observed particularly for those who have experienced internal mobility within the same workplace organization). Nevertheless, this has not always been associated with greater workplace Satisfaction (Aparicio, 2016 a, c). Nor is there a correlation between those experiencing objective occupational mobility (changing positions to one higher up) and a feeling of having been promoted, as they frequently relate this promotion to different aspects of the position itself (workplace environment, demands, recognition, respect, etc.) (Aparicio, 2016b).

More specifically, they were asked if they consider that the doctorate will have an influence on their general objective situation over the next ten years and in their disciplinary field. Secondly, they were asked if they consider that having finished the doctorate can be considered a vector of Socio-professional mobility, having already experienced positive changes in their career. The majority of respondents – between 60% and 70%, both for Argentine programs and French programs – consider that there has been some change in their career since the start of said studies, whether in income or position, though with differences between men and women (Cf. Aparicio, 2015d, chapter 3, *Trajectoires et identités*. Also, Dupray & Moullet, 2005). Nevertheless, some report not having experienced any promotion.

Individuals will continue to value doctoral programs, despite contextual limitations, and this probably leads them to choose to carry out studies at this level, exceeding the level reached by their families. In other words, this could result in Intergenerational Educational Mobility, with subsequent impacts on identity.

### Our findings in percentage terms (%)

1. We were able to access our object of analysis in the various institutions, finding strong similarities between them (the percentages of mobility of grandparents to PhDs and of parents to PhDs in the Education PhD program in Argentina are very similar to those found in the French provincial University).

2. The following results were obtained for Argentina (National University of Cuyo); we will briefly highlight those results obtained at the French provincial University.

In Cuyo, for PhDs in Education, there are graduates whose parents have no formal education (4.7%), while 32.6% have parents who finished primary education, 18.6% secondary education and 44% university education. That is to say, almost 50% of graduates do not have parents who reached the university level. The figures found at the PhD level –the highest educational level in Argentina– are very similar to those found at the University of Buenos Aires (UBA) among undergraduate students, in line with the Rector's recent comments.

Also in Cuyo, but for PhDs in Social Sciences, there are no graduates with parents with no formal education and there is a lower percentage of students who have parents with only a primary level of education, as compared with the Education PhDs. Here, the majority of parents (42.9%) completed secondary education, while 28.6% reached the university level.

At the French provincial University, whose identity we protect, we recorded the following percentages by level:

There are no parents with no formal education, while 37.5% completed primary education and another 37.5% completed secondary education. 75% of the graduates' parents can be found within this range. Only 25% of parents had reached the university level.

3. The PhD, even in social and human sciences – less promising fields in the Market according to studies and statistics – continues to be attractive to the university public, overcoming the economic angle and resting upon obtaining a degree.

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### Highest educational level reached by parents

(The following tables are not essential for publication as their data has been incorporated into the text.)

Table 1: **Degree Program versus Highest Educational Level Reached by Parents** (UNCuyo, Argentina) (q11)

			Degree Program	
			UNCuyo - Education	UNCuyo – Social Sciences
Highest educational level reached by parents	None	Effective % in the program	2 4.7%	0 0.0%
	Primary	Effective % in the program	14 32.6%	2 28.6%
	Secondary	Effective % in the program	8 18.6%	3 42.9%
	University	Effective % in the program	19 44.2%	2 28.6%
Total		Effective % in the program	43 100.0%	7 100.0%

Table 2: Degree Program *versus* Highest Educational Level Reached by Parents (French University) (q11)

			Degree Program	
			Education Sciences	
Highest educational level reached by parents	None	Effective % in the program	0 0.0%	
	Primary	Effective % in the program	9 37.5%	
	Secondary	Effective % in the program	9 37.5%	
	University	Effective % in the program	6 25.0%	
Total		Effective % in the program	24 100.0%	

## The Necessity of Regional Economic Integration: a Lesson for South Asia?

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### Abstract

ASEAN and the European Union have showed this world the privileges regional economic integration provides the states. Although Greece and Italy might be the torchbearers of criticism against regional cooperation and integration, these two organizations tend to be some prime examples of necessity of regional economic integration. This dissertation thus focuses on the privileges and advantages that regional economic integration system and organizations deliver to the states aligned within. With the possible and crucial criticisms on mind, the discussion moves forward analyzing if this system is making the countries perform better economically and advance towards domestic development. The dissertation further intends to find out why the South Asian nations might need similar kind of cooperation and why these countries should act more sensible to make the economic integration possible. While remarking the recommendations, the discussion also draws the barriers and the problems that this region might face in order to integrate their economies or enhance their trades. The core argument of this dissertation therefore lies in analyzing the importance of regional economic integration and liberal economics in this modern world and if the South Asian countries need economic integration to develop their domestic economies. The recommendations are to provide the possible ways to run the process and the drawbacks portion mentions the difficulties and barriers to be faced whilst all of these countries' ongoing strict policies. The argument tries to find out the significance of liberal economics and tribulation of realism in the contemporary world.

**Keywords:** ASEAN, EU, Liberal, Cooperation, Failure, Protectionism

### 1. Introduction

What could be the absolute necessities for a country to follow in order to develop itself in this modern world? The answer to this question might end up being contested by various scholars. Different scholars and intellectuals have different opinions about the ways to live in the world. Countries of different regions and varying resources are not supposed to adopt similar ways in order to develop themselves. While having these thoughts in mind, it is very evident to seek the answer of the question of whether there is a general framework for development. A general framework can also be regarded as a way of policymaking in economic aspects that guarantees development. Certainly there is no criterion or a general framework for development. The two main approaches to explain trade are considered as Liberalism and Mercantilism (Goldstein & Pevehouse, 2009, p. 278). Mercantilism aligns with realism in the belief that states must protect its interests through exploiting others or anyhow getting benefitted from others (Goldstein & Pevehouse, 2009, p. 278). Mercantilism believes that states do not need international organizations for their development rather saving its gains is more necessary (Goldstein & Pevehouse, 2009, p. 278). On the other hand, Liberalism is the alternative approach that promotes creation of international organizations, institutions and norms (Goldstein & Pevehouse, 2009, p. 278). Liberalism believes in markets and economic globalization through interdependence thus economic integration evidently originates from the trade theory of Liberalism (Goldstein & Pevehouse, 2009, p. 309). The paper further focuses on exploring the privileges and challenges regional economic integration provides in the modern world. Case studies on ASEAN (Association of South East Asian Nations) and EU (European Union) are done on extensive efforts with a view to discovering the reality. It's an attempt to

find out a role model if one exists there. Barry Buzan (2016, p. 190) states that “the international economy is the main component and also the main consequence of the rising density and interdependence of the international system.” As interdependence exists to a great extent from the opinion of scholars, is it really necessary for every country to follow economic integration and regionalization in order to maintain a perfect balance in the economically interdependent world? The argument thus focuses on deriving information from ASEAN and European Union’s experiences and tries to implement its results on the case of South Asian countries.

## **2. The Idea of Regional Economic Integration**

Regional integration is a process that provides a peaceful atmosphere where sovereign countries can voluntarily merge their efforts for obtaining mutual concern, regional interests and objectives (Roy & Dominguez, 2005, p.7). It is supposed to be “a space of conciliation between the creation of regional common goods and national interests, cultures, practices and policies (Roy & Dominguez, 2005, p. 7).” However the process of integration includes a series of necessary steps (McKay, Armengol & Pineau, 2004 p. 15). It is firstly necessary to find out what level of integration is wanted (McKay, Armengol & Pineau, 2004 p. 15). Secondly it is to be found out who are to be the participants of the integration (McKay, Armengol & Pineau, 2004 p. 15). In the third step, the participants will seek the degree of convergence needed for integration (McKay, Armengol & Pineau, 2004, p. 15). According to Karen Mingst (2001, p. 225), European Union has followed the path of functionalism in order to bind itself with regional integration. Goldstein & Pevehouse (2009, p. 353) also aligned with Karen Mingst to insist that regional integration is followed by the idea of functionalism. David Mitrany (1946, p. 7) stated that “The problem of our time is not how to keep the nations peacefully apart but how to bring them actively together.” The idea of integration is thus clarified by the above mentioned statements and definitions. When this integration is done in a specific region consisting of a bunch of specifically cited countries, it is called regional integration (mentioned as the definition of Roy & Dominguez). Economic integration follows the path of functionalism where “states form supranational institutions and create an economic society to promote free trade and coordinate economic policies (Goldstein & Pevehouse, 2009, pp. 352-353).” Prime examples of regional economic integration can be found out in the existence of NAFTA (North American Free Trade Agreement), EU (European Union) and APEC (Asia Pacific Economic Cooperation Forum) (Cole, Lyons & Cary, 1999, p. 70). Although not all scholars admit of ASEAN (Association of South East Asian Nations) as an example of regional economic integration, some acknowledge it as one (Fujita, 2007, p. 3). ASEAN has not yet developed a full regional integral framework as the EU, but it is on the path to do so in the future (Menon and Melendez, 2017). Regional free-trade areas, an aspect of regional economic integration, constitute a major part of world trade (Goldstein & Pevehouse, 2009, p. 293). A regional trade agreement allows the states to cooperate among themselves and therefore enables them to increase their wealth even if the rest of the world is standing still (Goldstein & Pevehouse, 2009, p. 293).

Regional economic integration, from the above definitions and statements, can be therefore derived as the creation of an economic community among specifically selected or enlisted countries who willfully participate to form supranational institutions in order to promote free trade and coordinate economic policies among themselves. Integration supposedly challenges the assumption which Realism provides that states are strictly self centered and they long for individual hegemony and power (Goldstein & Pevehouse, 2009, p. 353). Most policymakers deem that governments should embrace trade because it earns benefits for the nations and also the global economy including the individuals (Moon, 1998, p. 81). The concept suggests that exports provide employments for workers, earnings for business firms and profits that can be utilized for buying imports whereas the imports enhance the well being of civilians as it enables them to acquire more for their money and unavailable domestic resources only to be found out in foreign areas (Moon, 1998, p. 81).

## **3. East Asian Miracle and the Tiger Economies**

According to Masahisa Fujita (2007, p. 4), East Asia has had the fastest economic growth from 1970 to 2000. In the 1970s, it was seen that most of the global south countries had enjoyed a real per capita GDP growth of almost 3 percent per annum where the per capita GDP is counted as the simplest measure of economic development (Goldstein & Pevehouse, 2009, p. 463). This economic development did not stall only in one region during the 1980s – Asia (Goldstein & Pevehouse, 2009, p. 463). From 1981 to 1991, China had an annual growth of 7 percent (Goldstein & Pevehouse, 2009, p. 463).

Before China’s sudden growth, some poor states known as Newly Industrializing Countries (NICs) started to attain self-sustained capital accretion whilst having an extraordinary economic growth (Amsden, 2001, p. 131). The export of light manufactured goods by these countries generated a solid economic development in the 1980s and early 1990s although it

was harmed by the 1997 Asian Financial Crisis (Goldstein & Pevehouse, 2009, p. 465). Nonetheless the crisis was soon recovered by these countries at a faster pace than the most global south countries (Goldstein & Pevehouse, 2009, p. 465).

Goldstein & Pevehouse (2009, p. 465) identifies the most successful NICs as the 'four tigers' or 'four dragons' – South Korea, Taiwan, Hong Kong and Singapore. All of these tiger economies were successful in creating development of particular competitive industries and sectors in the world market to make an impact in the world economy as a whole (Goldstein & Pevehouse, 2009, p. 465). A distributive to all economy was developed by these countries but scholars still engage in debate about whether these tiger economies' achievement is a hoax or it was done under a systematic approach (Goldstein & Pevehouse, 2009, p. 465). For South Korea, the key resource was iron and coal – a more similar one like the three European giants as we would see in this paper later (Goldstein & Pevehouse, 2009, p. 465). Hyundai, Kia, Daewoo and other industries of South Korea has generated a huge amount of money from the world market through the export of cars and trucks while the South Korean government showed extreme strictness to the firms that were poorly administered (Amsden, 1989, p. 15). The example is shown by Amsden (1989, p. 15) as the major automobile industries share holder Shinjin's disappearance from the market after the Oil shock of 1970s. Construction firm of Kyungnam and the electronics firm of Taihan group had to be either merged with or sold to Daewoo (Amsden, 1989, p. 15). The South Korean government dictated industrial policy strongly in an attempt to promote and protect the successful industries while showing stringency to the poorly managed firms (Amsden, 1989, p. 15). By the middle of the 1990s therefore, South Korea had earned a per capita income level equal to the per capita income of Spain (Goldstein & Pevehouse, 2009, p. 465). South Korea later decided to move its production factory to Britain where the costs are lesser and cooperate with the United States to form a free trade area in order to sustain its growth through free economic movement which contributed to its sustainable economic growth (Goldstein & Pevehouse, 2009, p. 466).

Taiwan also followed a strong industrial policy and it has been enriched with successful electronics and computer firms that have helped Taiwan to possess one of the largest hard-currency reserves of the world (Goldstein & Pevehouse, 2009, p. 466). Hong Kong, another tiger economy, had its rise to a developed economy through its electronics and other light industries but most contribution came from the banking and trade between Southern China and the rest of the world (Goldstein & Pevehouse, 2009, p. 466). Singapore is geopolitically considered a trading hub and similar to Hong Kong, it also drew MNCs to set up headquarters there on the basis of its trading hub identification (Goldstein & Pevehouse, 2009, p. 466). South Korea and Taiwan both have sprinted towards a higher economy despite their political conflicts at the borders (Goldstein & Pevehouse, 2009, p. 466). Hong Kong and Singapore are merely city-states and are considered essential as trading ports and financial centers (Goldstein & Pevehouse, 2009, p. 466).

Other Southeast Asian countries – Thailand, Malaysia and Indonesia have endeavored to follow the track of these four Asian tigers from the 1980s (Goldstein & Pevehouse, 2009, p. 466). Under Deng Xiaoping in 1976, China adopted capitalism as the economic institution system through individual farming of peasants and allowing foreign direct investment through an open trading system (Goldstein & Pevehouse, 2009, p. 467). China's economic growth has been miraculous comparing to the previous times since the adoption of these new policies (Goldstein & Pevehouse, 2009, p. 467). Inflation and corruption erupted revolutions and later subsequent economic reformations contributed to a 12 percent annual growth of China by 1994 (Goldstein & Pevehouse, 2009, p. 467). China was able to sustain itself during the 1997 Asian Financial Crisis when most of the countries succumbed to depression and by 2006 it had an annual growth of 10 percent under the rule of invigorated leaders like Hu Jintao (Goldstein & Pevehouse, 2009, p. 467). The economic development of the four tigers and the three other Southeast Asian states in the late twentieth century alongside the Chinese economic revival after the 1980s is collectively termed as the East Asian Miracle.

#### **4. The Path that Realism Shows**

Liberals perceive peace as the general state of affairs (Burchill, 2001, p. 33). Mercantilism, the economic idea of Realism, is intimately tied with the emergence of modern sovereign state (Jackson & Sørensen, 1999, p. 178). It is the first view of trade other than liberalism (Goldstein & Pevehouse, 2009, p. 278). Mercantilism bases its idea on creating a strong powerful state with great prowess (Jackson & Sørensen, 1999, p. 179). It is however the oldest approach to international political economy (Mingst, 2001, p. 184). According to the traditional mercantilists, "A Surplus balance of payments is critical to protect the national interest (Mingst, 2001, p. 185)." Mercantilists view economy as 'low politics' (Steans, Pettiford, Diez & El-Anis., 2010, p. 65). As the features of high politics, war and diplomacy determine economics (Mingst, 2001, p. 185). The view of trade and interdependence is seen through two visions (Nye & Welch, 2015, p. 275). These two visions are conveyed as 'zero-sum' game and 'non-zero sum' game (Nye & Welch, 2015, p. 275). Mercantilists view trade as a zero-sum game where one side gains the amount the other side loses (Jackson & Sørensen, 1999, p. 178). Liberals view trade

as a non-zero sum game where both parties win and thus make it a positive sum-game (Jackson & Sørensen, 1999, p. 183). Another aspect suggests non-zero sum game where both parties lose and therefore make it a negative sum game (Nye & Welch, 2015, p. 275). The idea of interdependence and trade therefore varies within these two perceptions. Mercantilists view trade and interdependence skeptically while liberals view them as beneficiary according to the perceptual varieties.

Mercantilism can be followed in two ways (Jackson & Sørensen, 1999, p. 178). The first way is called 'benign mercantilism' where states only look further to save and protect their national interests keeping the realist assumption intact that individual development is the key goal according to Jackson & Sørensen (1999, p. 178). The second one is called 'aggressive or malevolent mercantilism' by Jackson & Sørensen (1999, pp. 178-179) where states attempt to exploit other states or international economy through protecting its own interests, gaining the maximum advantage and creating an expansionary strategy to be more powerful.

According to Goldstein & Pevehouse (2009, p. 279), the mercantilist view stands correct as in international trade, one or the other party benefits more from a trade. Realism thus shows the path of protectionism in an extensive aspect as it contradicts with the ideas of liberalism (Goldstein & Pevehouse, 2009, p. 287). Under the conditions of protectionism, states seek to benefit the domestic industries or companies through preventing import of competing foreign goods (Goldstein, 1986, p. 161). When a government follows protectionism, it might be a fact that the policy was taken owing to a lobbying by a domestic industry (Goldstein & Pevehouse, 2009, p. 287). It is however sometimes evident that temporary protectionism for infant industries has been proved to be successful in the cases of South Korean automobile manufacturers (Goldstein & Pevehouse, 2009, p. 287). The core component of realism found in the idea of protectionism is the fear of the state which can be derived from the aforementioned statements. Realism views the world surrounded by anarchy and thus the states fear each other and distrust prevails (Steans, Pettiford, Diez & El-Anis., 2010, p. 57). Deriving from this, from the perspective of realists, the world is in an anarchic condition and the states vie with each other for power and they are always indulged in a vicious quest of maneuvering power (Steans, Pettiford, Diez & El-Anis., 2010, p. 57). Protectionism mainly covers four aspects or versions which have been or are still being followed by various states (Goldstein & Pevehouse, 2009, p. 288). The first is known as a tariff, which defines a tax entailed upon certain imported goods to enter the buyer country (Goldstein & Pevehouse, 2009, p. 288). The second one can be derived as non-tariff barriers which imply a limit on imports by forming a quota system and binding import of the good to a specific or limited number (Goldstein & Pevehouse, 2009, p. 289). The third way is called the system of subsidizing where the government provides an amount of security money or resources or somehow subsidize the loss faced by an industry to compete with the importer foreign industry (Goldstein & Pevehouse, 2009, p. 289). Subsidies sometimes make the domestic industries complacent and this inflicts the industry's competitiveness to a great extent and it is more or less ineffective to make a domestic industry win against a foreign importer (Goldstein & Pevehouse, 2009, p. 289). The fourth way is known as restriction and regulations which affect the foreign importer to face many restrictions and difficulties to transfer or market his product (Goldstein & Pevehouse, 2009, p. 289). Mercantilism was previously known as Economic nationalism in the late 1800s and early 1900s (Steans, Pettiford, Diez & El-Anis., 2010, p. 66-67). Economic nationalism had previously followed a strict posture of protectionism and the examples of protectionism can be found in the 'beggar thy neighbor' policy taken by the United States government prior to the World War II (Steans, Pettiford, Diez & El-Anis., 2010, p. 67).

Another aspect of mercantilism is autarky which makes the weak states prevent becoming dependent on stronger ones (Goldstein & Pevehouse, 2009, p. 286). Autarky is the idea where states produce every good by itself and it denies trade to obtain self-reliance (Goldstein & Pevehouse, 2009, p. 286). The state of Albania had followed autarky and it found itself economically naive in the early 1991 when its autarky had ended due to the fall of communist rule (Goldstein & Pevehouse, 2009, pp. 286-287). China under Mao Zedong and the current flows of North Korea follow self-reliance or autarky (Goldstein & Pevehouse, 2009, p. 287). Autarky has been proven ineffective historically and evidence of Albanian development after 1991 and the Chinese economic miracle after opening up in the 1980s shows the inefficiency of autarky (Goldstein & Pevehouse, 2009, p. 286-287). The idea of autarky therefore is derived from mercantilism that the strong states exploit the weaker states through trade and instead of trading to gain comparative advantage, it rather suggests on obtaining self-reliance. The aspects of comparative advantage are discussed in the latter portion. Protectionism does not always cause harm (Goldstein & Pevehouse, 2009, p. 289). Most often it helps producers and affects customers (Goldstein & Pevehouse, 2009, p. 289). One problem of protectionism suggests that it makes industries ineffective and less competitive which in turn affects the state (Goldstein & Pevehouse, 2009, p. 289). However, some scholars suggest that temporary protectionism can stabilize one industry which benefits the domestic producers and this thought is proved by the example of Harley Davidson industries (Goldstein & Pevehouse, 2009, p. 289). The US government had subsidized the Harley Davidson

Motorcycle company by imposing tariffs upon Japanese motorcycles to compete with the Japanese manufacturers where the company was threatened with losing its market to the Japanese industries and further it improved its quality (Goldstein & Pevehouse, 2009, p. 289). This helped the company to sustain itself in the market and a domestic industry was saved from going astray.

This is the path that Realism shows with the ideas of autarky and protectionism alongside the zero sum measurement. The aforementioned statements show that protectionism does not deny trade but it obviously hampers the harmonious idea of trade. Realism's skeptical view is not shared by most but internalized by many countries in the contemporary world through protectionism (Moon, 1998, p. 86). Many forms of protectionism have been introduced in the world in the past decades as governments have reacted positively to the requests of threatened industries (Moon, 1998, p. 86). Even the United States and its newly elected President Donald Trump promoted an idea of 'Buy American' which was evidently a sign of protectionist policy (Waldmeir and Donnan, 2017). Mercantilists are afraid that massive amount of imports allow foreigners to consume more employment and revenues from production that would have gone to citizens of the home country if trade was not allowed (Moon, 1998, p. 84). From an economic nationalist or mercantilist view, a regional free trade area is seen as a source that augments a region's prowess at the losing or expense of other areas of the world (Goldstein & Pevehouse, 2009, p. 293). Autarky's history leads us to the firm belief that it's inefficiency and its experience is tormented with failure. Thus it does not remain as an option for a country's economic development. With these aspects of this discussion, a question evidently appears. The question can be identified as – 'Does Liberalism and Regional Economic Integration provide more amount of benefits than protectionism and mercantile exploitation?'

## 5. European Union

What was Europe doing back in the previous centuries? Europe has been the birthplace of Protestantism – a counter revolution to the Holy Roman Empire's religious-political hegemony; the bloody Thirty Years War; the French Revolution; the Industrial Revolution and Capitalism; 1848 People's Revolutions; the ideologies of Marxism, Fascism, Nazism, Social Darwinism, Racial Greatness, Liberalism and modern statehood; Colonialism and Imperialism; the most contentiously gory wars of all time – World War I and World War II (Mason, 2011). During the Cold War period after the World War II, Europe was divided into two parts – the capitalist bloc and the communist bloc, the first led by the United States of America (USA) and the latter one led by the United Soviet Socialist Republic (USSR) or, more clearly known as the Soviet Union (Mason, 2011, p. 143). The Cold War began centering on the German city of Berlin where a wall was constructed and it demarcated the borderline of the two blocs (Mason, 2011, p. 143).

With these new structural conditions and ruined geographical situations, Europe's capitalist bloc attempted to demonstrate the century-old idea of a united Europe of Immanuel Kant and Jean-Jacques Rousseau into reality through forming institutions and trading communities (Mingst, 2001, p. 196). According to David S. Mason (2011, p. 179), the EU's current embodiment is the successor of an idea occasionally called the European Common Market. Destroyed by the vicious war, Europe was assisted with aid from the United States through the initiation of Marshall Plan (Goldstein & Pevehouse, 2009, p. 354). Two French leaders Jean Monnet and Robert Schuman initiated the plan of executing the idea of functionalism which would tie the states altogether politically for economic interests and collective development eventually preventing war and competition among themselves (Goldstein & Pevehouse, 2009, p. 354). Schuman planned to integrate German and French steel and coal industries as coal and steel was deemed important for European recuperation (Goldstein & Pevehouse, 2009, p. 354). The integration formed a single framework able to efficiently use the two states' necessary resources and eventually the Schuman Plan in 1952 led the emergence of European Coal and Steel Community (ECSC) (Goldstein & Pevehouse, 2009, pp. 354-355). ECSC consisted of Germany and France – the two previously mentioned countries and Italy (the third huge industrial country of continental Europe), Belgium, Netherlands, Luxembourg (altogether known as BENELUX) (Goldstein & Pevehouse, 2009, p. 355). Previously in his famous 'Iron Curtain' speech, Winston Churchill wished for a United Europe but he did not wish the Great Britain to be included in the union rather he focused on the seventy five years power feud between Germany and France to be eliminated (Mason, 2011, p. 180). The incentive of the formation of ECSC was followed by an idea where elimination of barriers to trade of coal and steel was at the core of the formulation (Mason, 2011, p. 181). The ECSC followed a core liberal assumption that the best producer owns the market and a fully competitive market should emerge in order to have the best outcome of all the producers. A quality production could save the downed economy of the Europe and this is what was at the focus of this integration. Coal and steel were backbones of the industrial economies of Europe and abolition of trade barriers would thus provide efficient production of these two products which might create a path for European recovery (Mason, 2011, p. 181). The facilitation of this process was organized by the 'High Authority' – a supranational controller of the coal and steel industries of all these

six states with its headquarters in Luxembourg (Mason, 2011, p. 181). Representation from all states was confirmed and decisions were taken on the basis of majority votes where it could create norms going against interests of one or more country, but the liberal idea bound everyone to that obligation (Mason, 2011, pp. 181-182). Alongside administering production, marketing and prices, the administration also aided weaker producers with modern technologies, readapting and conversion (Mason, 2011, p. 182).

However, in 1957, the same six countries signed the Treaty of Rome that created two new organizations – European Economic Community (EEC) and the EURATOM (Mingst, 2001, p. 196). The reason behind this was probably ECSC's huge success in both economic and political aspects (Mason, 2011, p. 182). The aim was directed at free movement of capital and labor within the member countries (Mason, 2011, p. 182).

The triumph of EEC ultimately led to the integration of all these institutions in 1967 (Mason, 2011, p. 182). The integrated institutions were named 'European Community (EC) and within 1968, all internal tariff barriers were eliminated (Mason, 2011, p. 182). In between mid 1960s and mid 1980s, economic development was dormant which ultimately led the institutions to some reformations (Mingst, 2001, p. 197). As a part of this reformation, the original six countries saw expansion of the community – Denmark, the United Kingdom and Republic of Ireland attached to the EC in 1973; Greece in 1981; Portugal and Spain in 1986; and Austria, Finland and Sweden in 1995 (Mingst, 2001, p. 197). The greatest expansion was seen in 2004 with the joining of 10 new countries to the European Union - Poland, Czech Republic, Slovakia, Hungary, Slovenia, Estonia, Latvia, Lithuania, Malta and Cyprus (Goldstein & Pevehouse, 2009, p. 364). Bulgaria and Romania joined the organization in 2007 (Goldstein & Pevehouse, 2009, p. 366).

Political union of these countries was sought and through the signing of Maastricht Treaty in 1992, the formal emergence of European Union happened replacing the previously European Economic Community where the founding of common foreign and defense policies, a single currency and a regional central bank were at the focus of the discussion (Mingst, 2001, p. 197). This treaty ultimately made the European Union a complicated organization with three key pillars (Mingst, 2001, p. 198). As Karen Mingst (2001, p. 200) put up many questions about the European Union's ultimate future and its possibilities, it can be asserted that only the economic union was well desired by all the member states. The want of a political union made these things diversely complicated. The questions of ethnicities, integrating key policies and the question of what kind of integration therefore appeared at the face of European Union (Mingst, 2001, p. 199). One example of the problem of political union can be drawn from the event of 2008, when Kosovo declared its unilateral independence from the former Yugoslavia dividing the EU into two parts (Simms, 2014, p. 521). 22 member states affirmed the recognition whereas Greece, Cyprus, Spain, Romania and Slovakia refused to recognize Kosovo owing to their own demographic diversity and separatist rebel group problems (Simms, 2014, p. 521).

## **6. Wonder at Hand?**

The positive sides of this economic integration are many. From the theoretical analysis and explanations from the previous parts, we can say that free trade and competition makes the market better and the most effective one. When there is competition among the sellers or the producers, they have to perform the best in order to survive in the market. He, who fails to intensify and improvise his products at the best of costs, fails to survive in the market. Survival of the fittest in this case is exemplary. Free trade also contemporizes us with the concept of comparative advantage. Comparative advantage means specialization of production according to the distribution of resources. States do not possess the similar natural resources to produce certain goods (Goldstein & Pevehouse, 2009, p. 282). Thus in order to maximize the all over creation of wealth, every state individually should focus on producing certain goods that delivers it a comparative advantage and trade with others in order to fulfill the deficit of other necessary goods (Goldstein & Pevehouse, 2009, p. 282). The European Union or say any regional economic integration is therefore the tool to promote free trade and have comparative advantage of every country in a single market without any trade barriers or tariffs. The idea of infinite resources in economics has long gone by and it is now universally acknowledged that resources are finite in this world. In this world of finite resources where all individual countries possess different sorts of natural resources, comparative advantage is the best solution for all. European Union specializes on doing that. Through the promotion of comparative advantage, it also eliminates the less competitive and less productive sellers who do not stand to deliver the best services and utility for the combined European citizens. Goldstein & Pevehouse (2009, pp. 282-283) explains the benefit of comparative advantage through the example of Saudi Arabia and Japan and the products of oil and cars. Saudi Arabia has a specialization in oil production whereas Japan can efficiently produce cars. Now if Saudi Arabia delivers oil to Japan through free trade and Japan trades cars with Saudi Arabia, Japan can fulfill its lack of oil production and Saudi Arabia's demand for cars also gets complied. If Saudi Arabia, instead of trading oil and cars, intends to produce cars by themselves, they will be able to produce it, but it would

cost a lot of money. If Japan wants to produce oil, Japan would also face an economic downfall overall because they don't have the resources and the industries to produce the goods at the quality of what their opposites can and also at the price or cost of Saudi Arabia. So trading is the best option here to avoid the cost inefficiency. Similarly, if Germany supposedly is better at producing cars or electric utilities, it is somewhat poor in raw materials. If the Baltic countries can export their raw materials to Germany without a tariff barrier, the Baltic countries can have a good amount of profit at a less amount of selling price to Germany. Later these Baltic countries can have the cars that have been produced by Germany. If the Baltic countries moved towards producing cars, a secondary level of industry, their economy might succumb to an economic destruction. Thus this idea of comparative advantage is realized thoroughly in the European Union and EU actually makes countries better through free trade, utilization of finite resources and efficiency of producers through providing perfectly competitive market.

However, according to Daron Acemoglu and James A. Robinson (2013), inclusive institutions are the key to sustainable economic development. Many countries have developed for a limited time with an imperfect growth that has later experienced a sudden downfall. European Union, through its transparent bureaucracy and structures, provides an inclusive economic and political institution system for all the EU member states' citizens making them European citizens. This is also a positive aspect of why regional economic integration with an inclusive and transparent institution system is necessary. Interests in the European Union are therefore intertwined and no country dares to act on its own, making the countries care for others for the sake of their own interests. Participation of all countries are necessary with a voting system and without one country's ratification, the decisions do not get completed and every single member of the union matters in the decision making process.

In the events of environmental issues and other aspects, the multilateralism of EU is very effective to save everyone's interests and thus to act as a single actor. We have seen the emphasis of a European integration in the words of Rousseau and Kant. George Kennan (Simms, 2014, p. 381) insisted that "If there is no real European integration and if Germany is restored as a strong and independent country, we must expect another attempt at German domination. If there is no real European federation and if Germany is not restored as an independent country, we invite Russian domination... This being the case, it is evident that the relationship of Germany to the other countries of western Europe must be so arranged as to provide mechanical and automatic safeguards against any unscrupulous exploitation of Germany's pre-eminence in population and in military-industrial potential." His emphasis on a European integration for preserving peace in Europe was voiced in the 2012 Nobel Peace Prize winning of the European Union (Epatko, 2012). The historical rivals France and Germany cooperated with each other for about sixty years and no further conflict ever escalated between them. Peace could be retained because of this economic integration and integrated development of the two countries altogether. If these two countries had to compete against each other for economic superiority (as economy is the key instrument that can guarantee defense, welfare and all other expenditures), the scenario would have been similar to the Cold War. When included in an integrated economy, the interests of the member states are interweaved and all countries aim for integrated development, leaving the idea of individual betterment aside.

## **7. Fate of the Forlorn Sons: Story of Greece, Ireland and Others**

Europe faced a big crisis in 2010, when Greece was hit by a financial crisis frightening it with a permanent destabilization (Mason, 2011, p. 189). Greece had to cut its expenditure on welfare, social services and retired employees to overcome its debts (Mason, 2011, p. 189). This infuriated the public of Greece and the EU allotted 80 billion Euros to stabilize Greece (Mason, 2011, p. 189). This bailing out of Greece was also skeptically assumed by the leaders in different EU states as pointing out to why would the Germans, the British, the French and the others would have to compensate for the vice of the Greeks.

The collective effect of the economic crisis, governmental ineptitude, lower tax submissions, organized tax fudging and huge euro-dominated debts swelled owing to lower interest rates by the monetary union that affected the 'PIIGS' – Portugal, Ireland, Italy, Greece and Spain (Simms, 2014, p. 525). While Greece scrambled over the social service cuts, Ireland was more submissive to the EU austerity measures in a hope that it would bail them out if it cut its expenses (Simms, 2014, p. 525). Portugal, Italy and Spain stood on the brink of collapse while there was also dubiety against the core country of Belgium (Simms, 2014, pp. 525-526). Owing to these events, the EU was at a diffident position and by 2011 Europe had begun to experience a financial meltdown (Simms, 2014, p. 526).

Euroskepticism also mounted in the countries of Hungary, the UK, the Netherlands, and France as Janos Kadar conquered Hungary's politics but Geert Wulders failed to garner votes through populist agendas of EU exit (Boffey, 2017). As such,

economic integration is currently threatened with the ideas of self-interest, individual development and survival of individual. The Europe, which was pioneering and making others learn about collective development and free trade, now seems to be in decay with a protectionist agenda in advent.

## **8. The Progress of ASEAN**

ASEAN is considered as the leading organization in the Asia Pacific for Free Trade Area (FTA) formation (Tangkitvanich & Rattanakhmfu, 2017). The ASEAN FTA was initiated in 1993 and the year 2015 saw the emergence of ASEAN Economic Community (AEC), a similar version of EEC (Tangkitvanich & Rattanakhmfu, 2017). While ASEAN's success in managing regional conflicts and organizing regional cooperation has been very much applauded, its EC still has a long way to go in order to fulfill the procedure (Tangkitvanich & Rattanakhmfu, 2017). In 1967, ASEAN was formed by Indonesia, Singapore, Malaysia, the Philippines and Thailand (Blaxland, 2017). It was expanded to consisting of 10 member states during the 1980s and the 1990s – Brunei, Vietnam, Cambodia, Laos and Myanmar as the new members (Blaxland, 2017).

Till now from economic perspective and for development purposes, ASEAN has been triumphant in only one aspect – elimination of tariff barriers (Tangkitvanich & Rattanakhmfu, 2017). The signing of CEPTA (Common Effective Preferential Tariff Agreement) in the 1990s ultimately led to the reduction of 99 percent tariff lines to 0 (Tangkitvanich & Rattanakhmfu, 2017). However the existence of Thai-Cambodian border skirmishes and other interregional conflicts makes the future of ASEAN look more pale (Acharya, 2011). According to Amitabh Acharya (2011), surviving is not the same as thriving and till now ASEAN states have some conflicts with each other going on, a very unusual practice than the EU.

The 1997 Asian Financial Crisis hit the East Asian countries hard; although China was able to escape the negative impacts of the crisis, the Asian crisis left Thailand, South Korea and Indonesia incapable of defending their currencies from collapse (Drysdale, Armstrong, Ascione, Manuel & Mowbray-Tsutsumi, 2016). This crisis taught the East Asian countries a proper lesson and thus these economies moved toward amassing a huge foreign exchange reserve of USD 11 Trillion known as - Chiang Mai Initiative (CMI) (Drysdale, Armstrong, Ascione, Manuel & Mowbray-Tsutsumi, 2016). The East Asian countries successfully survived the 2008 financial crisis and till now no country has been forced to draw funds from the CMI (Drysdale, Armstrong, Ascione, Manuel & Mowbray-Tsutsumi, 2016). Although the fund consists of USD 240 Billion as of 2012, it is not sufficient to overcome a financial crisis (Drysdale, Armstrong, Ascione, Manuel & Mowbray-Tsutsumi, 2016).

The dominance of the East Asian Newly Industrializing Countries has grown by time to time. They have dominated the manufacturing and export of products for the less developed countries (Haggard, 1995, p. 46). Developing countries can be enjoined through a group or integration and deep integration agenda mostly dominates the group of advanced developing countries – in this case the East Asian region (Haggard, 1995, p. 8). Korea, Taiwan, Hong Kong, Singapore, Malaysia, Indonesia and Thailand (Only the Philippines stands out) has been following an export oriented development trajectory since the 1990s following the path of the four Asian Tigers (Haggard, 1995, p. 9). The export success of these countries has ultimately bred conflicts with their major trading partners – specially the USA and this success has undoubtedly moved them upwards in the course of economic development (Haggard, 1995, p. 9).

The colonial experience is not a forgotten one for these countries yet overcoming the colonial exploitation that left them unstructured, uncivilized and destructed was possible for them. Despite the political turmoil and scarcity of resources and proper institutions, the lesson that these countries learned and the quick counter they poised towards the Western and developed countries is undoubtedly a phenomenal experience for the economic history of the world.

ASEAN now stands with a collective GDP of USD 2.5 trillion and Intra-ASEAN trade is 545 billion USD (Blaxland, 2017). However, the limited success of the AEC (only tariff reduction) makes everyone including scholars and analysts very much skeptic and doubtful about its success in the future. It is to be mentioned that only one of the ASEAN countries - Singapore belongs to the Asian tigers group. Rest of the countries are still counted as emerging economies rather than advanced developed economies.

## **9. South Asian Dilemma**

The fear of losing national industries and home grown companies in the domestic market itself has been evident in the previous discussions and the procedure of following 'protectionism' has also been mentioned. When governments panic due to the appearance of new sellers from outside countries and their efficiency of providing much better quality than the domestic sellers, they impose tariffs on the specific products which are needed to protect the domestic businessmen or

companies. The trade dilemma of India has been regularly hampered by this fear and protectionism is a regular activity of India being the world's most eminent safeguard measures user (Park, 2016).

India is a similarly large state like China and it therefore earns a special attention (Goldstein & Pevehouse, 2009, p. 470). India's yearly growth in 2003 was measured to be around 8 percent (Goldstein & Pevehouse, 2009, p. 471). The South Asian economic integration lacks pace because of the existence of historical rivals of Pakistan and India which has underpinned tariff barriers between these two states (Iqbal & Nawaz, 2016). As previously explored in the paper, comparative advantage benefits the smaller countries relatively more as the bigger the country, the more the resources. Despite being a huge country, India aimed at cooperating with Pakistan through providing it the MFN (Most Favored Nation) status in 1995 and Pakistan did not cooperate until 2011 (Iqbal & Nawaz, 2016). While India has recently strained its relations with Nepal, it moved forward to economically cooperate with Bangladesh (Maini, 2016). Bangladesh therefore imports energy and power production from India (Maini, 2016). Smaller countries of this region – Bhutan, Nepal and Sri Lanka can also benefit from the powerhouse of this region - India. The recent developments in Bangladesh-India trade relations provide the proof that both countries are opening up to bilateral trade denying protectionism (Maini, 2016). Under the current governments, Bangladesh and India have significantly advanced on trade, investment and communication cooperation (Zaman, 2017). The barrier which comes in front now is the stringent Indo-Pak relations.

## 10. What Lies Ahead

The discussion on the historical evolution of the European Union shows us one similarity or continuity - the expansion of the union. Time and again, we can see that new members for the union have arrived. The Union started with only six members and currently it consists of 28 members. Although the Great Britain is leaving the union making it a union of 27 countries through the procedure of Brexit Referendum, more countries are still interested to be included in the union (Nougayrède, 2017). In 2013, Croatia was the last country to enter the union (Bilefsky, 2013). In 2007, Ukraine was interested in reforming its economics and civil society to deliver a membership bid for the union (Simms, 2014, p. 520). In April 2008, Macedonia was promised to be counted for an invitation if it could have ended its dispute with Greece (Simms, 2014, p. 521). Bosnia and Montenegro alongside Ukraine and Georgia were also told that new membership in the future for these countries is possible (Simms, 2014, p. 521). Bosnia and Montenegro were thus invited to start intensified dialogues to prepare for a future membership through structuring the country (Simms, 2014, p. 521). Turkey has also been very keen to join the union although the Europeans have been cynic about the Turkish inclusion (Mowat, 2016). George Friedman's prediction (2010, p. 116) however seems irrelevant now as it was the UK, not Germany who sent troops to Estonia to engage in power politics and deter the Russian federation (Willets, 2017).

The argument for EU to consider it as a wonder of economic development can be found in the British insertion into the union. In 1950, Britain was plagued with expenditure on international crises (Simms, 2014, p. 416). The World War II left the UK economically depressed and this was not the ideal time to engage in liberating people from the clutch of communism. Expenditures on defense fearing a Soviet invasion of Europe, the UK had to cut its domestic spending (Simms, 2014, p. 416). The massive defense expenditure caused a balance-of-payments crisis in the UK and saw the Minister of Labor, Aneurin Bevan resigning from the office (Simms, 2014, pp. 416-417). In 1956, the loss of the Suez Canal also caused a Pound Sterling crisis in Britain and France was also hit hard by the loss which ultimately provided an impulse to European integration project (Simms, 2014, p. 426). In 1973, after the Yom Kippur War between the Arabs and Israel, the oil producer Arab countries decided to reduce their oil production and announced an oil embargo against the collaborators of Israel (Simms, 2014, p. 456). This financial recession of 1973 ultimately saw Britain devastated and it then realized that it couldn't walk the economic path alone. Great Britain's great realization and eventual inclusion into the union gives us ample thoughts to recognize the positive side of European economic integration or in simple words, the European Union.

The future of AEC is very much ambiguous and it is very tough to be predicted as explained in the previous parts. However, South Asian economic integration might see sunrise as Bangladesh and India, both the countries are moving towards economic cooperation which in turn may inspire the other countries. SAARC is not the only hope in the region as the desire is also evident in the newly formed BIMSTEC. Narendra Modi's arrival in India is also inspiring new South Asian regional and global integration (Gupta, 2015).

## 11. Conclusion

It is very much evident from the history that the reason of forming an economic union eliminating trade barriers was the lesson learnt from the harrowing memory of the Second World War that left the whole Europe devastated both economically

and structurally. The trade union helped it recover its economy and through the economic integration, it was about to fight back in this world. But looks like people tend to forget the mischief and sorrows of themselves which ultimately leads them to be suicidal about the peace that they had garnered owing to that sorrowful experience of mischief. Similar thought was explored by Brendan Simms (2015, pp. 508-509) – “As the memory of the Second World War and the Soviet threat faded, peoples of Europe were becoming increasingly suspicious of EU ‘bureaucracy’, and sceptical of the need to sacrifice their national sovereignty”. This thought might have been criticized by many but the thought looks a very real and prudent one as we have already witnessed the Brexit or Great Britain’s exit from the European Union. The economic union may embrace decay in the coming days owing to the growing skepticism about the long peace it has provided but it might be too late to realize the benefits the union had provided. The final line thus may surprise all – no EU member has fought against each other in a violent armed conflict so far but things don’t look like to acknowledge this wonderful fact. However, the tribulation of Realism doesn’t seem to be evident rather regional economic integration creates regions as individual states and the realist view on regional integration is rather found to be prominent in the existence of EU and ASEAN from the collected information as countries do not intend to scamper towards an integrated world economy, rather regional cohesion for self-economic development through realizing comparative advantage.

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## **Development and Structure of the Bulgarian Export After the Country's Accession to the EU**

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### **Abstract**

Nowadays the European Union includes 28 countries. The last country that has signed an accession treaty was Croatia in 2013. The previous enlargement of the Union was in 2007 when Bulgaria and Romania became members. The accession process for these two countries took some time and was related to quite a lot of changes in the economic practices of both countries. The present article reviews the changes that occur in the Bulgarian foreign economic practice, more particularly in the export activity after Bulgaria's accession to the European Union in 2007. The paper analyses the trends in the development, structure and geographical distribution of the country's export during the 10-year period of the country's EU membership (2007-2016). The main reasons and factors for the main trends are outlined. On the basis of a detailed comparative analysis of the situation before and after the EU accession, the authors try to assess the impact of European integration on the Bulgarian export practices, highlighting both positive and negative results. The paper also elaborates specific recommendations for improvement of the competitiveness of the Bulgarian economy in the context of the country's export changes.

**Keywords:** competitiveness, export activities, EU membership, impact of the EU accession on the national economic development

### **Introduction**

Development and structure of a country's export largely reflects the general state of its economy and particularly the parameters of the country's existing production potential and the quality of its export output. Export structure is directly related to the country's participation in the international division of labor and international competitiveness of the national economy.

### **Major changes in the structure of Bulgarian export until the country's accession to the European Union (1990-2006)**

The economic reform carried out in the early 1990s has a strong influence on the commodity structure of Bulgarian foreign trade, and specifically on the country's export. There has been a significant restructuring of commodity exchange in relation to the re-direction of commodity flows mainly to the markets of the developed Western countries and the need to adapt the commodity structure to the requirements and capabilities of these markets.

In **the 90s of the previous century** a number of changes in the development and structure of the Bulgarian export can be highlighted:

Some of the goods which previously had a limited place in the country's export such as metals, chemical and mineral products (raw or primary processed goods with low added value that usually are sold at low prices) now take front positions in the country's export;

There is permanent trend in increasing the export of a number of products from the light industry, mainly toll manufactured, such as clothes, shoes and furniture;

The export of leading in the past commodity groups such as machines and equipment as well as goods like tobacco, cigarettes, fresh and processed fruits and vegetables etc. have been essentially reduced;

The presence of highly-technological products in the country's export has been extremely limited - only about 3% of the export or it is more than 7 times less than the average for the developed EU countries<sup>1</sup>.

The reasons for these changes in the Bulgarian export during the 1990s should be sought mainly in the critical situation of the Bulgarian economy at that time. A major role also has been played by the radical change in the orientation to the foreign markets – from the Soviet Union countries markets suddenly priority has been given to the EU countries' markets.

**Since the beginning of 2000, during the pre-accession period** when Bulgaria was actively negotiating and preparing for full membership in the EU3, additional changes to the Bulgarian export happened. The share of higher added value goods realized on the demanding Western European markets constantly increased. Nevertheless, on the eve of our accession to the European Union, despite some single progressive trends, there were no radical qualitative changes in the structure of Bulgarian exports.

Actually in the last seven years before the full membership of Bulgaria in the EU (2000-2006), there was a relatively stable trend by major commodity groups and items, divided by using mode [Tables 1 and 2]

**Table1.** Bulgarian export by groups of goods, differentiated by using mode, in the period 2000-2006 (share in %)

Groups of goods / Year		2000	2001	2002	2003	2004	2005	2006	Средна стойност 2000-2006 г. Average value 2000-2006
Потребителски стоки/consumer goods	Billion	1, 56	1, 92	2, 13	2, 44	2, 62	2, 73	2, 95	2.33
	%	29.8	33.4	35.3	36.6	32,8	28.9	24,6	31.6
Суровини и материали Raw materials	Billion	2, 32	2, 33	2, 54	2, 76	3, 48	4, 06	5, 46	3.28
	%	44.2	40.7	41.8	41.3	43.6	42.9	45.7	42.9
Investment products, including Machines and equipment	Billion	0.60 0.23	0.70 0.26	0 80 0.30	0 91 0.31	1 07 0 36	1, 46 0 41	1, 74 0 49	1.04 0.34
	%	11.5 4.5	12.4 4.6	13.1 4.9	13.7 4.6	13.5 4.5	15.4 4.4	14.2 4.1	13.4 4.5
Енергийни ресурси/energy resources	Billion	0 77	0 76	0 59	0 56	0 81	1 22	1, 86	0.94
	%	14.5	13.5	9.8	8.4	10.1	12.8	15.5	12.1
TOTAL	Billion	5, 25	5, 71	6, 06	6, 67	7, 98	9, 47	12 01	7.59
	%	100	100	100	100	100	100	100	100

**Source:** Foreign Trade Statistics: electronic sites of National Statistics Institute (NSI), Ministry of Economy of Bulgaria (MIB), Bulgarian National Bank (BNB), Eurostat and own calculations

As Table 1 shows, the first place at that time was firmly occupied by raw materials (the average share is 42.9%). This was due to the stable export of mainly non-ferrous metals, chemical products and fertilizers, raw materials for food production, timber etc. After that came the consumer goods (with an average share of 31.6%) with exports of cloths and shoes as a main item. Investment goods and energy resources had almost equal position - the difference between their average shares as also seen from the above table was only 1.3% (investment goods - 13.4%, energy resources - 12.1%). Machines, appliances and equipment accounted for only 4.5% of the export with a tendency their relative share to be even less after 2002. In total, the export of machines (including machinery, equipment, transport equipment and spare parts) accounted for only about 10% of the total export of Bulgaria at that time (for comparison 20 years ago it was over half of it).

<sup>1</sup> World Economic Forum, 2013, The Global Competitiveness Report 2013-2014

**Table 2.** *The first 10 commodity positions in the export of Bulgaria for the period 2000-2006*

No	Commodity positions	Осреднена стойност за периода 2000-2006 г. Average value for the period 2000-2006	
		€ million	% of export
1.	Clothes and shoes	1 344.9	18.0
2.	Non-ferrous metals	772.6	10.2
3.	Петролни продукти/Petrol products	635.4	8.4
4.	Cast iron, iron and steel	600.5	7.9
5.	Machines, appliances and equipment	338.2	4.5
6.	Foods	303.2	4.0
7.	Raw materials for food production	279.6	3.7
8.	Textile materials	263.4	3.5
9.	Chemical products	246.3	3.3
10.	Furniture	239.1	3.2
TOTAL		5,023.2	66.7

**Source:** *Foreign Trade Statistics: electronic sites NSI, MIB, BNB and own calculations*

In the pre-accession period, the export of commodity items such as non-ferrous metals, petroleum products, raw materials for food production very dynamically increased. There was also a significant increase in ore, vehicles, spare parts and equipment. These commodity positions demonstrated strong export potential and fairly good market presence. The indisputable leader in Bulgarian export during the period under review remained, however, the light industry products - cloths and shoes, textiles, furniture. In this respect, the export of most chemicals, machinery, appliances and equipment, tobacco, cigarettes, and timber was quite unsatisfactory. The main reasons for their limited export lied in both the lagging of Bulgarian production against the requirements of the international markets, as well as the high competition that the Bulgarian exporters faced abroad. An important factor determining the composition of the export was also the strategic orientation of the country mostly to the EU countries.

This analysis allows us to emphasize that the commodity aspect has its regional characteristics, which in our case outlines priorities with European or non-European orientation. In the period 1990-2006, in the Bulgarian trade with all categories of goods there is a clear trend of high presence of the EU countries. The enhanced access to the European market, which Bulgaria receives as a result of the Association Agreement, results in a significant change in the territorial direction of the Bulgarian trade and makes the EU member states major trade and investment partners of Bulgaria. [Table 3]

**Table 3.** *Share in % of EU in the Bulgaria external trade 1990-2006*

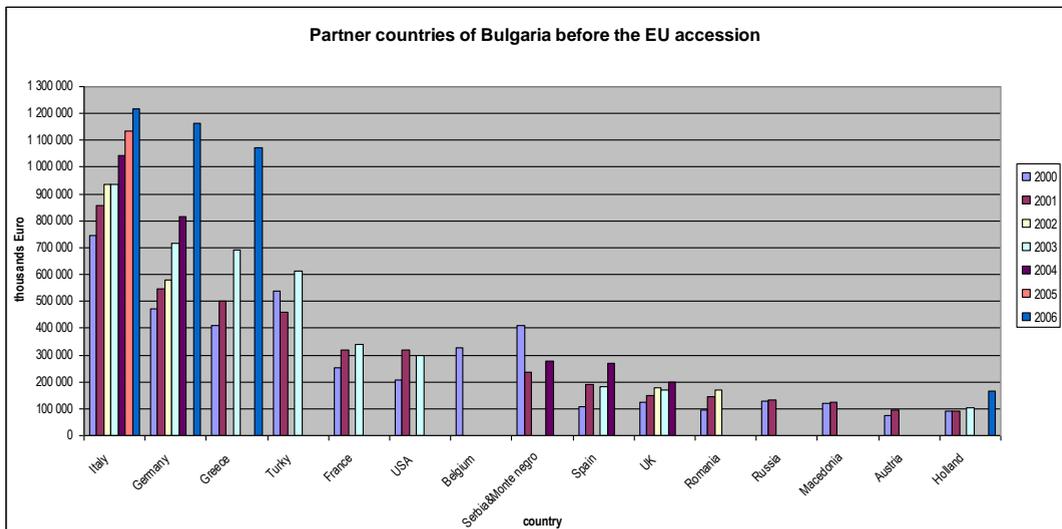
Year	Exports	Import	Commodity exchange	Coverage export / import
1990	5.0	9.6	7.3	0.53
1995	39.3	37.2	38.2	0.98
2000	51.1	44.0	47.0	0.86
2005	56.5	49.7	52.3	0.73
2006	56.5	47.3	50.9	0.78

Source: NSI, BNB and own calculations

For the period 1990-2006, until the country's accession to the EU, the average annual growth rate of commodity exchange between Bulgaria and the EU countries is about 20 per cent. In absolute numbers, trade with the EU during this period grew 10 times, reaching 15.5 billion. EU share in the Bulgarian commodity exchange from 7.3% at the end of the 1980s, already exceeds 50% in 2006. The share of the export is respectively 56.5% and that of the import is 47.3%. However, according to Eurostat data, Bulgaria accounted for only 0.4% of total EU trade.

In the first third of the period - until 1995, export and import to and from the EU grew almost equally and had almost full coverage of the export with the import. Between 1995 and 1998, the increase in trade was mainly due to the rapidly increasing Bulgarian export. From 1998 to 2007 there was some export retention and a surging increase in import. This deteriorated both the import-export coverage and the "trading conditions" with the European partners and caused a substantial increase in the trade deficit: from minus EUR 105 million in 1998 to minus EUR 2 billion in 2006. The highly increased negative trade balance was largely due to the liberalization of trade and tariffs reduction, which mainly favored our Western partners. At the same time, the increased competition as well as the lack of manufacturing, technological, financial and managerial experience of the local companies, relevant to the new market requirements, restricted their ability to benefit from liberalized access to the EU market. Therefore, Bulgaria not only failed to take advantage of the asymmetry principle but, on the contrary, allowed the EU countries to gradually conquer the Bulgarian market due to their more prestigious, higher-quality and more competitive goods. The principle of asymmetric liberalization enshrined in the European Accession Agreement has been in fact transformed into a "reverse asymmetry" effect.

In respect to the exporting partners, during the period under review, the leading partner country in the export from Bulgaria is Italy. It was only in 2006 that it backed its leading position in Turkey, with the value of exports in 2006 amounting to over 1 billion and 300 million euros. The other countries for which Bulgaria exports during these years change their positions, but whether they are second, third or fourth in the year, its main exporting partners are Germany, Greece, Turkey. France is Bulgaria's permanent trading partners and occupies a permanent sixth place in the export of our country (Graphic 1). Apart from EU Member States, the country also has export relations with countries outside the Union. One permanent partner is the United States, which over the years has maintained a steady trend in its trade relations with Bulgaria. Another country with which Bulgaria has trade relations is Russia. It is noteworthy that since 2000, exports to this country have also kept steady values, but they are not particularly high compared to EU countries and Turkey. It should be noted here that this is a significant change in the relations between the two countries, given that before the democratic changes in Bulgaria and in the years of transition to a market economy the two states maintain very active trade relations.



Source: the authors, based on data from NSI and BNB

Despite the existing difficulties and problems, the overall increase in the share of the Bulgarian export to the EU (2006 - 56.5%) might be seen largely as a successful adaptation of Bulgarian production to the requirements of the Western European market. This process has not been easy and smooth mainly because of the impossibility to eliminate the negative impact of unfavorable external factors (mostly the high raw material dependence on Russia) and the delay in the internal economic reforms. A rapid shift in export priorities had to be done that would pave the way for new export-oriented high value-added industries. This implied pursuing an active policy of attracting foreign investments as well as accomplishing manufacturing integration with leading global companies, especially in the new technologies field.

### Main trends in the structure of Bulgarian export after the country's accession to the European Union (2007 - 2016)

In the first year of Bulgaria's full EU membership, the country's export continued to grow at an accelerated pace. Under the impact of the global financial and economic crisis, however, from the second half of 2008, it began to lose its acceleration and in 2009 cut its value by 23%. This trend was stopped in 2010 and the export showed a relatively good increase of about 33%, which allowed it to return to the level of 2008. Similar, though more abruptly, were the trends in the development of Bulgarian import. Along with the negative fluctuations in export and import another extremely negative consequence of the crisis was the enormous decrease (more than 5 times) of the foreign direct investments in the country - from 9 billion in 2007 to 1.7 billion in 2010. All this had its effect on the export capacity and the export structure of our country.

During the ten years after the accession of Bulgaria to the EU (2007-2016), despite the registered fluctuations in the main commodity groups, the overall pattern of the export structure remained almost the same as before the country's entry into the EU, although some specific commodity positions shuffled their seats into the general arrangement<sup>1</sup>. It should also be noted that the increase in export values do not always contribute to the reciprocal increase in the relative share of the commodity group and / or the specific commodity. [Table 4]

**Table 4.** Exports of Bulgaria by group of goods, differentiated by use, in the period 2007-2016

Groups of goods / Year		2007	2008	2009	2010	2011	2012	2013	2014	2015	2016	Средна стойностAverage value 2007-2016 г. 2007-2016
Потребителски стоки Consumer goods	Billion	3, 25	3, 42	3, 29	3, 95	4, 51	4, 82	5,21	5,74	6,10	6,28	4,66
	%	24.0	22.5	28.1	25.4	22.3	23.2	23.4	26.0	26.6	26.7	24.8
Суровини и материали Raw materials	Billion	6.10	6.76	4, 99	6, 82	9, 40	8,97	9,68	9,12	9,41	9,24	8,05
	%	45.2	44.5	42.7	43.9	46.4	43.2	43.5	41.3	41.0	39.3	43.1
Investment goods, incl. Machines and equipment	Billion	2.16	2.52	1.90	2, 67	3, 53	3,49	3,97	4,30	4,88	5,56	3,50
	%	0.70	0.80	0.54	0.70	0.95	1.00	1.14	1.21	1.25	1.29	0.96
Energy resources	Billion	16.0	16.5	16.2	17.1	17.4	16.9	17.9	19.5	21.2	23.6	18.2
	%	5.18	5.26	4.62	4.50	4.69	4.82	5.12	5.48	5.45	5.48	5.06
TOTAL EXPORTS	Billion	2.00	2.50	1, 51	2, 11	2, 82	3,48	3,39	2,91	2,55	2,45	2,57
	%	14.8	16.5	13.0	13.6	13.9	16.7	15.2	13.2	11.2	10.4	13.9
TOTAL EXPORTS	Billion	3.51	5.20	1.69	5.55	0.26	0.76	2.25	2.07	2.94	3.53	18.78
	%	100	100	100	100	100	100	100	100	100	100	100

**Source:** BNB data, NSI, MIB and own calculations. **Note:** In calculating the Relative share of the stock split is not taken into account so-called. "Other not included" equalization section, since it occupies a very insignificant place in exports and imports.

Raw materials, despite a slight but permanent reduction of their share in the first three years of membership, in 2010 and 2011 again reached their average level of before our accession to the EU due to the significant value increase of about 2 billion euro per year. However, the increase was in short-term period and in the last 5 years the trend of their share has been towards a sustainable reduction. Nevertheless, this commodity group still preserves its leading export position with almost the same average share as pre-accession period - 43.0%, but with 2.5 times increase in absolute value.

After the group of the raw materials again comes the group of consumer goods. This group is the only one that, during the 2009 crisis, although with a formal decrease in absolute value, sharply increased its relative share by 5.6 percentage points. This commodity group thus interrupts the long-lasting downward trend in its export share that had started back in 2003. In 2010, the share of consumer goods again began to decline, accounting for about ¼ of the export. After 2013, however, the absolute volume and relative share of this commodity group again has recorded a modest increase. At present, compared

<sup>1</sup> Economic Policy Institute, 2012, Bulgarian competitiveness in the Central European region and Eastern Europe, 7th edition

to the pre-accession period, the value of the exported consumer goods is twice as large and their average share in the Bulgarian export is lower by 7 percentage points<sup>1</sup>.

Investment goods and energy resources in the first years of membership followed fully synchronized one-way trends in its export – both in absolute values, and in relative shares. In the first two years, the data in both directions showed a tendency to increase, after which (in 2009) there was a visible decrease, followed in 2010 by a new upward trend. For the investment goods the upward trend continues even today, while in the case of energy resources, the peak was in 2012, after which there has been a steady downward trend. As a result, the investment goods in 2016 steadily took third position in the Bulgarian export, outpacing more than 2 times the energy raw materials in both value and relative share. At the averages for the period after 2006, the difference is EUR 1 billion and 4.3 percentage points.

In the other leading commodity positions, ten years after Bulgaria's accession to the EU, export structure, albeit with a different weight again are the petroleum products, non-ferrous metals and raw materials for food production. The machines, spare parts and equipment, ready-made food and the furniture reinforce their leadership. The export of ferrous metals, clothes and shoes, textiles, chemical products sharply decreases. [Table 5]

**Table 5.** *The first 10 commodity groups in the export of Bulgaria for the period 2007-2016*

No	Commodity groups	Осреднена стойност за периода 2007-2016 г. Average value for 2007-2016	
		€ million	% Of exports
1.	Petrol products	2 058.7	11.0
2.	Non-ferrous metals	1 993.7	10.6
3.	Raw materials for food production	1 514.1	8.1
4.	Clothes and shoes	1 486.0	8.0
5.	Machines, appliances and equipment	958.1	5.1
6.	Foods	955.5	5.0
7.	Spare parts and equipment	849.1	4.5
8.	Furniture	722.6	3.9
9.	Cast iron, iron and steel	664.9	3.6
10.	Medicines and cosmetics	655.0	3.5
TOTAL		11,857.7	63.3

**Source:** *Foreign Trade Statistics: electronic sites NSI, MIB, BNB and own calculations*

In comparison to the pre-accession period there is some shift in the leadership positions. Before the country's accession to the EU, looking at the average shares, the first place convincingly was occupied by clothes and shoes with 18%, followed by non-ferrous metals (10.2%) and petroleum products (8.4%). Currently, the first two places are taken by petroleum products with 11% and non-ferrous metals with 10.6%, followed by raw materials for food production (8.1%) and clothes and shoes (8.0%). In the list of the 10 leading export products the place of the textile materials and chemical products is taken by spare parts and equipment and medicines and cosmetics.

Regardless the positive trends in the product structure of the Bulgarian export within the EU membership, in general the structural changes are not entirely oriented to the high added value export industries (Zhelev, Tzanov, 2012). In this situation, it is difficult to expect a rapid change in the area of main commodity groups and positions, so the existing old problems will most likely continue over the coming years. It is quite problematic to increase the positive trade balances in the leading goods in order to compensate the negative energy and machine-construction imports. At present the existing commodity structure of Bulgarian trade is unable to change the long-term trends. A radical qualitative change in the competitive level of export is needed, but this can only be achieved by an effective technological change of the overall national production (Inotai, 2013). Such steps, however at this stage are not seen.

Regarding the regional characteristics of the export commodity structure of Bulgaria after the EU membership, it should be noted that the high presence of the EU countries in principle stays the same (Lozanov, 2009). The deepening of the

<sup>1</sup> European Competitiveness Report, 2014, Helping firms grow, Commission Staff Working Document

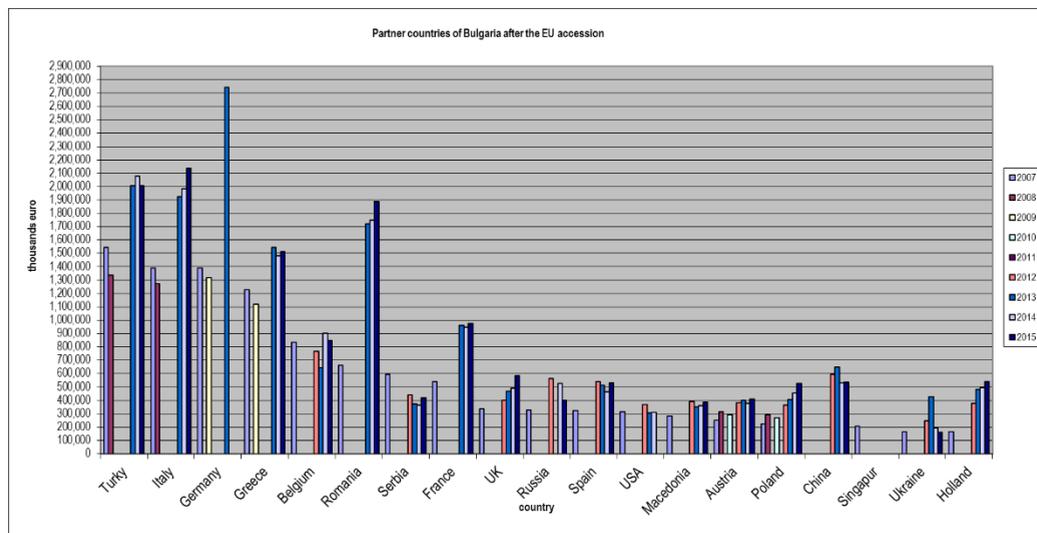
European trade orientation is underlined by the fact that export to non-EU countries in the first year of membership has fallen by nearly 5%, and the import by 22%. Despite some fluctuations in the different years, the overall trend for the share of EU in the three directions - export, import and trade – is well noticeable, especially after the financial and economic crisis [Table 6]

**Table 6.** Share in % of EU in Bulgaria's external trade 2007-2016

year	export	import	The stock exchange	Coverage export / import
2007	60.8	51.8	55.3	0.72
2008	59.9	50.7	54.1	0.71
2009	64.8	53.3	58.0	0.84
2010	60.8	51.1	55.5	0.96
2011	62.2	48.5	54.8	1.11
2012	58.5	47.6	52.5	1.00
2013	60.0	48.7	53.9	1.06
2014	60.2	50.6	55.9	1.04
2015	64.6	53.0	58.4	1.06
2016	67.6	54.9	60.9	1.11

**Source:** according to BNB data and own calculations

In recent years the number of Bulgarian companies that executed foreign trade activities has amounted to little more than 40,000, exporting companies - about 12000, and importers - nearly 30,000. There is a trend of faster growth of the importing companies. About half of the Bulgarian companies have export and import operations amounting up to 25,000 euros<sup>1</sup>. The companies that pass the limit of EURO 1 million are only 7-8% of the total. Most companies are exporting to leading European partners (Germany, Italy, France, UK) and neighboring countries (Greece, Turkey, Romania, Macedonia and Serbia).



Source: the authors, based on data from NSI and BNB

The highest remains the percentage of companies that deal with export of machinery and equipment, plastics, electrical machinery, textiles and clothing products, metallurgy goods, paper, wood and furniture. Therefore, in terms of the corporate

<sup>1</sup> World Bank, 2015, Productivity in Bulgaria, Trends and Options

structure of Bulgarian export, ten years after the accession to EU, the situation remains without significant changes compared to the pre-accession period. Limited strengths of the Bulgarian producers to compete with EU producers do not allow them to make the most of the favorable conditions that the free market access offers (Beleva et al., 2017).

The problem with the structural asymmetry in production and trade between Bulgaria and the developed EU countries strongly hinders the effective development of mutual economic cooperation. The country's production and export structures are very different from those in the EU and developed countries as a whole. This limits the potential for intersectoral and intra-product specialization and cooperation - the most advanced and most promising forms of industrial cooperation. This also influences the acceleration of trade development especially of parts and components from high-tech industrial products. The existing export specialization of Bulgaria for the EU is strategically unviable and inevitably positions the country in unfavourable situation within the European integration process.

It is not a secret that the labor-and material-intensive nature of Bulgarian industry is quite different from the structure of the EU industry or at least from the leading member states. There is inter-sectoral specialization between Bulgaria and the leading EU countries related to the development of capacities for raw material extraction and labor-intensive production<sup>1</sup>. This specialization of Bulgarian industry is unprofitable for the country, because it keeps the salaries lower than in the other EU countries and increases the gap in the trade conditions between Bulgaria and the EU. This requires accelerated step-by-step approach for beginning of the process of forming a complex intersectoral specialization by attracting well-known strategic investors from the EU and other developed industrialized countries.

Certain problems arise also from the territorial focus of the Bulgarian export. As concerns the geographical distribution there is not only a relative stability, just like in the commodity structure, but also an excessive concentration of our trade with a limited number of EU countries. These are our traditional trading partners such as Germany, Italy, Greece and now Romania. These four countries in total hold two-thirds of the total volume of our trade within the EU, respectively 68% in the export and 63% in the import. In the future it is necessary to do everything possible for a diversification and intensification of contacts with the other 23 countries of the Community in order to optimize the trading partners and to achieve a greater supply balance. Of course, we have to constantly keep in mind that the economic cooperation between Bulgaria and each of the member states is being built on two levels simultaneously. It reflects both the general relations of Bulgaria with EU and the peculiarities in the bilateral relations, which are determined by the specific economic, historical, political and geographical conditions.

## Conclusion

The conclusion from the above analysis is that despite the difficulties, the highlighted problems, the impacts of the economic crises etc., yet there are certain positive trends, particularly with regard to quantitative changes in export volumes. The qualitative changes happen with difficulty and very slowly but still they are happening. The majority of the Bulgarian industrial goods are still uncompetitive in the European markets. The agricultural export of the country is significantly below its potential. Insufficient financial resources of Bulgarian companies hinder the adoption of modern production technologies and effective export marketing approaches. Bulgaria in the European market offers mostly raw materials. This significantly limits the potential for future accelerated growth in the export. It is necessary to achieve quality improvement, introduction of new technologies, modern production certification and to provide support to the small and medium enterprises in the country to be able to withstand the competitive European pressure.

The future development of Bulgaria will depend mostly on how the country benefits from its membership in EU. The risks in this regard have not yet been overcome. Because of the difference in economic levels between Bulgaria and the other EU member states practically our integration is very skewed and "inhomogeneous" accompanied by a lot of difficulties and problems. The last is a result mainly from the major structural and technological disparities, differences in the maturity of the market relations, shortcomings in institutional mechanisms and the further increase in the competitive pressure on the Bulgarian market.

The final conclusion from the above analysis of the modern development and structure of the Bulgarian export is that the economy of a country that produces and exports mainly raw materials and low-tech goods can not be competitive. Export of such country, although impressive in volumes, does not contribute to the achievement of rapid economic growth. On the

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<sup>1</sup> [https://en.wikipedia.org/wiki/Personalized\\_learning](https://en.wikipedia.org/wiki/Personalized_learning)

contrary, it hinders the optimal development of trade relations and inhibits growth. On other hand the slow growth and low production efficiency restrict export and contribute to increasing the gap in terms of trade balance.

Severe structural problems of Bulgarian export impose the need of restructuring and technological upgrading of national production as quickly as possible. For achieving this purpose it is necessary to have an adequate state policy with the active participation of the private sector and in close cooperation with leading high-tech companies from developed countries. Unfortunately, such a comprehensive, process oriented, consistent with the current requirements of the international market structural and technological modernization is still missing in Bulgaria.

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## Key Features of Personalized Learning

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### Abstract

The term personalized learning, or personalization, refers to a diverse variety of educational programs, learning experiences, instructional approaches, and academic-support strategies that are intended to address the distinct learning needs, interests, aspirations, or cultural backgrounds of individual students.

**Keywords:** Key Features of Personalized Learning

### Introduction

According to the **National Educational Technology Plan** developed by the US Department of Education, personalized learning means adjusting the pace (individualization), adjusting the approach (differentiation), and connecting to the learner's interests and experiences. Personalization, in theory, is broader than mere individualization or differentiation in that it affords the learner a degree of choice about learning.<sup>1</sup>

The International Association for K-12 Online Learning (iNACOL) defines personalized learning as “tailoring learning for each student’s strengths, needs, and interests—including enabling student voice and choice in what, how, when, and where they learn—to provide flexibility and supports to ensure mastery of the highest standards possible.”<sup>2</sup>

### What are key features of personalized learning?

Based on web researched information, there are 4 key elements that form effective personalized learning practices.

#### 1. Learner Profiles

Within the personalized learning environment, emphasis is placed on understanding each and every student. Learner profiles offer deep insights into “each student’s individual strengths, needs, motivations, progress, and goals”, in an effort to provide the best possible solutions. Adaptive systems provide learner profiles tailored to the individual that add to each student’s Learning DNA. These personalized profiles provide portals for educators to get to know every single student on a personal level, with the system providing resources tailored to each one.

#### 2. Personalized Learning Paths

With personalized learning paths, “each student follows a customized path that responds and adapts based on his or her learning progress, motivations, and goals.” This allows students to engage in independent learning, through a tailored learning experience. Fishtree<sup>3</sup> identifies personalized learning paths for each student, offering tailored resources along the way, with consistent support guiding them towards mastery of each objective. Each path is clearly identifiable by students and teacher, offering a deeper understanding of progress and performance.

#### 3. Competency-Based Progression

Competency-based progression involves a process whereby “each student’s progress toward clearly defined goals is continually assessed.” This ensures mastery of skills and competencies as students progress upon demonstration of proficiency, as opposed to measurement of seat time.

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<sup>1</sup> <https://www.edsurge.com/news/2015-04-01-five-key-elements-of-personalized-learning>

<sup>2</sup> <http://fishtreeblog.tumblr.com/post/105439362855/the-4-biggest-features-of-personalized-learning#sthash.uG7Q7P9x.dpuf>

<sup>3</sup> [http://www.inacol.org/resources/resource-search/?resource\\_topics=18](http://www.inacol.org/resources/resource-search/?resource_topics=18)

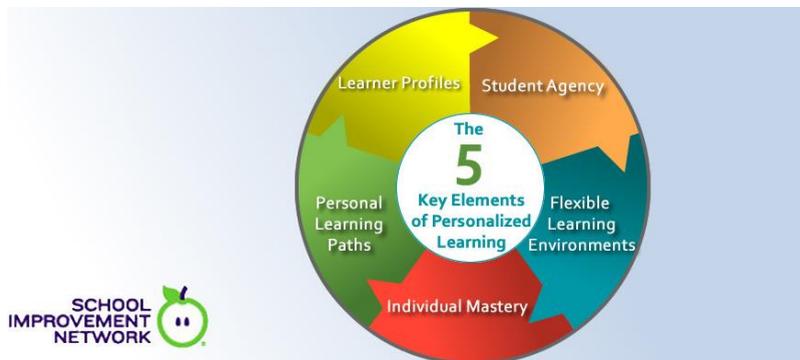
#### 4. Flexible Learning Environment

Within personalized learning practices, “student needs drive the design of the learning environment.” With this in mind, the learning process rotates around students reaching their goals according to their own pace, needs, and interests. Adaptive platforms ensure a flexible approach that works around students with a mobile system that offers tailored resources and assessments. Educators are then free to adjust teaching methods to incorporate flipped, blended and mobile learning to meet the needs of every student. Combining all four key ingredients, the personalized learning environment is proven to be increasingly productive for both students and teachers.

Another essential element of personalized learning, based on iNACOL's<sup>1</sup> discussions with educators in the field is:

**Student Agency:** Students should have some control over how they learn. With the help of their teachers, they should be involved in designing their own learning process and should be given a choice in how to demonstrate their learning through performance-based assessments.

Below is a visual representation of the four core features including Student Agency as a fifth one.



Source: <https://www.edsurge.com/news/2015-04-01-five-key-elements-of-personalized-learning>

#### What Personalized Learning really means and why there is value? Background

The idea of personalized learning is as old as time itself. The instructional model in which a tutor instructs an individual student one-on-one has long been accepted as the most effective method of educating a student. As tutors are able to adjust the pace of learning to the specific needs of their individual student, the power of personalized learning has proved not only to make intuitive sense, but has been supported by research as well. Benjamin Bloom's 1984 study, for example, showed that students who were tutored 1-on-1 performed much better than those who received standard classroom instruction (Bloom, 1984; Horn, 2014).

Based on 2013 article titled The Next Generation of (Personalized) Learning, Stacey Childress and Scott Benson at Bill & Melinda Gates Foundation debate that “For more than 150 years, the system has been organized around the idea that students of similar ages should move along together, through the same material, at roughly the same pace”.<sup>2</sup>

In recent years, the idea of personalized learning has become a new focus for many districts and a trendy buzzword for anyone and everyone involved in the field of education.

Having a closer look at our country's history, America is called a melting pot for many reasons. Each individual carries unique traits: culture, family, learning styles, interests, skills, life experiences, and more. We're all at our best when we can tap into those characteristics that make us unique. That's especially true when it comes to education.

<sup>1</sup> <http://www.impatientoptimists.org/Posts/2013/01/The-Next-Generation-of-Personalized-Learning#.V8XpHk14cuU>

<sup>2</sup> In this work we talk about *intelligence* in terms of information as opportunity or possibility, that is, knowledge structures that, being contextually relevant, allow an advantageous intervention in reality (to be successful). Thus, it refers to the set of integrated capabilities as a unit: learning, feeling, incorporating, linking, experiencing and communicating.

A single dad looking to earn a college degree while raising an infant may need a flexible learning environment that allows him to learn at his own pace—and on his own schedule. A high school senior who hates physics, but loves skateboarding, might need a trip to the skate park to better understand speed, velocity, and momentum. **Learning becomes even more powerful when it's personalized to each student's needs, interests, and circumstances.**

### **Current status of Professional Learning application**

#### **The Debate around the new trend**

#### **Organizations engaged and resources**

Other related Resources and Articles:

#### **Personalized Learning**

<http://k12education.gatesfoundation.org/student-success/personalized-learning/>

#### **5 things you should know about Personalized Learning**

<http://www.impatientoptimists.org/Posts/2014/11/5-Things-You-Should-Know-About-Personalized-Learning#.V8XVjU14cuU>

#### **The Next Generation of (Personalized) Learning**

<http://www.impatientoptimists.org/Posts/2013/01/The-Next-Generation-of-Personalized-Learning#.V8XpHk14cuU>

**Four Reasons to Worry About "Personalized Learning" by Alfie Kohn** <https://www.psychologytoday.com/blog/the-homework-myth/201502/four-reasons-worry-about-personalized-learning>

#### **Updated Personalization vs. Differentiation vs. Individualization Chart Version 3**

<http://www.personalizelearning.com/2013/03/new-personalization-vs-differentiation.html>

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## The Importance of Nepotism and Corruption Management in Institutions and the Economy of the Country

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### Abstract:

Social, political and institutional factors play a major role in the country's economic development and economic growth in developing and developed countries. Corruption, which is a symptom of deep institutional weaknesses, is one of the factors responsible for reducing investment and spending (for education and health), increasing income inequality, decreasing foreign direct investment, and allocating resources. It tends to grow faster than the dynamics implemented to neutralize it. Systematically, it has caused many disturbing problems in all countries of the world. Based on a Transparency International report. Corruption is one of the greatest contemporary challenges of the world. It determines good governance, leads to inefficient resource allocation, disrupts the private and public sector, and often affects the poor. The people in the world carry the phenomena that society has so far encountered but has neglected. Nepotism usually means hiring close relatives, close friends, regardless of their merits and abilities. While corruption poses a permanent threat to both the economic system and the country's legal system. The purpose of this paper is; To assess the factors that have influenced the appearance and development of nepotism and corruption. Then, analyze the influence of nepotism and corruption in the country's economy. The impact of nepotism on employment and the advancement of relatives in the important sector of the country as well as the influence of corruption and nepotism in justice institutions. The research results will be useful for researchers who will be concerned with analyzing the influential factors of nepotism and corruption.

**Keywords:** management nepotism, corruption, justice institutions, the country's economy.

### 1. Introduction

"Corruption is bad, not because money and benefits change hands or because of the motives of the participants, but because it privatizes particular aspects of public life by creating different debates and problems." -Dennis F.Thompson, (1993)

The economy is generally in the phase of intense globalization, which does not only mean the interdependence of inter-regional economies, but also technological integration, as well as the profound structural changes that tend to dominate supersofted sectors such as high telecommunication equipment.

It is understood that these changes affect production in the first place and cause significant changes throughout the business process. This shows that they do not arise in themselves but are a factor in the changes of the surrounding environment that surrounds us.

In the world's largest encyclopedia on line, Wikipedia, (see [www.wikipedia.org](http://www.wikipedia.org)), the word "manage" comes from the word "maneggiare" (Ang. to handle-hendling, Train training or horse trainer - training space), which is derived from the Latin word which in translation means "hand."

While the word "Nepotism" comes from the "nepot" Italian, that is, the grandson, which has come into use by the papacy practice of granting special favors to their grandchildren or their relatives. So favoring relatives on the basis of family ties, namely nepotism, means hiring close friends or close friends, regardless of their merits and abilities (Dictionary, 2013). Nepotism can occur in different areas of organization of society (Nepotism, 2013). Nepotism exists all over the world, but nowhere does it dominate the political, economic, social and all-inclusive life as it is supposed to; The countries of Eastern Europe, southeastern Europe, the Middle East, even in some EU countries. According to the Strasbourg Convention (1999),

corruption threatens legal norms, democracy, human rights and freedoms, undermines the rule of law, social justice and honesty, deforms fair competition, curbs the economic development and the moral foundations of society.

The notion of corruption derives from the word "corrumpere" which means taking bribes, bribes etc. The word corruption is derived from Latin, and the literal meaning is corruption, defiance.

Mere defamation, "Corruption is the misuse of trusted power for personal gain." Corruption is a multi-dimensional issue. In a narrower sense, corruption can be defined as: any violation of the duty of official persons or persons responsible for legal entities and any activity of initiators or beneficiaries of this conduct in return for a service that is directly or indirectly promised, Given, sought, received or expected to be taken for yourself or for another person.

This definition includes active and passive corruption, such as: for official persons who have a public function or exercise a public service, persons responsible for the management and administration of companies and persons who are initiators of corrupt behavior. Many individuals misunderstand corruption. Some give a sense so close that they match the term myth, bribe, and some others every action of life associated with corruption. Both attitudes are wrong.

Thus a definition of corruption would be as follows: Corruption is a deviation from the duty, law, rule, or ethical norms of an official or a public institution in favor of the beneficiary of this behavior which is influenced by a reward, promise, preferential treatment, Offered, given, requested or received. Corruption also means damage to public interests at the expense of individuals' interests, or preferential treatment of a group of individuals who may belong to the same political party. So the term corruption is not a term that only includes bribery and bribery but also includes other forms.

The reward is not meant to be in cash, but it may also be a preferential treatment with regard to employment, the performance of any service, or the promise given for any work done. Usually, political party representatives promise employment to individuals who have served the party to win the elections. Corruption and its impact on economic growth are accomplished during their government mandate. In this case, employment rules, law and ethical norms are violated because the evaluation criteria are not respected, such as merit employment, interviewing, testing, etc.

In some cases, the term corruption is also interpreted as Alienation. Corruption or Alienation is a phenomenon during which the elements or attributes of an element of a community are alienated to another community. The problem is not the lack of alternatives, as the definitions of corruption are numerous, but to choose one that is complete, unique and at the same time comprehensible. These three criteria are needed to minimize the risk of misunderstanding. We have therefore chosen to use the following definition: corruption. We have: when a state administration employee motivated to have private benefits treats individuals preferentially when this is not legally permissible.

The term "Corruption" has been given a great importance especially during the twentieth century, as this phenomenon significantly affects the economic performance of countries and especially in developing countries. Various studies on the consequences of corruption point out its negative impacts on economic growth (Klittgard, 1988; Shleifer and Vishny 1993; Mauro 1995; Bardhan 1997). The World Bank study in 1995 identifies corruption as one of the key obstacles to the economic and social development of the poor.

Corruption is a phenomenon just as old as mankind itself. It is found in all environments, in all systems and possible regimes, constituting a threat to them, especially for democracies. In the twentieth century it is also called white crime, since it is difficult to find and punish it specifically. It fits all situations by surviving even during the campaigns organized against it and is considered as: Misuse of power or position for personal gain. In a narrower sense, corruption can be defined as: violation of duties by public officials or responsible persons of legal entities and any activity of initiators or beneficiaries of this conduct in exchange for a service that is directly or indirectly promised, offered, provided, sought, received or expected to be obtained for itself or for another person.

A human activity, regardless of whether it is state, private or non-profit, whether it is developed in America, Italy, Japan, Russia or Albania, tends to turn into a corrupt activity if a person (or a group of individuals) , Have monopolized the power over a commodity or service, enjoys the freedom of judgment and action to establish the offer and the price of such goods or services and this person (or group of individuals) does not account for anyone (bears no responsibility) for the development of the activity .

For Kregar (1997), corruption is a pathological phenomenon, systematic operation in which the ruling political class places personal interest on the political community. Corruption is a phenomenon that has been found in both developed and developing countries, but at different levels, and it can be noticed a higher trend among the poorest countries in corruption

than it is present in developed countries. Corruption as a phenomenon is widespread worldwide, both in developed countries and in developing countries. But market places and centralized economies have faced more.

In the past and in the current period (Mihaiu and Opreana, 2013 From a legal perspective, distinguish two types of corrupt behavior, active corruption and passive corruption). We are aware that corruption, with a large or small extent, is a threat to all participants in a democratic society, especially for countries that are for a period of transition. Corruption is fought and put under control in the moments that it has emerged.

The reason why it is easy to fight corruption at the time of its appearance is that it is very easy to identify and prevent. More generally, corruption has a degrading effect on the overall system and social order. The limits of corruption are as inaccessible as human greed is unattainable. Human greed grows when the justice system does not work.

The offense of corruption is related to the violation of legal provisions and the code of professional ethics by employees in the public or private sector. According to Antonić (et al., 2001), corruption is manifested in different fields and in different ways. As an illustration, it may only focus on some forms of corruption in the judicial system, police, customs, health, and corruption of local authorities. But Halimi (2014), in his article titled; 'Corruption of cancer of Kosovo society', corruption is a factor influencing the destruction of the country's economy.

Corruption has been present and constitutes one of the worst problems of the past decades, but over the last decade has shown a great interest from academics and policy makers. Corruption has been a widespread and repeated phenomenon in human history. He has been present in all political and social systems, in different levels and forms. Hammurab's XVIII century code p.e.r. Specifies legally based punitive measures against corrupt officials, particularly for judges' corruption. In the 4th century BC, Kaulitiliya, Prime Minister of the Kingdom of India, wrote the Arathasastra book in which he also discussed corruption. Aristotle, Plato, Machiavelli and Ruso have studied government corruption. Dante put the deceased into the deepest hell, reflecting the medieval abomination of corrupt people. Shakespeare has given corruption a prominent place in some of his works. Known politicians (presidents, prime ministers, ministers) have lost their positions due to corruption and in some rare cases, the political class has been completely replaced.

Corruption is a devilish activity that is caused by the psycho-social shortcomings of adulterous behavioral norms, which are designed to produce advantages or benefits for themselves, the family or friends, friends or political allies. Corruption is a concept. With many meanings or a set of unambiguous concepts that are part of economic, political, psychological and mathematical sciences. There are several reasons why this phenomenon has shown a high interest: first, a consensus is reached that corruption is a unique and universal phenomenon. It is present both in poor and developed countries, in the public and private sectors as well as in non-profit organizations. (World Bank 1997).

Second, the scandals resulting from corruption have played an important role in the political sphere in recent years. For example: crashed governments as well as corrupt political figures or the destruction of the reputation of organizations and businesses

Powerful as a result of conducting corrupt affairs. A good illustration of them is the collapse of Marcos's government in the Philippines (New York Times, Feb. 26, 1986) and the destruction of the Enron Corporation in the US (Healy and Palepu, 2003). Shleifer and Vishny (1994) have noted that in Greece there is a high diversity of employees and leading corporations when the opposition party wins.

Thirdly, as well as the most important problem is that corruption can be an obstacle to the country's economic development and has a direct impact on its economic growth. In transition countries, transition from a centralized economy to a free market has created room for ineligible benefits. It is seen to be accompanied by a shift from a well-organized corruption system to a more chaotic system (Shleifer, 1997). Low economic growth has been present in some countries as a result of institutional malfunctioning and the proliferation of corrupt officials.

In the popular sense, corruption is the Abuse of State Position to Provide Unlawful BenefitsII. The catalog of corrupt activities involves bribery, intimidation, exerting influence, exploiting another's property or property, speeding up or deliberately slowing down the job or favoring it by paying money, deceiving, revealing secret or confidential information, nepotism, etc. . Corruption exists not only in state institutions of different levels, but also in the private sector and in international organizations. So in the metaphorical sense, corruption is expressed by the formula:

$$K = M + L - P,$$

K - shows corruption, M - shows monopolization of power, L - shows the freedom of judgment and action, while P - shows the responsibility.

Improving governance is essential for the country's economic development and improving the livelihoods of poor individuals. But both of these main objectives are threatened by corruption. There should never be underestimated the urgent need for corruption to support political forces. Corruption is also helped and encouraged by the long standing power of the same political party. A prominent scientist in corruption theory (S. Rose-Ackerman, R.)

Nepotism can occur in various fields including: Political Nepotism; Family nepotism; Nepotism in the organization; Nepotism in employment / advancement. Political nepotism affects the giving of special favors to public organizations of political associates. For the Institute for Development Policy (2014), the politicization of public organizations has brought the first consequences.

Appointing political people on boards of public organizations. Now, the phenomenon of political nepotism has taken root in the provincial and provincial mentality in society, and it is no less harmful than family nepotism. This phenomenon, apart from political thought, has been installed in the wider population as well. Demi, A., (2014), estimates that the politicization of public organizations has started since the declaration of Kosovo's independence.

The favoring of relatives on the basis of family ties, which is more precise means nepotism, in one way or another in most cases enables the relatives to work without merit and adequate qualification, with later consequences for the institution and the society itself. According to the Kosovo democratic institute (2014), central public organizations have been the most suitable place for rehabilitating and settling party militants.

Political and family influences influenced the employment of approaches, in different positions in public and state institutions, employment included all relevant sectors of the country as well; Employment in public administration, employment in leading staff in ministries, employment of relatives in departments, important sector of the country, employment in security organs, employment in state agencies, employment in public corporations, employment in public media (Fetahu, D, 2016). According to Cohu (2007), the total politicization of administration is taking place in Kosovo, which is in full contradiction with the European criteria for reforming and building civilian administration, and such continuation will deepen the economic crisis in Kosovo and undermine sustainability Its economic and political-social. Ruling political parties to engage people close to politics and on a clientelist basis have been a phenomenon of all those political forces that have been in power over the years. Unsustainable employment has (had) negative impact on the country and beyond.

Hence, not setting preliminary criteria for employment, but employment by group, tribal, or clan influences on the arrival of people without merit, with a negative impact on; The country's economy, the integration, with a negative impact on justice, as well as a negative impact on society itself.

With which criteria, the criteria and conditions for establishing employment relationships would be determined, where without the fulfillment of the criteria, no admission to work, the fulfillment of employment or advancement criteria, were done almost none As appropriate, this had implications for the advancement of the HR and the development of the public sector. So, on the "criterion" of nepotism and non-professionalism it has been impossible to create genuine state bodies and officials as well as the professional administration.

Because, only a strong and professional administration led by people with the most appropriate experience could successfully build economic development field and in every area of life. Perhaps, we have not encountered anywhere in Europe, that in state and government bodies hiring and appointing officials in leading political and economic positions without public competitions, through which realistic assessment of staff according to their professional experience and skills.

Eliminating the impacts of family ties, as has happened and is still happening in the Balkan countries especially in: Kosovo, Albania, Macedonia, Montenegro, B & H, etc. Family nepotism (clan) is many times present, ranging from appointments to the highest state positions and to the lowest levels of municipal administrations. To take only the example of appointment of senior public / state officials, we will understand that almost no one has been named on the basis of the fulfillment of the conditions foreseen by law, respectively the competition, to be appointed or elected in these posts, The minimum of work experience.

In Kosovo mistakes in employment began with the deployment of the international administration (UNMIK, 1999). And here is the fatal mistake that UNMIK has done together with the Kosovo government afterwards. Because instead of issuing

provisional normative acts as well as legal employment conditions, ranging from the mere referral to the position of the president of the country, making the professional selection of competitors to be admitted to work, What is happening to this day is the continuation of employment and appointment of people, not according to legal and professional norms, but on the basis of family nepotism.

But this has also happened in some public, diplomatic representations of most of the countries of the southeast Balkans. For Abdala, M. (et al, 1994), if employees are in competition with a privileged individual, their probability of advancement is rather low. Therefore, given the legal violations that have been made in terms of hiring people without merit and

Without meeting the competitive criteria, we should not be surprised why today in these countries dominates an economically backward, poor-to-extreme population, unemployed youth. Kayabaşı, Y., (2005) thinks that the phenomenon of preferential treatment is and is considered a "form of corruption" that appears in the political decision-making process, and is at the same time one of the main problems of public bureaucracy.

Nepotism within organizations when a person is employed because of their family ties. It is generally seen as unethical, both by the employer and the employee. According to the Institute for Development Policy (2014), the appointment of political boards has influenced these people to make room for other militant political parties, risking their full capture of party elements.

The presence of a high degree of risk in business, and unfair competition in the market in which organizations are operating, is increasingly affecting the economic stability of organizations and businesses (Fetahu D., 2014). Corruption is causing no trade equity by affecting the favoritism of certain businesses. As a result of corruption is increasing the cost of doing business in these countries, this is affecting the creation of a climate that for many businessmen is considered a difficult condition to stay active in the market. For Eigen (2004), the countries in the region have a multitude of anti-corruption laws, but they also have judges appointed and beholden to politicians who are selective about enforcing these laws. What good are these laws when crooked politicians know they will not be applied.

Switching from one system to another political system has impacted to a large extent has influenced the personal ethics of the citizens of the country. Therefore, the desire for the illicit profitability of the property is not incidental, it is the result of the slow action of the law, the act of justice with delay or at all (Fetahu D. 2014).

Switching from one system to another political system has impacted to a large extent has influenced the personal ethics of the citizens of the country. Therefore, the desire for the illicit profitability of the property is not incidental, it is the result of the slow action of the law, the act of delayed justice or the law does not act at all (Gjinovci A., 2015). But why should corruption be present in transition countries that are already economically crushed?

In countries, transition societies face;

- Demands for liberalization of the economy.
- Great social transformations.
- Property transformations.
- Lack of laws.
- We are dealing with legal loopholes (issued with or without purpose).

Low salaries of state administration officials.

- Abuse of official position is already in the trend, but in almost all countries

Southeast Europe.

- Citizens' requirements to live better.
- Corruption now takes galopante proportions, and with the available mechanisms
- and the climate that is dominating the citizens is hard to curb (Fetahu D.2014).

## **2. Research Objectives**

This paper is based on the fulfillment of several objectives as follows:

- Information on nepotism and its impact on institutions, the country 's economy and wide;
- Information on corruption and its impact on institutions, the country's economy
- and more;
- Theoretical treatment of nepotism and corruption and their management.

## **3. Purpose of the study**

In this study, research into nepotism and corruption has been conducted and managed with this deviant phenomenon. This paper aims to fulfill the following goals:

- Assess the factors that have influenced the appearance and development of nepotism;
- Assess the factors that have influenced the occurrence and development of corruption;
- Analyze the influence of nepotism and corruption in the country's economy;
- The impact of nepotism on employment and advancement of relatives in important sectors

Of the country; impact of corruption and nepotism in justice institutions. The research results will be useful for researchers who will be concerned with analyzing the influential factors of nepotism and corruption.

## **4. Research questions**

The research questions underlying the study are:

1. What is the impact of nepotism on the country's economy and how to manage it?
2. What is the impact of corrosion on the country's economy and democracy and which management methods are more favorable?

## **Hypotheses**

The hypothesis of the study in this topic based on the research questions raised above

They are:

1. Nepotism and corruption are presented before 1999 and how to manage them;
2. Nepotism positively affects the country's economy;
3. Nepotism and corruption were introduced after 1999;
4. Nepotism and corruption have a negative effect on the economy and democratic institutions of the country.

## **5. Methodology**

Literature in the field of management and corruption and nepotism has been used for the preparation of this publication, with particular emphasis on the use of research in this area, as well as the use of the materialist collected from the documents as well as the results of the respondents who are involved in this research . Based on the specifics of this research, combined research methods, such as quantitative and qualitative research, have been used.

Sample selection is based on the following criteria:

- A) Explore literature and publications on nepotism in Kosovo,
- B) Investigate literature and publications on corruption in Kosovo.

Participants' data, reports and surveys have been analyzed in detail in order to create a clearer picture that is related to the research.

## **6. Research results**

### **6.1 Influence of nepotism in the country's institutions**

Nepotism is a common accusation in politics when a close relative of a powerful political figure rises in power without possessing relevant qualifications. Nepotism as a term implies giving special favors to grandchildren or relatives. But the phenomenon of political nepotism has taken root in the provincial and provincial mentality in society, not even

Is nothing less harmful than family nepotism. This kind of nepotism, where leaders have been and remain the main pillar around which myths and political programs have been built on the basis of nepotism and political ideology according to the regional and kinship affiliation of the leader. This type of nepotism is undoubtedly the essence of failure in many political subjects, which continue to be identified with the leader and party leader. Of course, politicians must give their votes and support in their own merits and experiences in political life, not political nepotism, because such a localist "criterion" and logic in politics is not practiced by any legal and democratic state in Democratized countries and especially in a part of the countries of Europe that have already experienced these problems. This phenomenon, apart from political thought, has been installed in the wider population as well. Thus, favoring relatives on the basis of family ties, which means more precisely, means nepotism, in one way or another in most cases enables the employment of relatives without merit and adequate qualification, with consequences for the institution and the society itself. Political and family influences influenced the employment of approaches, in different positions in public and state institutions, employment included all sectors of the country such as: employment in public administration, managerial staff in ministries, employment of relatives in departments, important sector of the country, employment in security organs, state agencies, public corporations, and in public media.

The state itself as a cause for corrupt practices:

The main contributor to corrupt practices may be the state itself, mainly when it does not pay its bills. For example, a recent check in Russia (the first of its kind in the last 20 years) showed that Primor'ts universities were raising money from students in the form of illegal payments such as library registration fees, or postponing students to pay Large sums in favor of "charitable funds". At the State Academy of Economics and Management in the Far East, each of the 4,500 students contributed \$ 200 a year to the charity fund; Payment for unspecified student needs this amount.

Represents the 5-month average income in Primor). Even those who have a free study pay this amount. Some universities ignore the benefits that Orphans and Corruption students need to take and their impact on Unemployment Growth 15. Gennady Turmov, Rector of Primary Technical University, said the government should blame for not financing colleges, forcing them to seek money elsewhere.

From the above, the causes of corruption can be grouped in institutional and social reasons. Among the institutional causes we can mention: broad authority and multiple powers, low accountability and lack of transparency, incentive policies that do not motivate (salaries, performance bonuses, job security and professionalism are at a low level, salaries and bonuses are not standardized).

In social causes we can mention: personal dedication, an unreliable government, inequality and discrimination, etc.

For countries that are going through the transition process, which normally involves our country, we can mention some specific causes of corruption as follows: appropriate conditions, risks of any kind (health insurance, accidents, unemployment, poverty) are high, risk distribution mechanisms are weak (insurances, underdeveloped labor market good). Not only is the lure stronger, but the possibilities are more numerous.

Monopoly benefits are too high, the economic bribery is too large because the amount of assets, once state owned, and marketed for privatization to give to the one who offers the most (under the hand) and the least legally. Corruption and its Impact on Growth 16. The discretionary power of many officials is huge, while the legal framework is often unclear, in frequent and continuous change and poorly dispersed through various publishing and information mechanisms.

Accountability is generally poor, political competition and limited civil liberties, laws and ethical principles are little developed and legal instances charged with ensuring their respect are not properly prepared for this complex task. Counterparts providing data on which law enforcement and law enforcement are based are often weak and unprofessional. A paradoxical

fact is the privatization process, as generally, although the privatization process, in the last analysis, reduces corruption by reducing state interventions in the economy, and in transition countries has been one of the main sources of corruption.

From a survey conducted in our country has resulted that the main factors influencing the spread of corruption are: low salaries 67.5%, rapid personal enrichment by people in power 49.0%, lack of strong administrative control 40.6%, combining official duties and personal interests 33.3%, legislation not perfect 28.8%, the moral crisis in the transition period 24.5%, problems inherited from the communist past 20.7%, inefficiency of the judicial system 19.5%, specific features of Albanian national culture 7.6% Source: Coruption Survey 2011.

### **When is nepotism introduced in Kosovo?**

Field research was done to identify nepotism; Manner and period of submission. Field research results show that only 40% of respondents agree that corruption has been present before 1990, though 60% of them do not know if there were corruption during those years. Though, 40% of respondents fully agree that nepotism has been present after the 1990s.

### **When did nepotism occur in Kosovo?**

Based on the findings of the field we conclude that nepotism before and after years has been very little present in local institutions. But there are field findings that show that 80% of respondents agree that nepotism has emerged after the deployment of the international administration in Kosovo (UNMIK). While 60% of respondents think that nepotism has come up after the declaration of independence

Table No. 1;

When did nepotism occur in Kosovo? Yes No I do not know!

Before the 90s, 40% / 60%

After the 90s 40% 20% 40%

After the war during the UNMIK administration 80% 20%

After Kosovo's declaration of independence 60% 20% 20%

Source; Author (2016).

Based on the research results, we conclude that nepotism has been introduced and developed over international administration and continued after the country's declaration of independence. But how does nepotism affect the country's economy?

The vast majority of respondents think that nepotism has a negative impact on the country's economy. As a phenomenon of nepotism is affecting the employment of non-professionals, this is negatively affecting the economy, the country's politics. Since there are jobs under political influence, this is affecting poor diplomatic representations.

Table 2:

How does nepotism affect the country's economy? Yes No I do not know!

Nepotism positively affects the country's economy? 20% 80% /

Nepotism is affecting hiring non-professionals? 100% / /

Employment in Kosovo is difficult without external support / politics? 60% / 40%

Nepotism has affected to have weak diplomatic representations? 100% / /

Nepotism is affecting the employment / advancement of relatives in the important sector of the country? 80% / 20%

Source; Author (2016).

Research results show that nepotism is affecting employment and advancing relatives in the important sector of the country, creating unprofessional and inadequate staff in the choice of the country's economic, political and social problems. This

has led to a relative economic development that is not reaching young people's employment so earnestly. Insufficient economic growth is affecting the growth in demand for better life in Western European countries. This massive migration of the young population to the EU countries has created the impression that the country is being created in a workforce producer for EU countries with long-term consequences for families and the country's economy. As most of the people who seek economic asylum with EU countries lack the particular education / specialization that will help you find decent work places.

## 6.2 The results of corruption impact research

But what motivates officials to corruption, violation, and violation of the code of ethics by encouraging them to enter the sphere of corruption?

It is thought that there are many factors that influence access to the world of corruption. But what motivates them towards entering the sphere of corruption is; The desire to enrich as swiftly as possible; For the illicit profitability of the property which is seen as an easy enrichment form; The benefit of any personal, family, or privilege interest, the enjoyment of any right or advancement at high levels of the hierarchy, etc.

### When did corruption occur in Kosovo?

Field research shows that all respondents think that corruption in Kosovo was postponed after the deployment of the international administration in Kosovo (UNMIK, 1999), and this opinion is shared by 100% of respondents. While 80% of respondents think that after the announcement That corruption is exposed to independence, while 100% of respondents think that the deployment of EULEX has no influence on reducing corruption.

Table 2;

When did corruption occur in Kosovo? Yes No I do not know!

After the deployment of UNMIK 100% / /

After Kosovo's declaration of independence 80% / 20%

After the deployment of EULEX Kosovo 100% / /

Source; Author (2016).

What is the impact of corruption on the country's economy?

Much of the respondents think that corruption has a negative impact on the country's economy, while 20% think that corruption has a positive impact on the country's economy. Indeed, the vast majority of respondents think that corruption is a leap for democratic institutions themselves. As a phenomenon, corruption curbs economic development, undermining the country's development processes. Corruption is affecting increased uncertainty, with negative impact on justice institutions.

Table no. 4;

How does corruption affect the country's economy? Yes No I do not know!

Corruption positively affects the country's economy? 20% 80% /

Corruption is a threat to democratic institutions? 100% / /

Corruption curbs and undermines economic development? 100% / /

Corruption is affecting the loss of local and foreign investors? 80% / 20%

Corruption is affecting increasing uncertainty? 80% / 20%

Corruption and nepotism have a negative impact on justice institutions? 100% / /

Source; Author (2016).

## Conclusions

Based on research, we understand that nepotism and corruption as a phenomenon has been present even before the 1990s, thus finding the country's monistic governance, but nepotism was more limited. But as a growing phenomenon, according to field research results, nepotism developed and increased especially after the 1999s, during the governance of the international administration (UNMIK). After declaring the independence of the country, no positive result was achieved in avoiding nepotism, although according to the results of the research it has been less present.

Problems that relate to nepotism are numerous;

- Nepotism is having a negative impact on the country's economy;
- Nepotism is affecting the employment of non-professionals, with implications for democratic institutions;
- Employment in Kosovo is difficult without support from politics;
- Nepotism has affected poor political, diplomatic representation;
- Nepotism is affecting employment and advancing relatives in the important sector of the country.

So the main concern for nepotism is that it opposes employee hiring and promoting the most qualified candidates for a job. While in the market we can encounter other candidates who can have high education, work experience. While, we are determined to hire a relative who does not possess the right qualities, and this can give the impression of a classic and detrimental nepotism.

Corruption poses a permanent threat to both the economic system and the country's legal system. Corruption is one of the greatest challenges of our time. It is a challenge that needs and can be met, but which requires engagement of ethical human resources that are scarce in southeastern Europe.

The research results show that:

- Corruption as a phenomenon has emerged after the deployment of the international administration;
- After the declaration of independence of the country, no major effort has been made in combating corruption;
- Also, the international mission EULEX, in spite of exclusive competencies, has not even made the least effort to fight corruption in the country.

Field results show that corruption is part of phenomena that are difficult to define, because its meaning varies depending on the time and the social and political context.

However, according to the findings:

- Corruption is adversely affecting the country's economy;
- It is a threat to democratic institutions;
- Corruption is increasingly inhibiting economic development;
- Corruption is affecting the loss of domestic and foreign investors;
- Corruption is affecting economic, political and social insecurity;
- Corruption and nepotism have a negative impact on justice institutions.

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## **Critical Reflections Concerning the Concept of Participation in Social Intervention and Research**

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### **Abstract**

In processes oriented towards social change and transformation, the specification of different concepts and levels of participation is an important intellectual and epistemic challenge. Critical questioning of participation in social intervention and research is fundamental for structuring a common understanding and a grammar for intervention, which supports, in theory, the construction of a type of architecture of participation, that is, a conceptual network that sets the parameters for the evaluation of participation. The concept of participation, used so frequently in a populist way, can adapt as easily to objectives of regulation, as to social transformation, and can be subordinate to such divergent paradigms of social intervention such as task-centered interventions, the building of opportunities for development and the processes which aim to improve personal and social decision-making. One of the major goals of participation is to increase the power of individuals and collective decision-making. Beyond this individual and micro-level dimension, it reveals processes of co-construction of social alternatives and structures of opportunity on the meso level (the community) and the macro level (the political instance). Thus, participation in the present day constitutes a strategic axis for social intervention and research. It is necessary to reflect about it. How to operationalize participation? How important is the way it tackles and develops participation in research and transformative social intervention?

**Keywords:** participation, research, social intervention, social transformation

### **1. Introduction**

The changes and transformations, which have taken place in economic, political and social affairs in recent decades have provided evidence of the necessary (re)configuration of society and the theme of participation assumes a strategic position for understanding the social process and answers needed to build or to activate.

As Dalrymple and Bolyan say "Participation is an active and dynamic concept, which draws attention to the social processes that social workers need to understand and respond to – such as upholding service users' and carers' rights, promoting the involvement/inclusion and challenging exclusion and marginalization" (2013, pp.90-91).

In processes focused on change and social transformation the specification of various concepts and levels of participation constitutes an important intellectual and epistemic challenge. It is fundamental that a common understanding be structured; namely, a type of grammar for intervention, which supports, in theory, the construction of a type of architecture of participation (Almeida & Serra, 2016), that is, a conceptual network that sets the parameters for its evaluation.

In this process, the first issue to be raised is that of understanding the terminology used. We can use the same language but do the concepts have the same meaning for all of us? Are they being used as synonyms? What differentiates them?

The present article produces a theoretical exploration of different levels of conceptual understanding and offers for debate some arguments that demonstrate its polysemy by opening a place for the analysis of different meanings for participation in action and social research.

## **2. Conceptual polysemy: systematising diverse approaches to participation**

The revision of literature allows us to identify different understandings of participation, such as: a process integrated in daily life (Hart, 1992), an unfinished process and an achievement (Demo, 1993), a conscious and informed action for the affirmation of individual and collective identity (Vieira, 2015). However, as Gohn refers (2003), participation is subject to interpretations, meanings and differentiated strategies according to the adopted analytical paradigms.

To facilitate the comprehension of the complexity of such analysis, we underline four approaches in the process of the concept consolidation of participation: The liberal and democratic conception, participation as a political act, the approach of objective-centered participation and participation as a strategic paradigm in public management and in social intervention.

### **2.1 The liberal and democratic conception of participation**

Although it implies polycentric definitions, it is important to understand participation in its diverse dimensions, that is, the liberal conception and the democratic conception. According to the liberal conception, the concept can be understood along two distinct lines:

- corporative participation, which has the common good as the core of individuals, which presupposes that the motivation to participate is an external force beyond the personal interest of someone;
- community participation, which is characterized as an institutionalized form in which organized groups must participate within the apparatus of state power, where the public and the private spheres overlap.

According to Gohn (2013), the objective of participation in the liberal paradigm is the strengthening of civil society, as a way to prevent interference from the State; namely, any control, tyranny or meddling in individual lives. Carlos (2007) considers that this is an instrumental conception of participation and a strategy for the reduction of costs, through the actions of civil associations considered more efficient than the State in terms of certain actions given their proximity to the target-groups of public policy.

The democratic conception of participation can be understood from two perspectives:

- The revolutionary, which is structured in collectives organized to oppose the relationships of domination in favor of the division of political power. The party system is a fundamental actor and upholds the replacement of representative democracy with another system, i.e. participatory democracy.
- The radical democracy, which aims to strengthen civil society for the building of paths which - from a discursive point of view - open toward a more egalitarian social reality. This conception is pluralistic. It relies on multiple agents to organize social participation and it articulates with the expansion of citizenship and the collective construction of political processes. The participatory budget and the different forums of popular participation are examples presented by the author of this typology.

In the minds of the people the democratic paradigm occupies a place, as the regulating principle of democracy by envisaging participation, as a phenomenon, which is developed in terms of both civil society and in the field of formal political institutions. Through the electoral process, the supreme criteria for the organization of individuals is centralized in the representative system and, as such, it is subject to certain existing defects in the liberal conception (such as favoritism) and/or the intended form of participation (co-option).

### **2.2 Participation as a political act**

Dallari (1994) discusses the theme of political participation beyond electoral participation (be it as a voter, a candidate or a card-carrying member of the party). To participate is to also appear at party meetings, conventions or outreach groups, to become a member of cultural, recreational, and religious associations or to even to join in protests or marches, amongst other actions (Teixeira, 2001). The author adds that like social participation, political participation is a necessity of human nature and can be achieved within a strictly individual or collective identity (through integration into any type of social group) and in either a casual or organized way (with a view toward awareness) - with the latter being more efficient.

In a complementary way, Gohn (2003, p. 25) reflects that political participation is usually viewed, as a process related to the number and intensity of individuals involved in decision-making by directly articulating with the topic of democracy in its direct and indirect forms (representative). The same author points out that political participation in public policies arises from the idea of community participation, that is, it is restricted to the incorporation of individuals working in assistance programs in the communities organized by authorities or missionary groups. Popular participation, which is defined as the participation of individuals in the processes of devising strategies and decision-making, only became a trend in the 1980s (depending on the contexts) and it was associated with popular movements – acting together with other types of participation, such as that of religious communities, unions and neighborhood associations, among others.

In these terms, the notion of popular participation is associated with a more demanding character being a feature of how social movements act by focusing on the response to social needs and the carrying out of protests including a combative position in terms of the State (Teixeira, 2001). However, in this context popular participation is defined by the organization of the people (excluding the circles of dominant power) to increase social control over resources and over the apparatus of the State, as well as its democratization. In light of this participatory process the political scenario of a country undergoes or may undergo change (Gohn, 2003; Paoli & Telles, 2000).

### **2.3 The approach of objective-centered participation**

Demo (2001) points to the methodological sense/meaning of participation, as a means and as an end. Amongst the objective of participation, the author highlights: • To seek out self-promotion, that is, to centre on personal interests with the objective of succeeding; • To implement citizenship, as implied in the reduction of injustices, the creation of strategies to react and the struggle for change; • To promote the exercise of democracy; • To control power not only via institutional means such as laws and decrees but also via control of the base; • To control bureaucracy by demanding patterns of effectiveness and efficiency in the public sphere; • To negotiate conflicts and disagreements; • To create a democratic culture expressed by participatory and transparent processes.

Bordenave (1985) brings up some other interesting discussion points for the overall understanding of the term. The author refers to participation, as something inherent to the social nature of man, that is, as a human necessity, which finds expression in the collective, through an affective base (integration) and an instrumental base (effectiveness and efficiency of actions). Reflecting on the origin of speech the author reiterates the perspective of Ammann (1978) and signals that what is truly crucial in participation is not how much one takes part but rather how one takes part. Thus, distinguishing between the processes of micro participation (personal and immediate interests) and macro participation (intervention at the core of social, political, and economic structures). Macro participation corresponds to social participation, which in the words of the author is inherent to the process, through which diverse social levels take part in the production, the management and the use of the goods of a historically determined society (Bordenave, 1985, p. 25). In this way, the author is highlighting the fallacy of political participation without a corresponding equity-based social participation.

### **2.4 Participation as a strategic paradigm in public management and in social intervention**

In the 1990s, a new paradigm for public management appeared.

“Participation and related themes of choice, control, empowerment, personalization, partnership, and co-production have become central concepts in modern social policy” (Dickens, 2016, p. 107).

Popular participation and community participation have yielded their places to two new designations - social participation and citizen participation, respectively (Teixeira, 2001). For the author citizen participation originates in a complex and contradictory relationship involving civil society, the State and the market being one in which their roles are redefined via a civil society strengthened by the assumption of specific political duties and responsibilities, on the one hand, and the creation and exercise of rights with impact, as well on the social control of the State and the market, on the other. Citizen participation considers two contradictory elements: on the one hand, it expresses how the actors are “taking part” in the socio-political process, thus favoring their interests, identities and personal values and, on the other hand, in the civic sense it emphasizes the dimensions of universality, generality, the equality of rights, responsibilities and duties. (Teixeira, 2001, p. 32).

As Nogueira (2005, p. 142) also adds, citizen participation has several focus points for action, which extend from the State to the market and to civil society, from the specific to the general and from ethics to individual interest. Practices, which involve citizen participation, strive to bring the decision-making sphere back to the local level, as they were conceived, as

a form of periodic and planned social intervention, which encompasses the entire process of formulation and implementation of public policies. Institutionalization takes place, when beginning with structures created in the public system, which consist of representatives elected directly by society from which they come (Gohn, 2003). This author goes on to state that the actors involved in this process add a new dimension to the empowerment of groups and individuals via political and organizational skills training. As for the conception of social participation, it constitutes the target for the redefinition of social mobilization and the redefinition of the character of militancy in the diverse forms of participation that exist. The gathering of people for the sake of protests and demonstrations has become to be understood as energy to be channeled to reach common goals.

According to Gohn (2003, p. 59) the political content has been totally and completely drained from mobilization and its transfiguration into a process to achieve results. For Dagnino (2004) this new conceptual approach stems from the devaluation of social movements and from the accelerated growth of non-governmental organizations with an emphasis on the emergence of the Tertiary Sector, which has taken on a new role in the context of social reality. As the author remarks, the social participation envisioned for contemporary politics implies a change in trends for three notions that are quite dear to the process of democratic construction – civil society, participation, and citizenship – as a consequence of the political-cultural dispute between two distinct projects. The first is the process of expanding democracy, as expressed in the creation of public spaces and in greater participation in civil society in terms of discussing and decision-making for public management, and second is the implementation of neo-liberal adjustment, which progressively relieves the State of its role of guaranteeing rights by transferring its social responsibilities over to civil society. The term civil society is increasingly being narrowed down to apply only to non-governmental organizations, if not just a mere synonym for the Tertiary Sector. Such a condition generates an erroneous conception of representation/representativeness, as one reduced to social visibility (the space occupied in various types of media). The neo-liberal redefinitions of citizenship diminish its collective meaning to a strictly individualistic understanding in addition to establishing a seductive connection between citizenship and the market. In other words, becoming a citizen has now come to signify the individual integration of a person into the market, as a consumer and producer.

This meaning of citizenship depoliticizes the dimension of universal rights and the political debate on the causes of poverty and inequality. With this in mind, citizenship is identified (and diminished) with solidarity and the moral responsibility of society, which is then called upon to connect with volunteer and philanthropic work. In turn, participation linked to these processes is redefined as:

- Solidarity participation with an emphasis on volunteer work and social responsibility for both individuals and businesses. Participation, therefore, is divested of its political and collective character by making civil society responsible for the resolution of social problems, which contrasts with the decidedly political and emancipating content of participation marked by the effective sharing of power between the State and society by means of deliberation inside new public spaces.

### **3. Graduated scales and levels of participation**

Participation is a new strategic axis in current social intervention - a "quasi fashion", which is present in all approaches and models of social intervention in contemporary societies. Also in the field of social research; namely, in action-research the conceptions of participation and collaboration are frequently associated (Carr & Kemmis, 1988; Silva & Carvalho, 2016; Edwards-Groves, Olin & Kalberg-Granlund, 2016).

Thus, in the operational domain of the participative methodologies there emerge different but linked concepts such as collaboration, cooperation, agreement and partnership. All of them are based on logics of participation adapted to both regulatory objectives and social transformation that are subordinate to divergent paradigms of social intervention.

Participation takes on various meanings, senses, and connotations on an ascending graduated scale from manipulation to self-management depending upon its insertion into the procedures and practices of social and economic actors (Teodósio, 2004). This may imply advances, setbacks or biases contingent upon the political, ideological, social, economic and cultural angle of the analysis.

Although participation constitutes a decisive factor in the democratization of relationships between the State and society, the guarantee of a more consistent action by the multiple social actors, nevertheless, remains an ambiguous and contradictory process. Participation possesses a discursive and pragmatic dimension within the scope of different intervening factors in different contexts, thus demonstrating socio-political conceptions that imply differentiated senses.

Civic, political and social rights (Carlos, 2007) are not gifts; they are rights. Note that the rights of the citizen are the rights to participate in the government of the city (Marshall, 1950). Thus citizenship acquires a status affiliated with the condition of full membership in a community and whoever possesses it enjoys equality with respect to the associated rights and duties (civil, political and social rights). It is for this reason that one speaks of citizen rights.

Reiterating the contributions of Dalrymple and Boylan (2013, p. 91) and citing Kirby et al. (2003, p. 5), “we used the term participation not only to mean “to take part” or “to be present at” but also to influence decisions and action. We also use the terms “involve” (passive verb) and participate (active verb) as synonyms.”

With the expansion of political democracy and the progressive emergence of economic, social and cultural rights, “the image of the citizen changed and social citizenship was added on to political citizenship” (Madiot, 1995, p.14). The term social citizenship offers the possibility of being active in the production of norms of society and the potential to occupy a “durable social position” (Soulet, 1995, p. 129), which is free from any itinerary of insertion promoted by instances external to the subject. Although social citizenship does not have clearly established legal grounds, it goes beyond political citizenship and encompasses it. Solidarity and the guarantee of protection for those excluded are the pillars of its articulation.

As Ferreira and Almeida point out “the use of methodologies of participation plays an important role in the process of diagnosis, planning, action and evaluation of public policy and social intervention. Therefore, participation is not a passive variable; it interferes with the results in a positive or negative way, in a visible or invisible way. Integrating citizens’ participation into the political process is a requisite, which decision-makers and professions cannot neglect” (2016, p. 8). On the organizational and social policy level participation is integrated in differentiated processes such as collaboration, consultation, partnership, cooperation, sharing, coordination, negotiation, networking and mediation. Here we are faced simultaneously with polarizing and differentiating definitions in terms of the sense and meaning assigned. Following a chronological order we can identify different graduated scales of participation that are presented in the article “The architecture of participation in transformative Social intervention processes” (Almeida & Serra, 2016, pp. 120-121).

We reiterate here some of the more recent scales proposed by Jules Pretty (1995), Probst, Hagmann, Becker and Fernandez (2000) and Sherry Arnstein (2002).

Jules Pretty (1995) proposes a typology of participation that has been worked on in more recent works (Pretty & Hine, 1999; Probst, Hagmann, Becker & Fernandez, 2000; Cornwall, 2008) and that, while decreasing that scale or levels of participation, upholds evidence of a gradual and a conceptual differentiation scale, which is sistematized in Table 1.

**Table 1 – Participation according to the typology of Pretty (1995)**

Manipulative participation	Participation is only a pretension with representatives “of the people” on official boards but who are not elected and have no power.
Passive participation	People are informed about what is going to happen or has happened. It is a unilateral announcement by the administration or management of the project without any hearing of the responses of the people.
Participation for information sharing	The shared information belongs only to external professionals. People participate by answering questions posed by external researchers using surveys or similar approaches. People do not have the opportunity to influence processes nor are the search results shared nor verified, as to their accuracy.
Participation by query	The people participate by being questioned and the external agents hear opinions. These external agents define the problems and solutions and can modify them in the light of the responses of the people. Such a consultative process does not grant any participation in decision-making and the professionals are not obliged to take on the views of the people.
Participation by material benefits	People participate by providing features such as work in exchange for food, money or other incentives. Much of agricultural research falls into this category, as the farmers provide the fields but are not involved in experimenting or in the learning process. It is very common to see this type of participation, where people have no interest in prolonging the activities, when the incentives end.
Functional participation	People participate in forming groups to meet predetermined objectives related to the project, which may involve the development or promotion of a social organization initiated externally. This participation does not tend to be in the early stages of project planning or cycles but after the major decisions have already been taken. These institutions tend to be dependent on external facilitators and initiators but they can become self-sufficient.

Interactive Participation	People participate in joint analyses, which leads to action plans and the formation of new local institutions or the strengthening of existing ones. It tends to involve interdisciplinary methodologies seeking multiple goals and makes use of systematic and structured learning processes. These groups take on the ownership control of local decisions, so people have a stake in maintaining the structures or practices.
Self-mobilization	People participate in taking initiatives to change systems independently of external institutions. This self-initiated mobilization and collective action may or may not challenge the existing unequal distribution of wealth and power.

Source: Synthesis drawn from the work of Pretty, J. (1995) Participatory learning for sustainable agriculture, World Development, 23 (8), 1252

Probst, Hagmann, Becker and Fernandez (2000) established a typology that describes only four modes by establishing a scale that progresses all the power that lies with a single actor to a distribution of power over all the participating parts concerned:

- **Contractual Participation:** A social actor has decision-making power on most of the decisions taken in innovation processes and can be considered the "owner" of the process. Others participate in activities defined by this group of interested parties, that is, those who are (formally or informally) "hired" to provide services and support.
- **Advisory Participation:** Most of the key-decisions are held within a group of interested parties but the emphasis is placed on consultation and gathering information with others, especially for the identification of constraints and opportunities, priority setting and/or assessment.
- **Collaborative Participation:** Different actors collaborate and are placed on equal footing, thus, emphasizing the connection through an exchange of knowledge, different contributions and a sharing of the power of the innovation process.
- **Partnership Participation:** Different actors work together, as colleagues or partners. "Ownership" and responsibility are distributed equally between the partners and decisions are made by agreement or consensus among all stakeholders.

Sherry Arnstein (2002) - author of the article A Ladder of Citizen Participation published in 1969 in the Journal of the American Planning Association - is a reference in the scientific community about the construction of evaluative scales of participation. This author defines a range of participation consisting of eight levels, which correspond to the magnitude of power and decision-making. At the lowest level is the degree of manipulation and therapy (almost non-participation) and this is followed by other levels, where there is a minimal distribution of power (respectively, information, consultation and peace-making) and, finally, the last three levels, which represent the level of power associated with the status of citizenship (partnership, delegation of power and, finally, control by the citizen). Racism, paternalism and resistance to sharing power constitute obstacles that were not considered in the structuring of the scale.

The identified scales present diverse levels of participation. However, although using similar or equal designations, they do not always correspond among the various authors. Nevertheless, they introduce an analytical architecture with interesting contributions for an understanding of the conceptual, ideological and, necessarily, ethical complexity that underlies the use of the term "participation" in the participatory methodologies of action and social research.

It is important to point out that the analysis of participation, as analytical paradigms and typologies, contributes to its conceptualization, although all classifications present limitations, since models do not exist as unique doctrines. They have always contextual limitations in time and space and the economic, social and political dimensions influence one another. As Carlos (2007) warns such typologies are combined and coexist in different ways - more or less intensely - depending on the situation and the actors involved.

#### 4. Critical reading about the potentials and limits of participative methodologies

The specialized literature in the field of participative methodologies in action and social research refers to participation, as a fundamental dimension of social action. Indeed, there are various perspectives - political, cultural, scientific, social - that assume participation, as a leitmotiv associated with civic participation, cultural and scientific production, social implication and regulation, citizenship, emancipation and transformation.

Furthermore, there are a diversity of methodologies and techniques for the promotion of the participation of people, groups and communities in the production of information, social diagnosis and in the co-construction of knowledge. The participative methodologies find themselves associated with the all-inclusive and socio-critical paradigm of the construction

of knowledge, valuing meanings and representations attributed by people in their daily life. From among the diversity of procedures and techniques used one can highlight: brainstorming, design thinking, photovoice, Delphi Inquiry, focus group, communities of practice, storyboard, World Cafe (cf. Ferreira & Almeida, 2016).

Each one of these methodologies has inherent objectives, scopes and various limitations with respect to its implementation and complexity in the promotion of participation. Also the articulation between knowledge of proximity and analytical distancing are aspects to take into account during controversial times particularly at the level of research and in debates about the influence of interaction in the production of evidence.

The theoretical revision and completed analysis permit configuration of a puzzle of multiple senses about the meanings of and approaches to participation. The conceptual and paradigmatic typology recuperated tries out an architecture of participation, whose objective is to organize a common understanding about levels of participation, which are necessarily associated with political, cultural, social, economic dimensions, amongst others.

This systematization allows for the analysis of diverse nuances of participation and consideration of ethical models and levels of recognition (Edwards-Groves, Olin & Kalrberg-Granlund, 2016) associated with the participants in the social action and research: demanded, fake, permitted, desired, citizen participation.

Also standing out is the importance of being aware of the potentials and limits of participation integrated in diverse contexts (individual, social, cultural, political, etc) not forgetting the ethical questions at times subsumed in a praxis of control, regulation or self-determination. Thus, the conceptual architecture modelled here draws attention to the conceptual deconstruction-configuration and ethical challenges, which are at times made invisible in the conceptual polissemly of the participation and in the methodologies designated as participatory.

Finally, it is important, to underline the potentials of participatory methodologies in the development of the processes of construction of change and social transformation at the micro, meso and macro social levels, as well as in the construction and democratization of knowledge, particularly when making sure of the interactive participation, mobilizing of recognition and the self-determination of the various interveners.

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## Business Strategies Based on Large Sets of Data and Interaction: Business Intelligence

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### Abstract.

The dominant perspective in Business Intelligence (BI) projects and applications has been the technological conception, usually focused on the technical-instrumental nature of computing. This conception has avoided the change in the paradigm from a business model based on the use of tangible resources in favour of one based on the exploitation of intangible resources (data, interaction, networks, etc.). This would explain why applied BI projects, remain anchored in the old organization and operational patterns of traditional businesses in most companies. The technological perception of BI gives continuity to the stovepipe activity of companies, both in their management and in their organizational structures, where the impact of interaction as a generator of business opportunities is very limited, and often non-existent; and the effect of large volumes of data as a value generator is reduced to an operational and technical problem. Hence, the importance of considering BI as a new business philosophy that entails new forms of business organization and a new way of management based on the interaction and analysis of large volumes of internally generated data. Our interest is not only to emphasize the nature of the new business philosophy in the application of BI, but to carry out a discussion about the organizational and operational structure of businesses -according to a conception based on interaction and data as generators of business value-, and about actionable intelligence.

**Keywords:** business philosophy, paradigm, intelligence, stovepipe organization, business opportunities, business value.

**JEL classification:** G14, J24, M20, M21, M54,

### 1. Introduction

During the last decades it has become evident that the way the value of a business is measured has changed completely. Traditionally, this valuation has been associated with the tangible assets of the companies, although today this is not exactly like this. Increasingly, a company's value is measured on the basis of intangible assets whose objective values such as customer satisfaction, process quality, brand image, the company's intellectual capital, the interaction between their workers, the large volume of data they have, etc. are not easy to assess.

In this context, this study advances in the elucidation of whether the valid conception of Business Intelligence (BI) is a set of technological tools external to the dynamics of the company and that adapts to the circumstances that the company lives or, on the contrary a new model of configuration of the company based on organizational, managerial and actionable intelligence, in which technology plays the role of connector, support and motorway, through which information and transferred knowledge flows.

In addition, in a world where companies change rapidly and business processes become increasingly complex and difficult for executives to interpret, for getting a global understanding of the business environment in which they operate, we propose an organizational structure that responds to the new parameters of actionable intelligence, related to the generalized use

of intangible resources, the configuration of the communication network as information channels, and the use of the company's collective intelligence.

This research was motivated by the search for answers to questions related to the change in the business paradigm in which BI systems play a decisive role in the organization, operation and evaluation of the company's activity. The rest of this document is organized as follows. Section 2 addresses the problem of a BI conception in an intangible resource environment. Section 3 analyzes the history and background of business logic in relation to the exploitation of intangible resources. Section 4 presents an approach to the nature of the new business philosophy in the BI environment as a new basis for its organization and operation. In Section 5 we present and discuss the new organizational architecture that responds to the parameters of BI and the exploitation of collective intelligence. In Section 6 we conduct a brief discussion on the future of BI in which we emphasize the new challenges faced by companies in the 21st century, and propose some future lines of research. Finally, we present the conclusions.

## 2. Problem Statement

Today, both entrepreneurs and their executives have the task of overcoming new challenges. Therefore, they must carry out strategies in line with the changing circumstances that characterize their environment, their resources and capabilities, their internal and external expectations about the organization, and the logic underlying their behavior, usually conflicting with each other. However, the relevant question remains: whether the current business model can respond to the changes brought about by the knowledge and the digital economy.

In this context, the emergence of technological innovation, as a factor of change in the fundamentals of how to create value, has given rise to the predominance of a technological conception of BI projects and applications. This view, that is usually centered on the techno-instrumental nature of technology, has sidestepped the change from the business paradigm based on the use of tangible resources in favor of a business model based on the exploitation of intangible resources (data, interaction, networks, etc.). Additionally, it assumes that technology itself can determine economic and business performance in terms of growth or employment, under the argument that its use will shape the evolution of business architecture.

The effects of this way of understanding business become evident in the limitations in the depth of the companies' processes of change, which are still anchored in the old business organizational and operational ways. Companies continue to fill in their annual reports with information on how they use tangible capital and how they control their workers, but they do not reflect the use they make of their increasingly "knowledge-intensive" employees, that drive the creation of wealth in the current digital economy (Passlick, et. al., 2017; Von Bergen, et. al., 2015; Satiko, et. al., 2015; Khan, 2012).

Moreover, this technological perception of BI has given continuity to business activity by stovepipe segments, both in its management and in its organizational structure, in which the impact of **interaction** as a generator of business opportunities has been limited, and often non-existent. Similarly, the effect of using **large volumes of data** as a value generator has been reduced to an operational and technical problem.

These facts raise the need to decipher the nature of BI to make it possible to identify and make explicit the new business philosophy implicit in it, the new business architecture that it suggests and the new management methods which are focused on the interaction and the analytics of large volumes of internally generated data, in addition to the ability to align them with the company's business strategy, goals and targets.

## 3. History and Background of Business Logic and Intangible Resources

At the beginning of the 2008 crisis we were faced with a picture characterized by the absolute control of short-term strategies, the exclusive use of financial indicators as a criterion for measuring business success and the excessive weight of investors as the dominant group at the expense of customers, employees and society as a whole.

Added to this is the steady increase in the value of the intangible assets and resources in the last three decades. In fact, intangible assets have been behind some of the biggest initial public offerings (IPOs) and the exponential increase in the stock market prices of certain companies over the last few years. Let us think, for example, of Facebook, Uber, or Twitter. None of these companies have tangible assets to back them up beyond a few offices and their information systems. None of these assets reflect a sufficient justification for the value of their stock market prices, according to traditional measurement criteria.

In this environment, the standard microeconomic theory still continues to describe firms as predefined sets of linear relationships, whose operation can be understood as the meticulous assembly of all the pieces of something more complex. According to this theory, the behavior of the productive system can be deduced from a simple aggregation of its tangible components (fixed and/or variable capital and number of hours worked or number of workers). So the system of production will be formally defined by a function showing the relationships between tangible resources, to obtain a product:

$$Q = f(K, L)$$

where "K" represents the fixed and/or variable capital and "L" the labour used according to previously defined technical coefficients.

This conception of the company has perpetuated the competencies associated with fixed and financial capital throughout the 20<sup>th</sup> century and part of the 21<sup>st</sup> century. In fact, it has limited the space of competitiveness, almost exclusively, to the impact of financial variables, thus neglecting the role of other less measurable variables such as intangible assets.

In addition, the new economy, built on the knowledge and digitization of business activities and relations, empowers companies to collect distinctive competencies in certain types of intangible assets, that are totally different to tangible capital or to financial capital, factors that had a key role in industrial capitalism. The intangible-assets-based company refers precisely to the growing volume of investment in intangible assets, -which are often not even included in the corporate balance sheet- such as quality, collective intelligence, brand, reputation, managerial skills, organizational skills, innovative and technological skills, human capital, knowledge of markets, customers and competitors, etc.

Formally speaking, the production model in this environment would be defined by a function whose arguments include the interactive relationships between the different intangible resources and their effect on production.

$$Q = f(I, GCD, R, \dots)$$

where "I" measures the effects of interaction, "GCD" reflects the effect of the exploitation of large data sets, "R" registers the reputation achieved by the firm, etc.

This process of change in the relations of production has been made possible by the current digitization process of economies, characterized by the increasing empowerment of public opinion, customers, qualified employees, regulators, shareholders, suppliers, etc. A process of change that has substantially changed the way companies and entities are organized, moving from an asymmetric relationship favourable exclusively to the decisions of senior executives, to another in which relations of interaction and dialogue at the same level predominate (collective intelligence), both in their operations and in the decentralization of decision-making.

Intangible assets, while difficult to isolate and measure, create value and improve the competitive position of the company and its economic results. Intangible assets represent an increasing proportion of corporate value, as financial results and profitability increasingly respond to the interaction and management of ideas, information, knowledge and services, rather than to the control of tangible resources.

According to the latest Global 500 annual reports, the generation of value of the North American companies settled in the United States has been reversed from a ratio of 70%-30% between the value of tangible and intangible assets from 1929 to 1999, to a ratio of 30%-70% in favor of business intangibles. For example, IBM's brand value represents 83% of the total value of the company, Coca-Cola reaches 96% and Kellogg's 97%; and in the internet and telephone companies that proportion exceeds 90%. (Alloza, 2016; Brand Finance Global 500, 2016-17).

The catalyst for the development of this new business model –BI- has been the breakup of disruptive innovation -a term created by Christensen from the Harvard Business School-, which impacts business and/or productive activity, causing drastic changes in the organizational logic and the operating dynamics of companies, motivating in many cases a change in the line of business of the company. These changes allow us to understand the nature and features of nesting the new model of business-intelligent enterprise inside the industry and the knowledge economy.

#### 4. Nature of the New Business Philosophy in the Business Intelligence Environment

The company and the market, as the scenario where it operates freely, are facing today a series of challenges and pressures that are reshaping the very nature of the corporate objectives, the organizational functions and responsibilities, the role of physical and virtual markets, the way of doing business, etc. Changes in this environment have been generated by powerful latent forces of very different nature, causing changes in the characteristics of the labour market and the business paradigm, under the umbrella of a series of technological, economic and social vectors; challenges that companies in the 21st century have to face and which are significantly different from the traditional problems encountered over the past century.

The implementation of intelligent business systems, in increasingly digitized economic environments, requires a model and a technology that facilitates permeability, intelligent interactivity, evaluation, diagnosis, and that determines the right level of intelligence<sup>1</sup> for the company. The aim is to improve the decentralized decision-making system based on intangible resources and to gain competitive advantage through the intelligent management of knowledge.

BI is a new business organization system that makes use of analytical and visual technology to facilitate analytical, graphical or actionable intelligence. In other words, it is a conception that, in the first place, explains the characteristics of the new business model and, in addition, shows the advantages of using new technologies to deliver information and/or knowledge, to facilitate reporting and consultation, and to improve decision making (Azevedo & Santos, 2009, Turban et. al., 2008, Clark et. al., 2007, Michalewicz et. al., 2007, Negash, 2004, Raisinghani, 2004, Moss & Shaku, 2003, Kudyba & Hoptroff, 2001 and Thierauf, 2001). In short, they are the two sides of the same coin, in the sense that technological innovation is inseparable from organizational innovation.

Generally, the definition of BI not only makes use of different terms, but also the content of the concept varies, depending on the "theoretical" emphasis or preferences of scholars or professionals in the business world. In essence, and despite the advances in business theory, BI is still considered as an external analytical "tool" and an automatic support for decision making regarding business conditions, sales and customer demand, among many other conditions (Kahraman, et. al., 2011, Ghazanfari et. al., 2011, Berson & Smith, 1997).

This vision emphasizes the technological characteristics that accompany BI projects, although with nuances. Nuances all of them aimed at broadening the range of implementation of the intelligent technological tools (Bose, 2009; Elbashir, 2008; Power, 2008; Ranjan, 2008; Watson & Wiixom, 2007; Wu 2007; Ekeerson 2005; Maria, 2005).

In essence, the perception of BI as a set of external support tools is one of the key factors that gives continuity to the traditional organizational architecture of the company and perpetuates traditional business management ways, an issue that we will address in the following Section.

In this environment, the dominant practice has been the use of the term "adaptation" as a "mechanism" for adjusting the technological tools associated with BI to the traditional organizational forms of today's business activities. In this case, the evidence shows that less than 30% of the implemented BI projects have been able to meet the expected benefits of the companies, even though these projects have had almost two decades to be implemented (Von Bergen, et. al. 2015; Saran, 2012). Hence, the importance of overcoming this BI technological vision, which separates the business model and the technology as independent events, to associate it with the new business philosophy that entails new forms of organization of the company and the intelligent use of technology innovation, substantiated on the management and tracking of interaction, collective intelligence and the integration of the analysis of large volumes of data, internally and externally generated.

From our point of view, BI has evolved considerably since its origin and first scientific definition -as an external management tool-, that helps the company to manage and redefine business information (Ghoshal & Kim, 1986). Today, BI makes it clear and shows the strong association between knowledge management and competitive intelligence (Azevedo, 2009; Zeller, 2008; Turban et. al., 2008; Clark et. al., 2007 and Liebowiz, 2006), in addition to intelligent exploration, integration, aggregation and multidimensional analysis of data from various sources. (Yeoh & Koronios, 2010; Olszak & Ziembra, 2007).

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<sup>1</sup> In this work we talk about *intelligence* in terms of information as opportunity or possibility, that is, knowledge structures that, being contextually relevant, allow an advantageous intervention in reality (to be succesful). Thus, it refers to the set of integrated capabilities as a unit: learning, feeling, incorporating, linking, experiencing and communicating.

This finding confirms that this is a new business philosophy or a new business model, which involve an organizational architecture that differs substantially from the traditional ways of organization of companies organized in stovepipe departments. This new philosophy is accompanied by a system of business management functions, in which new technologies have the role of facilitators and connectors of the elements of the new organizational model of companies, in contrast to the traditional system based on authoritarianism, the absolute hierarchy of internal relations, and the passive role to human capital in the dynamics of the company.

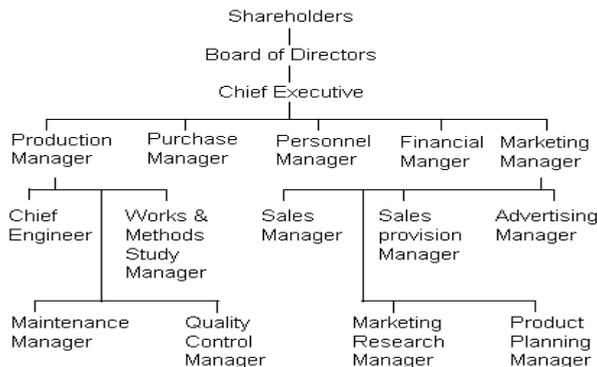
### 5. The New Organizational Architecture and Business Intelligence

Business architecture constitutes the way to integrally describe the company, and it involves each and every element that shapes it. The key structure of this architecture is the organizational one, which has the role of organizing all the activities developed by the company, grouping them according to their long-term objectives, in order to respond to the new division of labour, the new immaterial production factors, the modern communication channels and the specification of decentralized responsibilities, in accordance with the long term goals and the strategies defined by the company.

However, traditional business logic has not really become aware of the change in the business paradigm and continues to rely, basically, on maintaining the usual forms of organization, due, in large part, to the difficulties interpreting the impact of the new challenges posed by paradigmatic change, especially when strategic issues are full of complexity and uncertainty. In addition, the inertia that leads executives to resort to proven "solutions", that help them minimize the uncertainty associated with change, must be taken into account; solutions that were successful in the past and were consistent with traditional organizational routines.

This strategy means giving continuity to an organizational architecture that reproduces the departmental structure of business activity, usually following a stovepipe model, as a key factor for carrying out the basic operations of the company. And this has its foundation, in the first place, in the *principle of departmentalization* which consists of grouping the tasks and functions in functional areas or departments with little permeability, in order to manage the different activities of the company, regardless of the relationships that underlie its operations; examples of this are finance and accounting, marketing and sales, human resources, production, and purchasing departments. And, secondly, in the *steering unit principle* that establishes the need for a single manager or a single boss (prioritizing the role of executives who occupy the highest positions) who is the only one in charge of defining the goals and strategies of the company, in addition to the control and supervision of the whole system and the achievement of the goals of the company (see figure 1).

**Figure 1. Traditional Organizational Diagram**



**Source:** Own elaboration

In this scenario, the various efforts to adapt these old structures to the new knowledge-based economic environment and to the impact of technological innovation on non-tangible production factors seem to have failed to achieve their main goal:

the development of competencies, skills and abilities sufficient to capture the intelligence and the experience of workers and to encourage a strategic business culture of continuous learning, creativity and willingness to change.

Moreover, most executives and scholars continue to insist on the viability of the bureaucratic and rigid structures that characterize traditional companies, believing that overlapping a technological communication structure that speeds up the operations and transactions of the company will be sufficient to align the long-term business strategies with the short-term actions and practices; a strategy that has become one of the limiting factors for the expected change.

The growing application of science and technology in business, through the process of technological innovation, has highlighted the configuration of productive activity around a balance defined by the acquisition of new competencies related to knowledge management, and new operational skills associated with the management of new technological innovations.

This process is twofold; first, the workers of the company acquire business knowledge for a permanent and continuous innovation in environments of risk and uncertainty and, secondly, manufactured goods and services are created with a high added value content.

Within this framework of change of the business paradigm in favour of a flexible business architecture, focused on the exploitation of intangible resources (interaction, large data sets, networks, talent, reputation, brand, etc.), companies should be able to evolve at the pace of change of their environment, not only in their organizational structure, but also in the management systems implemented (intelligent cooperation, interaction and complementarity among teams, decentralization of decisions, etc.).

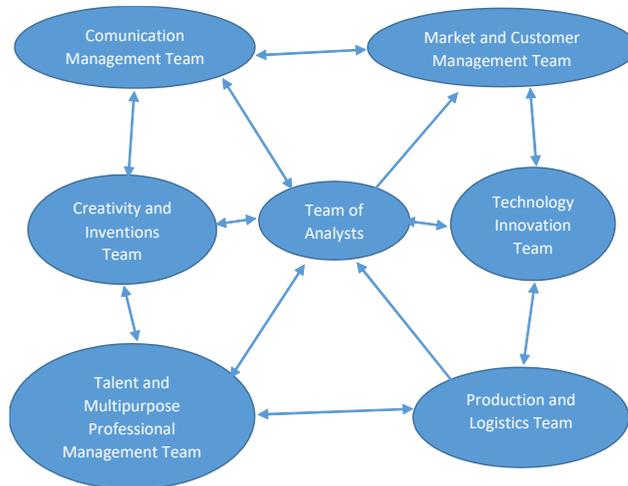
This new economy built on knowledge and the digitization of business relationships empowers companies to acquire distinctive competencies in certain types of intangible assets that are totally different to tangible capital or financial capital. In this knowledge era, the survival of the company will be linked to its ability to capture people's intelligence and experience and, relying on new technologies and knowledge management systems, transform them into useful knowledge to encourage learning, creativity and innovation, in companies or organizations.

Thus, the 21st century company is increasingly dependent on people's competencies, skills and abilities (talent) compared to the past. BI not only has the ability to capture, process and distribute information and codified knowledge, making use of technology, but it is also able to manage the business demand for greater tacit knowledge, which can only be located in the intelligence and experience of people, and transferred by direct contact.

Today's business organizational design, imposed by the interaction, the automation, the digitization and new analysis and the visualization technologies requires workers with creative abilities, tracking and mapping skills, and with operational aptitudes to use the new technologies in the exploitation and visualization of large datasets, as well as the graphic skills necessary for automatic presentation of results.

In this knowledge economy, organizational design should be flexible and reversible in order to make possible the total transformation of the company, to respond to changes in market conditions and to incorporate the impact of technological innovations. The structure consistent with these demands is based on the formation of highly interrelated and complementary work teams with different mechanisms of network communication (intranet), permeable to brainstorming, and encouraged to decentralized decision-making. This design includes management teams in communication, market and clients, talent and multipurpose staff, creativity and invention, technological innovation, production and logistics, etc., all closely related to the team of analysts, and intelligently managed (See figure 2).

**Figure 2. New Organizational (Flexible and Multipurpose) Diagram**



**Source:** Own elaboration

This organizational architecture allows to align processes, data, applications and technological infrastructure with the strategic objectives of the company or with the *raison d'être* of business organizations. And it meets the requirements of the BI model that acts as a system that integrates the strategic level with the business level of the process. This architecture records all the ways in which the different management teams relate to each other, and how they remain internally united, to generate value-generating projects, manage the asymmetry of customer relationships, and diagnose the financial situation of the company. It also documents the ways of communication of information between clients and suppliers, and inside the company itself.

Table 1 shows the different activities that define the management teams in a flexible and reversible organizational architecture. For example, the impact of technological change on the nature of work, on the usable know-how and on the configuration of labour has stimulated and accelerated the break with the old ways of administering human resources departments. In fact, it has modified the keys to the company's survival by linking them to its ability to capture multi-purpose intelligence and the experience of the new generation professionals<sup>1</sup> by giving way to the formation of a **Talent and multipurpose professional management team**.

**Table 1. Analytics of Management Teams**

Talent and multipurpose professional management team	Determines if the members of the teams are creative and innovative. Estimates the likelihood that teams will implement less innovative solutions. Establishes whether teams include professionals with high theoretical or statistical training and/ or mathematical skills. Determines whether teams have the necessary predictive and forecasting capabilities to
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<sup>1</sup> In this work we understand that there is a clear difference between the concepts of "Administrator" and "Manager". The first refers to the continuity of a static stewardship of the company based on the absence of substantial changes in the dynamics of the operation of the company and the inefficient use of existing tangible resources, probably eliminating those that are "expendable". On the contrary, the second refers to a dynamic leadership of the company, whose starting point is setting medium and long term targets, and defining the operation of the company based on the efficient use of tangible and intangible resources.

	meet the company's strategic objectives.
Communications management team	Indicates the degree of communication reached: one or several sources of information, from news or databases. Presents the information classified by topics/types or areas of knowledge, updated and in real time. Geolocalizes the information or news, and communicates to the list of users of the company's platform (workers, customers, suppliers, etc.). Validates the information by examining the credibility of the source of the information.
Market and customer management team	Proposes and formulates marketing strategies targeted to specific groups of customers. Carries out the tracking and mapping of the interaction with customers. Proposes intelligent models for customer loyalty based on the client's experience with the company. Makes future projections of customers' value based on their life cycle and purchase. Manages the shopping experience of digital natives (consumers of the future) and creates portfolios of products and channels.
Creativity and Inventions Team	Designs projects to create new products and renews the range of products and services Designs new strategies to generate a map of business opportunities. Makes proposals for a transversal (or throughout the value chain) innovation and not just on the product. Extends the use of wireless technologies to speed up business transactions.
Production and logistics team	Maps the quality standards of the products and services manufactured. Monitors the production coefficients used. Manages and optimizes distribution network cycles. Tracks the stocks and product repositories, in addition to the stocking system.
Technology innovation team	Carries out the monitoring of the technological needs of the different management teams. Maps software update needs and the automation algorithms Designs projects to build ad-hoc algorithms.
Team of analysts	Coordinates the formation and connection of management teams Develops its activity in close relation with all the management teams. Tracks the various management teams. Compilates reports and carries out company diagnostics.

**Source:** Own elaboration

The impact of artificial intelligence has revolutionized communications to such an extent that today we speak of intelligent communication, which would be managed by the **communications management team**, and would have the purpose of capturing, analyzing and optimizing the communication of information, both inside and outside the company. The idea is to automatically find the information, treat it, analyze it and find a receiver (customer or professional) who is interested in that information.

Similarly, the **market and customer management team** is responsible for carrying out the tasks related to the marketing of products or services to specific groups, unlike traditional marketing interested in mass or generalist marketing. The real value comes from translating the data collected from the company's transactions into intelligence and then applying that intelligence to developing customer-based strategies (e.g. Banks, Supermarkets, Airlines, Hotels, Car Rental Companies or Taxi Fleets, etc.).

In relation to the **creativity and inventions team**, its activity makes sense when we refer to the abstract world of ideas (creativity) as well as to the successful implementation of these ideas into reality or to the process of materializing those ideas (inventions). In other words, creative intelligence is the input for inventions, and only through the application of intelligence creativity can be made tangible.

Likewise, the **production and logistics team** is responsible for tracking and mapping the process of manufacturing products or services, in addition to the efficient and intelligent use of resources in the production chain. Intelligence in logistics is a way to improve efficiency of the flow of products and inputs. When addressing the classification of the logistics service, the specific characteristics of the company must be taken into account. For example, IKEA divides its products by flow categories: high or low, HOME DEPOT designs different distribution channels for its products based on the circulation and the size of its products and AMAZON divides customers into different service groups (Highland 2014; Wilding & Juriado 2004; Knemeyer, Corsi, et al., 2003; Bolumole 2001; Rabinovich, Windle, et al., 1999).

Similarly, the **technological innovation team** is responsible for coordinating the actions related to the support to the different activities of the teams, and for tracking the technological needs of the company.

Lastly, we have the **team of analysts** whose role in BI is to facilitate decentralized decision making in the company. To do so, it makes use of data exploitation techniques to extract information and convert it into knowledge, which is the true value for the company, so that the rest of the management teams can turn it into action. It also carries out the diagnoses related to the operation of the company in relation to its strategic objectives, as well as detailing the nature of the market fluctuations, to identify and map the new market opportunities. Thus, the team of analysts will have the role of driver and catalyst of the information generated by the different management teams, and synthesizer of the information for the whole organization in terms of actionable intelligence.

In short, the new 21<sup>st</sup> century company must be equipped with an organizational structure that not only allows to know the needs of the ends of the production-distribution chain, but also the needs of the different stages in the production chain, supported by algorithms capable of translating the data into information and knowledge for decentralized decision making and actionable intelligence.

## 6. The Future of Business Intelligence

BI understood as the new business model has the task of bridging the gap between business process management and business strategy (Zeller, 2008). So it is necessary to explore how BI helps to learn how to deal with generalized and collective interactions, and the management of incremental technological tools (IPads and Mobiles) that change their characteristics in very short periods of time. This learning spreads to the management of the company's own activities, such as the interactive meetings of different management teams, the channeling of brainstorming and the role of moderator of the debates proposed by the teams. In other words, how good the model of Business Intelligence is to manage these new problems.

In the BI model, strategies allow end users not only to access information, but also to have the technological tools they need to understand the meaning of the information extracted and determine how to use it to achieve the desired result. These strategies require, whether in real time or not, combining and feedback of competencies, skills, and abilities, as decisions are increasingly decentralized. This involves exploring the impact of the decentralization of the access to information, to knowledge and to decision making, on the behavior of the people who make up the company, especially the executives.

In an organizational architecture that allows the permeability between the different management teams, the BI model based on the generalized feedback of all those involved in the business activity and the stimulating and proactive participation in the business project, enables the discovery of what users do, how they do it and where they do it. It would be interesting to know how the user feels when doing it, that is, translate his emotions into data (analysis of feelings). Exploring this trend in the framework of the BI model can tell us if it is really a valuable and complementary knowledge.

## 7. Conclusions

The economy of intangibles is a great opportunity for companies to successfully and rapidly change their business architecture, by applying intelligence in the comprehensive management of strategic intangibles: interaction, exploitation of large datasets, reputation, and communication and corporate social responsibility.

The "adaptation" strategies implemented by the companies, based on a traditional organizational scheme, present serious limitations to face the new challenges posed by the knowledge economy and the technological revolution: continuous turbulence of the environment in which it operates, new forms of decentralized management and organization, new technological tools, etc.

The ability to change and the flexibility of the company can hardly be developed if the technological approach of the business intelligence model persists. The different manifestations of intelligence have in common that they allow "to know before" (detection, discernment and dissemination) and "to know more" (integration, interpretation, analysis), and generate a competitive advantage based on knowledge and on the capacity of adequate response (prediction and prognosis). Hence, the survival of the company is linked to its ability to capture the intelligence and experience (talent) of people and, based on new technologies and management systems, transform them into useful knowledge that encourages intelligence in the process of learning, creativity and organizational innovation of the company.

The new architecture of the 21st century company will be formed by multi-purpose, transparent and interrelated teams, articulated by the team of analysts who will have the role of driver and catalyst of the information generated by the different management teams. They will foster horizontal management based on the responsibility and the commitment of the employees and not so much on their control.

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## Some Legal Aspects of Abbreviated Trial in Albania

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### Abstract

The Criminal Procedure Code of the Republic of Albania, as amended, came as an expression of the society's need for a more effective fight against criminality, a process that should go hand in hand with respect of the human rights and fundamental freedoms. This code, among other things, brought a new concept with regard to the possibility of applying special proceedings, as alternatives to the ordinary proceedings of investigation and judgment in the criminal cases. Thus, after nearly half a century, is reinstated in the Criminal Procedure Code, the special proceedings institute and for the first time in the history of the Albanian procedural law, an abbreviated trial, is foreseen as an alternative judgment. In this context, this paper gives an overview of the abbreviated trial, its legal meaning and the advantages it brings to the parties in particular and to the criminal process in general. The paper also contains a synthesized review of the abbreviated trial, under Albanian legislation and addresses some of the issues of judicial practice, as well as a brief presentation at a practical point of view of the abbreviated trial cases, answering some of the problems arising from the practice.

**Keywords:** The abbreviated trial, a regular legal process, criminality, the presumption of innocence.

### Introduction

The abbreviated trial enters into the category of special proceedings, which is foreseen by articles 403-406 of the Criminal Procedure Code<sup>1</sup>. The court, when the defendant has required to proceed with this kind of judgment, has to evaluate whether he can define the trial according to the acts. Thus, an abbreviated trial is not performed automatically at the request of the defendant, but also requires the approval of a judge who may refuse the request if he thinks that an ordinary trial is necessary. The abbreviated trial is of value to the judicial economy because it simplifies and shortens the procedures, increases the speed and effectiveness of the judgment and brings a benefit to the defendant, reducing the one-third of the sentence and not applying the life imprisonment sentence. This benefit should in no way undermine the righteous process.

So the defendant's and his legal representative request is accepted by the court only when it practically creates the inner conviction that the case can be resolved without the need for judicial review. Not unintentionally, Article 403/2 of the Criminal Procedure Code provides that a request is filed at least three days before the date set for the hearing or before the commencement of the main judgment, thus giving the court the opportunity to assess how it should be proceeded further in the adjudication of the case.

The abbreviated trial, is a special procedure in which the preliminary hearing judge without entering into the main trial phase, delivers a judgment on the basis of the indictment filed by the prosecutor and the material contained in the prosecutor's file. This judgment avoids the stage of judicial investigation.

### The Procedural Time of Submitting the Application

An important requirement for an abbreviated trial is the request submitted by the defendant or by his lawyer in court, before the judicial review is declared open. When the main judgment has commenced with ordinary procedure, it can not be continued with an abbreviated trial.

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<sup>1</sup> Article 93, of the Code of Criminal Procedure of the Republic of Albania, Separation of cases: 1. The division of cases is decided, even mainly, only when the factual evidence is not damaged in the cases provided for in this article.

In a judgment with some defendants, it can not be processed for some with the special proceedings and for others with ordinary proceedings. Only in the case under Article 93 of the Criminal Procedure Code<sup>1</sup>, is decided the separation of the case, and may allow an abbreviated judgment to defendants who have requested such procedure and issue aside for the other defendants whom seek ordinary judgment. It is conceptually wrong when accelerated procedure applied only as a benefit to the defendant.

This alternative judgment, in contrast to an ordinary judgment, it lacks the stage of taking evidence and the requirements related to their invalidity. If the parties have allegations regarding the absolute or relative invalidity of the evidence and require the ascertainment or declaration of invalidity, the court must revoke the decision for an abbreviated trial and order the continuation of the ordinary trial. When the lawforesees that the court<sup>2</sup> decides to proceed with an abbreviated trial in the state of the acts, means that the court has the obligation to consider the acts in advance, before deciding to accept the claim, and if it ascertains in advance that their invalidity affects the taking of a fair decision, it should not accept from the beginning the request for an abbreviated trial.

### **Court Dispositions and Cases of Judicial Practice**

When for a defendant has more than one charge, may be allowed an abbreviated trial for one or more of them, when required by the defendant, on the condition that the case has to be divided and judged separately, without prejudice to proceedings on the other matters, as provided by Article 93 of the Criminal Procedure Code<sup>3</sup>.

#### **Case 1**

The Tirana Court of Appeal, has ruled that the decision of the First Instance Court, has been taken in contravention with the procedural rules established for an abbreviated trial, the Criminal College of the Court of Appeal concludes that the decision No. 130 dated 06.02.2012 of the Tirana District Court is not grounded in the law and as such it must be overturned and the case should be sent for retrial in that court with another trial panel<sup>4</sup>.

Concretely:

The Tirana Court of Appeal states that: Decision No. 130, dated 06.02.2012 of the Tirana District Court was taken in the wrong application of the procedural law. From the acts in the trial file, namely the minutes of the trial, the act which reflects the court's activity at the court hearings, result that: Judicial hearings have been postponed for procedural reasons and specifically for non-appearance and lack of knowledge of the parties to the judgment.

The defendant, was assigned a primarily appointed lawyer, by proceeding with ordinary judgment, where the parties submitted their allegations and the evidence to be considered. At the hearing with an intermediate decision the court based on Article 357/1 of the Criminal Procedure Code<sup>5</sup> has allowed the taking of evidence for review and subsequently postponed the hearing. At the next session, which was conducted in the absence of the defendant but in the presence of the prosecutor, apart from the lawyer appointed primarily by the court, has also been presented the lawyer with a special proxy for defending the defendant in her absence.

By an intermediate decision, the court has replaced the primarily appointed lawyer with the lawyer assigned by the defendant. The lawyer assigned by the defendant has requested to proceed with an abbreviated trial and the court has accepted the request. It results that from the date of the 23.05.2011, the day that the first court session was held until 06.02.2012 the day that was announced the decision by the first instance court have passed in total about 8 (eight) months and have been developed in total 15 (fifteen) court hearings.

In addition, the Criminal College of the Tirana appeal court conclude that the administration of the judicial process at the court hearings carried out by the First Instance Court has violated the procedural rules.<sup>6</sup> In this case, it results that the

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<sup>1</sup> Ibed.

<sup>2</sup> Ibed.

<sup>3</sup> See Decision No. 130, dated 06.02.2012, of the Tirana District Court

<sup>4</sup> Article 357 of the Code of Criminal Procedure, "Provisional Court Provisions" 1. The Court, after hearing the parties, issues a decision on the taking of evidence.

<sup>5</sup> See Article 403 of the Code of Criminal Procedure, paragraph 1 "The defendant or the special representative may request that the case be concluded until a judicial hearing has commenced."

<sup>6</sup> Unifying decision of the United Chambers of the Supreme Court, no. 2, dated 29.01.2003.

Tirana District Court after legitimizing the parties and their representatives has started the ordinary court hearing. At the eighth session, after replacing the primarily appointed lawyer, has proceeded with an abbreviated trial. In the interpretation of Article 403 of the Criminal Procedure Code but also in implementation of the unifying decision of the Supreme Court No. 2 dated 29.01.2003<sup>1</sup>, Criminal College of Tirana Court of Appeal considers that when the judicial examination has begun with ordinary judgment can not proceed further with an abbreviated trial. In the interpretation of Articles 403, 404, 405 and 406 of the Criminal Procedure Code, the Criminal College of the Appeal Court considers that these provisions, the legislator has no intention of mixing the special proceedings (the abbreviated trial) with the ordinary judgment. In the application and interpretation of Articles 403-406 of the Criminal Procedure Code, the request for an abbreviated trial may take place until the judicial hearing has not yet begun and can not be restated when it has begun. The decision of the First Instance Court was taken in contravention with the criminal procedural rules for an abbreviated trial.

## Case 2

Librazhd, Judicial District Court with Decision No. 64, dated 1.10.2006<sup>2</sup> has found the defendant guilty for the criminal offenses of intentional murder against two persons committed in cooperation and illegal possession of weapons, also making use of a counterfeit passport. The Durrës Court of Appeal, by decision no. 267 dated 19.6.2007<sup>3</sup> has decided to leave in force the decision no. 64 of 1 October 2006 of the Librazhd Judicial District Court, whereas the Criminal College of the High Court, in the Counseling Chamber, by decision no. 211 of 9 April 2009,<sup>4</sup> has decided not to accept the recourse. The petitioner claim a violation of the right to a fair legal process because: ... *the decision to overturn the request an abbreviated trial has violated the applicant's right to benefit from the reduction of the sentence according to the Criminal Procedure Code. The decision to overturn the request for an abbreviated trial it is unjustified, failing to fulfill the obligation foreseen in Article 142/1 of the Constitution and Article 112/1 of the Criminal Procedure Code.*

On the allegation for the violation of the right to access to a court (access right), the Constitutional Court finds that this claim, in essence, deals with the ground of the decision to overturn the request for an abbreviated trial by the court of first instance as well as the denial by the Durrës Court of Appeal of the right to appeal and access to this court to control the decision of the first instance court.

### **The issue to be solved is:**

*The omission from the judicial jurisdiction of the first instance court decision to refuse the abbreviated trial violates the applicant's right of access to a second instance judgment?* In this regard, the Constitutional Court notes that, according to articles 407/3 and 422 of the Criminal Procedure Code, the defendant has the right to appeal decisions of the first instance court.

This right of appeal extends both to the guilty verdict as well as to the punishment given by this court. This means that, in relation to the sentence, the defendant may appeal the measure of punishment given from the point of view of respecting the principle of proportionality. This principle is also violated if the criteria for an abbreviated trial are met, with the consequence of a reduction in one third of the sentence (Articles 404 and 406/1 of the Criminal Procedure Code).

Consequently, if in the first instance it is continued with the ordinary judgment procedure, the court decision may be appealed for an unlawful punishment, arguing that the refusal of the abbreviated trial is unjustified or incorrect. In this case, the defendant requests that the court of appeals examine the grounds on which the decision of non-acceptance of the abbreviated trial is based, challenging this decision because it has questioned the legality of the punishment given. Consequently, the concrete determination of the punishment is reassessed by the appeal court and if this court finds that it is unjustifiable to reject the abbreviated trial, it should apply a reduced sentence, although the procedure followed was not that of the abbreviated trial. Thus the motives of the decision rejecting the abbreviated trial, which affect the legality of the punishment to be given, can not be excluded from the substantive review on appeal.

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<sup>1</sup> See Decision of the Court of Judicial District Librazhd No.64, dated 01.10.2006.

<sup>2</sup> See Decision No. 267, dated 19.06.2007 of the Durrës Court of Appeal.

<sup>3</sup> See the Decision of the Criminal College of the High Court, No.211, dated 09.04.2009

<sup>4</sup> See Constitutional Court decision no. 14, dated 26.3.2012, pg.23 and 24.

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All this, not with the purpose of recovering the special proceeding but of the appeal, in case of punishment, of reduced punishment.<sup>1</sup>In the present case, the Constitutional Court determine that the Durrës Appeal Court by its decision No. 267 of 19 June 2007 was its assessment that the disposition regarding the acceptance or not of the request for an abbreviated trial is the attribute of first instance Court. This means that, according to the assessment of the Durrës Court of Appeal, the decision of the court of first instance, regarding the refusal of the request for an abbreviated trial, is not subject to judicial control in the second instance. *In the opinion of the Constitutional Court, this means that the lack of control in the second instance of this decision, the refusal, denies access to a second instance judgment regarding the allegations of non-compliance of the principle of proportionality in determining of punishment. Consequently, the Constitutional Court concludes that this approach of the appellate court has, in itself, violated the applicant's right of access and to appeal to a higher court.*

**Another issue that is required to be solved is:** *Can the legal qualification of a criminal offense be changed during an abbreviated trial?*

The Constitutional Court has pointed out in its jurisprudence that the institute of changing the legal qualification of a criminal offense during the judgment may be applied by the courts of ordinary jurisdiction during ordinary adjudication only when the requirements set by the Court itself are strictly applied, in particular with regard to guaranteeing the realization of the right of defense of the parties to the judgment to the new formulation of the criminal offense. *"The application of Article 375 of the Criminal Procedure Code in this way is a guarantee for the development of a fair legal process by placing the court in its role of giving justice"*<sup>2</sup>.

Also, with regard to the institute under consideration, the ECHR<sup>3</sup> has stated that *"the provisions of paragraph 3 of Article 6 sanction the need to give particular attention to the notification "of the charge" to the person concerned. Since the indictment has an important role in the criminal proceeding, article 6, paragraph 3 recognizes the defendant the right to be informed not only of the motive of the charge, that is, the material facts attributed to him and on which the allegations are based, but also, and in detail, with the legal qualification given to these facts"*<sup>4</sup> and that *"accurate and complete information of the charges against a defendant and the legal qualification of the offense is an important condition for a fair legal process"*<sup>5</sup>. This means that defendants should be informed within a reasonable time not only with the motives of the charge, that is, with the material facts attributable and on which the allegations are based, but also, and in detail, the legal qualification granted to them facts.

Based on these assessments, the Constitutional Court of Albania notes that the First Instance Court for Serious Crimes, by changing the qualification of the offense, having accepted the defendant's request to proceed with an abbreviated trial, did not respect the requirements defined by the ECHR and Albanian jurisprudence in relation to this institute. Thus, the First Instance Court for Serious Crimes has not given the defendant the opportunity to exercise their right to and effective defense against the new criminal offense.

In this respect, the Constitutional Court reiterates its position that while in ordinary judgment it is the exclusive competence of ordinary courts of law to change the legal qualification of a criminal offense, in special judgments, as considered an abbreviated trial, the right must be exercised in accordance with the particulars of this judgment, in particular with the fact that, in order to proceed with this kind of judgment, besides the defendant's request, the decision / approval of the judge is necessarily required. In other words, the judge when is deciding as whether or not to accept the request of the defendant for an abbreviated trial should consider not only the principle of judicial economy, but must decide primarily, in accordance with the principle of effective justice. This means that he, among other things, should also consider the legal qualification of the criminal offense established by the prosecutor. Consequently, if there is any doubt about this qualification, this element suffices for a judge to overturn the defendant's request to proceed with a special judgment and to continue the

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<sup>1</sup> See decision No. 51, dated 30.07.1999 of the Constitutional Court. Article 375 of the Code of Criminal Procedure reads: "With a final decision the court may give a fact different from the one made by the prosecutor or the aggrieved party, easier or more severe, provided that the offense is in its competence.

<sup>2</sup> European Court of Human Rights.

<sup>3</sup> See decision No. 14, dated 26.03.2012 of the Constitutional Court.

<sup>4</sup> See decision No. 51, dated 30.07.1999 of the Constitutional Court.

<sup>5</sup> Vargas and Peñalosa (2004) address the economic and social costs of not complying with judicial decisions, making estimates with Spanish data.

judgment by the ordinary procedure, thus respecting all the principles of a fair process, such as contradictory, the right to protection, etc.

### Conclusions:

1. In an abbreviated trial, as a special proceedings, is essential the acceptance of the acts on the basis of the indictment filed by the prosecutor and the material contained in the prosecutor's file. This special proceedings avoids the stage of judicial investigation.
2. A request for an abbreviated trial, can be made until the judicial review has not yet started and can no longer be presented when it has begun. When the main judgment has commenced with ordinary judgment, it can not be continued with an abbreviated trial.
3. The Judge when deciding, whether or not the request of the defendant for an abbreviated trial must be accepted, consider not only by the principle of judicial economy, but must, in principle, decide, in accordance with the principle of effective justice. This means that he, among other things, should also consider the legal qualification of the criminal offense established by the prosecutor. Consequently, if there is any doubt about this qualification, this element suffices for a judge to overturn the defendant's request to proceed with a special proceeding and to continue the trial with an ordinary procedure, thus respecting all the principles of a fair legal process, such as the contradictory, the right to protection, etc.
4. When the ordinary jurisdiction court proceed with an abbreviated trial, a proceeding in which, the court can only takes into consideration the prosecutor's file, there is no possibility of exercising the effective right of defense by the defendant, so changing the legal qualification of a criminal offense by the court is contrary to the purpose of this judgment.
5. At a judgment with some defendants, can not be processed some with a special proceeding and the others with ordinary proceeding. Only when a case is split under Article 93 of the Criminal Procedure Code, an abbreviated trial, may be allowed for the defendants who have requested such a judgment and the case is separated for the other defendants who seek ordinary trial.
6. The ECHR has reviewed the abbreviated trial institute in order to guarantee the defendant's right to defense. She emphasized that "*the right to be informed of the nature and motives of the charge should be considered in the view of the defendant's right to prepare his defense*". This means that defendants should be informed within a reasonable time not only with the motives of the charge, namely with the material facts attributable and on which the allegations are based, but also, and in detail, with the legal qualification granted to this facts. This is an important condition for a fair legal process.

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## The Search of the Absolute in Lucian Blaga's Poetry

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### Abstract

The present paper aims at giving a brief insight into the poetry of one of the most important Romanian poet, Lucian Blaga, representative of modernism, focusing on the search of the Absolute from the linguistic point of view. Mention should be made of the fact that the metaphors of the Absolute are analysed both from a traditional point of view as well as from a more recent one – cognitivism. Reference is made only to those poems that are more suggestive in this respect. When analysing Lucian Blaga's metaphors, it is compulsory to take his philosophical construction as a starting point. Ample and complex, it aims at presenting Blaga's views on the creation of world, knowledge, history and culture. As everything is closely intertwined, it is essential to mention at least some of the main ideas of his philosophical work in connection to our subject.

**Keywords:** The Search of the Absolute in Lucian Blaga's Poetry

### Introduction

#### 1.1. Blaga's theory on the Great Anonymous

Blaga conceives a metaphysical centre- "overwhelming but barely felt" (Blaga, 2015: p. 24)- whom he calls the Great Anonymous, that is the creator of the world we live in. He is self-sufficient and capable of reproducing himself *ad infinitum*, thus, being able to create other equivalents for Him (he is a "nature generating identities" (Blaga, 2015: p. 30). But this might lead to anarchy, as the other selves of the **Great Anonymous** would try to usurp the centre, the initial Great Anonymous. In order to avoid this, His main concern is to limit human beings *in statu nascendi*, to prevent them from reaching their best possible alternatives, allowing them to manifest themselves only between certain limits, behaving more like a transcendental brake, like a "transcendental censorship" (Blaga, 2015: p. 130). It might be said that He is mainly concerned with what He must *not* do instead of on what He must do. It is not an effort of creating but of hindering perfection from taking place. These acts of the Great Anonymous have been put in relation with the creative acts of humans, generating works of art (Blaga, 2015: p. 27), because both these two types of acts are incomplete. Egocentrically, the Great Anonymous keeps humans towards periphery. Unlike Neo-Platonists, who believed that the purpose of man is to regain the lost divine condition, Blaga considers the purpose of human beings to be different. They are "divine differentials" (Blaga, 2015: p. 30), the result of an "à rebours genesis" (Blaga, 2015: p. 30), that is absolute simple segments of the divine structure, the bearers of a virtual structure (Blaga, 2015: p. 31; p. 49)<sup>1</sup>. As divine differentials, human beings have their cognitive capacity censored, and their revelatory capacity hindered (Blaga, 2015: p. 130). For cognitive human capacity to have access to Absolute, humans should have had some *nuclear* divine differentials integrated inside themselves, which had been considered a major danger and had been stopped premeditatedly even before genesis, as a deterring act. However, the Great Anonymous allowed certain divine differentials to be part of human beings, namely those responsible with the humans' awareness of the *presence, existence* of the Great Anonymous, but not of His structure and His real nature. Thus, according to Blaga, human beings can not either understand or reveal the ultimate truth because they have been conceived like this from the very beginning. They are structurally unable to achieve the Absolute, even if they struggle to do it: "The Great Anonymous has put in us the irrevocable urge towards "truth" (...). We are definitely lead to it but, at the same time, stopped to reach it. What is the purpose of this (...) is hard to say" (Blaga, 2013: 464). This antinomy generates the supreme stress under which the cognitive individual lives. Mentioning Blaga's definition of a genius

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<sup>1</sup> According to Blaga, a mystery is never completely revealed because the Great Anonymous prevents human beings to have access to the ultimate truth.

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is suggestive: "a slave, a toiler in an existence unfolding between mystery and revelation" (Blaga, 2015: p. 283). Human beings can only feel the Absolute, "sniff at it".

## 1.2. Blaga's theory on the duality of knowledge, on the concept of mystery and the means of approaching mystery

There is established a clear cut distinction between 2 types of knowledge which intertwine in any product of a human mind: the **paradisiacal knowledge** - has only "degrees of abstractions" – (Blaga, 2013: p. 359) and the **luciferic knowledge** - "original", "intense" (Blaga, 2013: p. 359). The paradisiacal knowledge is self-sufficient, its object is complete, whereas the luciferic knowledge causes a crisis in the case of the object, bringing on the idea of mystery: the object is split into two, a part revealing itself, called the fanic, the other hiding itself, called the cryptic (Blaga, 2013: p. 257; 268). A theoretical idea (an attempt, risk) lies at the basis of the luciferic knowledge. If such an idea fails, one can try to reveal the mystery using another idea. By revealing the cryptic part of a mystery, the respective mystery has passed into a second latency, a quite unstable state pointing towards a luciferic crisis. A mystery in its "second latency"<sup>1</sup> is qualitatively attenuated as compared to the opened mystery because the opened mystery was initially represented by its complex and diverse fanic and now it is represented by its revealed cryptic, which is simpler and more elementary (Blaga, 2013: p. 271).

Thus, the object is only a "sign" (Blaga, 2013: p. 257) of a hidden mystery, the luciferic knowledge being an attempt to decipher it. Thus, the objects of the paradisiacal knowledge are "latent mysteries" (Blaga, 2013: p. 258): the objects have not been split in two, the fanic and the cryptic, but someone could do that anytime.

The **concept of mystery** is central in Blaga's theory of knowledge. According to Blaga, there are **five types of mysteries**: "latent, opened, attenuated, perpetuated and intensified" (Blaga, 2013: p. 267) and the revelation of the cryptic part of an opened mystery takes place on **three levels**:

the level  $\alpha$ , that of understanding sensibility;

the level  $\beta$ , that of understanding imagination;

the level  $\gamma$ , that of conceptual understanding. (Blaga, 2013: p. 309).

Blaga also mentions the fact that the attempt of the luciferic knowledge to reveal the cryptic part of an opened mystery can also lead to **three means of approaching an opened mystery**:

-qualitative attenuation –the most frequent, dealing with the enstatic<sup>2</sup> intellect,;

-perpetuation – defined as "the impossibility of revealing the cryptic part of an opened mystery", "zero revelation", dealing with the enstatic intellect (Blaga, 2013: p. 317);

-intensification – minus knowledge, dealing with the ecstatic intellect<sup>3</sup>, the least used of all, proper for metaphysical matters (Blaga, 2013: p. 316).

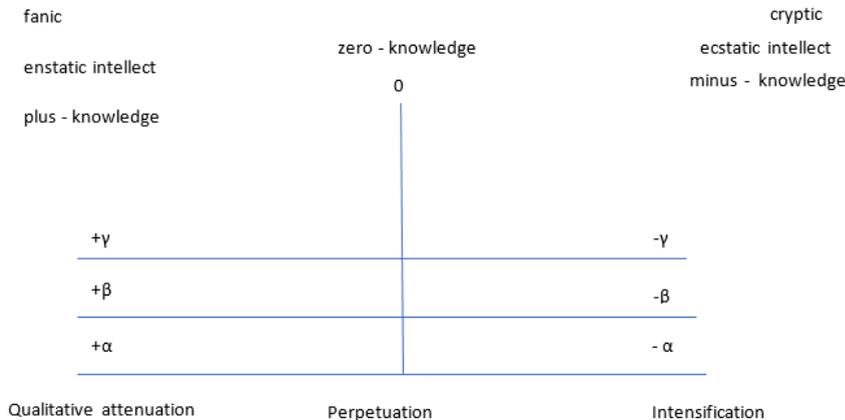
The above mentioned notions, the triple character of the luciferic knowledge (plus, zero, minus) can be represented as follows:

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<sup>1</sup> The *enstatic* intellect is defined by Blaga as the intellect remaining within itself (Blaga, 2013: p. 321).

<sup>2</sup> The *ecstatic* intellect is defined by Blaga as the intellect getting out of itself (Blaga, 2013: p. 321).

<sup>3</sup> "The genesis of metaphor coincides with the genesis of man" (Blaga, 2011: 357).



(adapted, based on Blaga, 2013: p. 317).

Thus, Blaga's minus-knowledge theory implies the idea that there are mysteries requiring precisely this type of knowledge.

### 1.3. Blaga's theory on style

Style, originating in unconscious, acts as a group of forces pointing to mystery. These forces are meant to shape and lead the attempts of the human mind in revealing mysteries by theory or directed observation (Blaga, 2014: 117). The human mind has to create in this force field called by Blaga stylistic field (Blaga, 2014: 118). Human beings live in two horizons: in the concrete horizon of the sensitive world and in the horizon of mystery in order to reveal it. A human being becomes whole and complete only by means of the latter one. The horizon of mystery characterizes human nature, it is a fundamental, intrinsic and immanent part of it. It is very interesting to underline the fact that this horizon of mystery has as correspondent a "region of transcendences" which can never be converted into human knowledge (Blaga, 2014: p. 133). Thus, the horizon of mystery is defined as "the only open gate to transcendence", as an "a priori principle of existence" (Blaga, 2014: p. 133). This is the explanation of the human being's tendency to attempt to reveal mysteries, the horizon of mysteries acting as a stimulus in this respect. (Blaga, 2014: p. 133).

The stylistic categories, also called abyssal categories, form a **stylistic matrix**. The attitude of human beings towards anything, transcendence included, is essentially influenced by it. The stylistic matrix is very much alive, but latent and expresses itself involuntarily in all human creations, in very diverse domains (Blaga, 2011: 202). Blaga also equates the stylistic matrix with the "transcendental brakes", by means of which the Great Anonymous prevents the human mind from actually reaching the absolute truth (Blaga, 2014: 117).

There are two main types of knowledge, corresponding to the two ways of existence characterizing human beings. Type I refers to the sensible, concrete world, as it can be perceived by senses. Type II, much more complex than type I, refers to the existence of human beings in the horizon of mystery, aiming at revealing the mystery (Blaga, 2014: 139).

### 1.4. Blaga's theory on metaphors: plasticizing metaphors and revelatory (luciferic) metaphors

Blaga speaks about the style which wraps the substance of an work of art. This substance, unlike the substance of things in the real world, stands for something else, points to something else, involving "a transfer and a conjugation of terms belonging to different domains" (Blaga, 2011: 348). Thus, the respective substance acquires a "metaphoric" character. In this way, Blaga enlarges the significance of metaphor, making a clear-cut distinction between the metaphor as figure of speech and the metaphoric character, as an inner trait of an work of art. Therefore, we can say that Blaga somehow anticipates<sup>1</sup> the cognitive linguistic theory according which metaphors are no longer seen only as stylistic figures of speech, but as a part of a "conceptual system" (Lakoff and Johnson, 1980: 3).

<sup>1</sup> I will not crush the world's corolla of wonders/ and I will not kill/ with reason/ the mysteries I meet along my way/ in flowers, eyes, lips, and graves./ The light of others/ Drowns the deep magic hidden/ in the profound darkness./ I increase the world's enigma/ with my light/ much as the moon with its white beams/ does not diminish but increases/ the shimmering mysteries of night —/ I enrich the darkening

A human being is in a situation which is twice precarious. On the one hand, he/she lives in the concrete world which he/she can not express with the available structural means and, on the other hand, he/she lives in the horizon of mystery which he/she is unable to reveal. Metaphor becomes an ontological moment which aims at correcting this twofold precarious situation. It has an "ontological purpose" (Blaga, 2011: 366), being a "special trait of human destiny" (Blaga, 2011: 351), requiring all the contemplative efforts of anthropology and metaphysics. It originates in the depth of the unconscious.

Blaga divides metaphors into two types: plasticizing metaphors and revelatory (lucipheric) metaphors.

Plasticizing metaphors are formed by uniting two facts which are more or less similar. This type of metaphors do not enrich the content of the respective facts. They are meant to render a certain fact as good as possible, which can not be done by using mere words, which are so "anaemic" (Blaga, 2011: 350). A plasticizing metaphor is a "compensatory technique" (in the sense that it compensates and completes the inability of a direct expression), "an organ of rendering the concrete indirectly, instantaneously" (Blaga, 2011: 351), correcting the fatal disagreement between concrete and abstract. As an organ it appeared inevitably as a natural reaction of a human being against its own imperfection/inability to express the concrete in the best possible way. The genesis of the plasticizing metaphor is a non-historical moment, being in connection with the genesis of the spirituality of the human being. Therefore, the genesis of the plasticizing metaphor is a matter of anthropology.

Revelatory metaphors enrich the significance of the facts to which they refer. They are meant to reveal something hidden in connection to the respective facts, a "mystery" making use of the tools given to us by the concrete world, by the sensible experience and by the imaginary world. They cancel the common meaning of facts, proposing a new vision. They suspend meanings and proclaim others. They originate in the existence of human beings in the horizon of mystery and revelation, being "the first symptoms of this specific way of existence" (Blaga, 2011: 358). When man becomes aware of the horizon of mystery, he starts using revelatory metaphors. Blaga is against those metaphors which replace a given object, behaving like a mere riddle, making the respective object or fact taboo because, in this way, they are sterile, a mere intellectual game. They do not try to reveal their hidden mystery or to add something to it. Such metaphors are a duplicate, a double of the respective object or fact. They are an "algebra of images" (Blaga, 2011: 362), a game with certain rules that can easily be learnt by anyone. Blaga illustrates these "sterile"/"abusive" metaphors/ "metaphors with no message" (Blaga, 2011: 356) by giving us example the hermetic poetry.

It is very interesting to underline the fact that this theory on metaphors is poetically expressed in a poem, considered to be Blaga's *ars poetica*<sup>1</sup>.

## 2. Analysing some of Blaga's metaphors

a) "For ages, all creatures,

Carry a signature with them, as runes" (Blaga, *Runes*, 2012, p.179).<sup>2</sup>

In the above example, *signature* is a conceptual metaphor<sup>3</sup>. Thus, the following elements can be identified:

*the Absolute* – target, vehicle, focus space. It is in attribute relation with the base domain.

*signature* – source, tenor, base space.

Common features / generic space / ground – uniqueness.

The blended space (the new emergent understanding) – Blaga creates a world with deep hidden meanings. Everything has a deep essence which is concealed. This essence is the divine element, the matrix existing in everything and carrying a mystery.

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horizon/ with chills of the great secret./ All that is hard to know/ becomes a greater riddle/ under my very eyes/ because I love alike/ flowers, lips, eyes, and graves. (translation by Andrei Codrescu-  
<https://beautifulrailwaybridgeofthesilverday.wordpress.com/2012/03/02/i-will-not-crush-the-worlds-corolla-of-wonders/>)

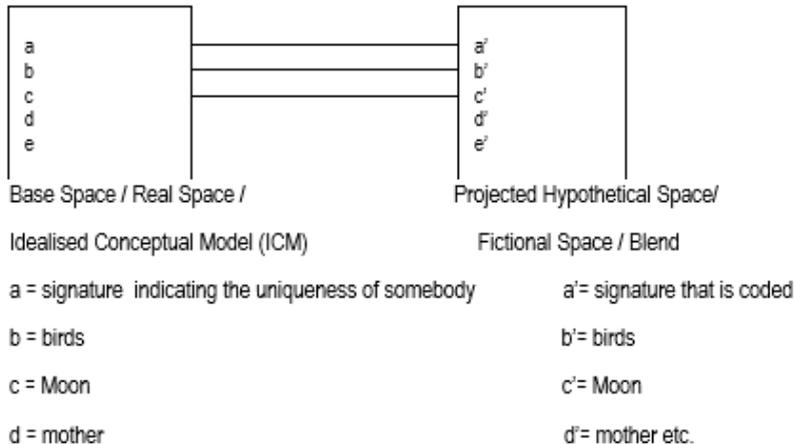
<sup>1</sup> "În chip de rune, de veacuri uitate / poart-o semnătură, făpturile toate" (Blaga, *Rune*, 2012, p. 179).

<sup>2</sup> In cognitive linguistics, the association between the target and the source domains is called conceptual metaphor. Cognitive linguistics refers to the process of metaphor as a mapping of properties between the two spaces or domains.

<sup>3</sup> The description of the metaphoric mechanism is based on the one suggested in *A General Rhetoric (Retorică generală)*, by Group μ (1974).

The source is missing from the text and the readers have to make an effort of understanding, only the target is present.

The above example can also be seen from the point of view of the discourse world theory, which considers the cognitive tracking of entities, relations and processes to be a mental space. In order to understand and represent reality, Blaga builds a mental space which contains mental representations of everything that can be perceived in real space (also called *base space*). Blaga's poem is a blended space, a space that combines the other spaces and which has specific features emerging from the mapping. The stages that can be referred to are: cross-space mapping, generic space and blend.



In the base space (real space), there are basic level categories and objects. It is a familiar representation of life, with familiar entities and familiar structure. Thus, there are people, birds, animals, celestial bodies, runes, signatures, etc..In this space, even if a signature is illegible, eventually it can be understood.

The generic space contains the commonalities of the two spaces, namely common general nodes and relationships across the spaces.

In the projected hypothetical space/ Blend, Blaga creates a world that seems to be like the ICM but, however, it is an entirely different world. In this fictional space, the Absolute has a matrix in everything, but it is impossible to decipher it because of the transcendental censorship (see above 2.2.). The Absolute is encoded ("runes"). In Blaga's poem, birds carry it, the Moon also has it, but hidden on its invisible side, animals have it but its cipher is lost, can't be decoded, mothers carry it on their foreheads, etc. a', b', c' are counterparts of a, b, c in the base space.

The same example can be analysed from a traditional point of view, trying to explain the metaphoric mechanism<sup>1</sup>:

The reader can notice a violation of discourse logic

The reader resorts to omission; he/she looks for the third term (I), the bridge between the other two : D→(I)→A.

The Absolute→ (I) → "signature"

The comon seme of the two terms is (I), namely the seme [perpetuation capacity (as matrix)]:

It is the case of conceptual metaphor (Sg+Sp)Σ.

is a generalization synecdoche (Sg) of D and A is a particularized synecdoche (Sp) of (I):

D ...Sg... (I) ...Sp... A

D ("The Absolute") → [perpetuation capacity (as matrix)] + [divine] + [comprehensible only by revelation] + etc.

<sup>1</sup> "Suflete, prund de păcate,/ ești nimic și ești de toate./ Roata stelelor e-n tine/ și o lume de jivine" (Blaga, 2012, *Suflete, prund de păcate*, p. 310).

Sg is obtained by omitting the semes [divine] and [comprehensible only by revelation].

Sp is obtained by adding semes to [perpetuation capacity (as matrix)]:

A ("signature") = [perpetuation capacity (as matrix)] + [human] + [(il)legible] + etc.

It is a metaphor *in absentia*, the context helps the reader identify the term D.

b) "Soul, gravel of sins, you are nothing at all and you are everything.

The wheel of stars is inside you" (Blaga, 2012, *Soul, Gravel of Sins*, p.310).<sup>1</sup> In the above example, *wheel* is a conceptual metaphor. Thus, the following elements can be identified:

*the Absolute* – target, vehicle, focus space. It is in attribute relation with the base domain.

*wheel of stars*– source, tenor, base space.

Common features / generic space / ground – the light and the idea of eternity (the round form, the circle being the symbol of eternity)

The blended space (the new emergent understanding) – Blaga creates a world in which the soul of human beings has the divine light in it, alongside with other impurities (sins). The struggle of every human being is to clean these impurities and let the light within prevail.

The source is missing from the text and the readers have to make an effort of understanding, only the target is present.

The same example can be analysed from a traditional point of view, trying to explain the metaphoric mechanism:

The reader can notice a violation of discourse logic

The reader resorts to omission; he/she looks for the third term (I), the bridge between the other two : D→(I)→A.

The Absolute→ (I) → "wheel of stars"

The common seme of the two terms is (I), namely the seme [perpetuation capacity (as matrix)]:

It is the case of conceptual metaphor (Sg+Sp)Σ.

(I) is a generalization synecdoche (Sg) of D and A is a particularized synecdoche (Sp) of (I):

D ...Sg... (I) ...Sp... A

D ("The Absolute") → [having as symbol the circle] + [illuminating] + [divine] + etc.

Sg is obtained by omitting the semes and [illuminating-figuratively] and [divine].

Sp is obtained by adding semes to [having as symbol the circle]:

A ("wheel of stars") = [having as symbol the circle] + [light] + etc.

It is a metaphor *in absentia*, the context helps the reader identify the term D.

c) "We have multiple pains, but the greatest of all

is – to see. To see (...) that the holy, pre-existing model

(...) breaks." (Blaga, 2012, *The Cloud*, p. 274).<sup>2</sup>

In the above example, *the holy, pre-existing model* is a conceptual metaphor. Thus, the following elements can be identified:

*the Absolute* – target, vehicle, focus space. It is in attribute relation with the base domain.

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<sup>1</sup> "Durerile noastre sunt multe, dar cea mai mare/ este – să vezi. Să vezi că (...) sfântul, preexistentul tipar/(...)/ în mâini ți se sparge" (Blaga, 2012, *Norul*, p. 274).

<sup>2</sup> "Cerul asudă lumină" (Blaga, 2012, *The Tables of the Law*, p. 313).

*the holy, pre-existing model*– source, tenor, base space.

Common features / generic space / ground – modelling capacity.

The blended space (the new emergent understanding) – Blaga creates a world in which people realize their incapacity of being the best possible variant. The worst failure of people is the failure to accomplish the divine model.

The same example can be analysed from a traditional point of view, trying to explain the metaphoric mechanism:

The reader can notice a violation of discourse logic

The reader resorts to omission; he/she looks for the third term (I), the bridge between the other two : D→(I)→A.

The Absolute→ (I) → ``model``

The common seme of the two terms is (I), namely the seme [pattern (as matrix)]:

It is the case of conceptual metaphor (Sg+Sp)Σ.

is a generalization synecdoche (Sg) of D and A is a particularized synecdoche (Sp) of (I):

D ...Sg... (I) ...Sp... A

D (``The Absolute``) → [pattern] + [divine] + [illuminating] + etc.

Sg is obtained by omitting the semes [divine] and [illuminating].

Sp is obtained by adding semes to [pattern]:

A (``model``) = [pattern] + [human]+ etc.

It is a metaphor *in absentia*, the context helps the reader identify the term D.

d) ``The sky sweats light`` (Blaga, 2012, *The Tables of the Law*, p.313).<sup>1</sup>

In the above example, *light* is a conceptual metaphor. Thus, the following elements can be identified:

*the Absolute* – target, vehicle, focus space. It is in attribute relation with the base domain.

*light*– source, tenor, base space.

Common features / generic space / ground – illumination

The blended space (the new emergent understanding) – Blaga creates a world in which human beings have the divine guiding from birth under the form of conscience. No one is lost because all roads lead to God.

The source is missing from the text and the readers have to make an effort of understanding, only the target is present.

The same example can be analysed from a traditional point of view, trying to explain the metaphoric mechanism:

The reader can notice a violation of discourse logic

The reader resorts to omission; he/she looks for the third term (I), the bridge between the other two : D→(I)→A.

The Absolute→ (I) → ``light``

The common seme of the two terms is (I), namely the seme [illuminating]:

It is the case of conceptual metaphor (Sg+Sp)Σ.

(I) is a generalization synecdoche (Sg) of D and A is a particularized synecdoche (Sp) of (I):

D ...Sg... (I) ...Sp... A

D (``The Absolute``) → [illuminating] + [divine] + [comprehensible only by revelation] + etc.

Sg is obtained by omitting the semes [divine] and [comprehensible only by revelation].

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<sup>1</sup> ``Ceas de cumpănă. Amurg./ Vai, toate către soare curg-`` (Blaga, 2012, *Götterdämmerung*, p. 276).

Sp is obtained by adding semes to [illuminating]:

A (``light``) = [illuminating] + [radiation]+ [electromagnetic character] etc.

It is a metaphor *in absentia*, the context helps the reader identify the term D.

e) ``Deadlock time. Twilight./ Alas, everything is flowing towards the Sun`` (Blaga, 2012, *Götterdämmerung*, p. 276)<sup>1</sup>

In the above example, *the Sun* is a conceptual metaphor. Thus, the following elements can be identified:

*the Absolute* – target, vehicle, focus space. It is in attribute relation with the base domain.

*the Sun* – source, tenor, base space.

Common features / generic space / ground – light

The blended space (the new emergent understanding) – Blaga creates a world in which life flows towards the Absolute, no matter what. Time, people, ages, everything visible and invisible is passing and the final destination is the immersion in the divine nature.

The source is missing from the text and the readers have to make an effort of understanding, only the target is present. The same example can be analysed from a traditional point of view, trying to explain the metaphoric mechanism:

The reader can notice a violation of discourse logic

The reader resorts to omission; he/she looks for the third term (I), the bridge between the other two : D→(I)→A.

The Absolute→ (I) → ``the Sun``.

The comon seme of the two terms is (I), namely the seme [illuminating]:

It is the case of conceptual metaphor (Sg+Sp)Σ.

(I)is a generalization synecdoche (Sg) of D and A is a particularized synecdoche (Sp) of (I):

D ...Sg... (I) ...Sp... A

D (``The Absolute``) → [illuminating] + [divine] + [comprehensible only by revelation] + etc.

Sg is obtained by omitting the semes [divine] and [comprehensible only by revelation]. Sp is obtained by adding semes to [illuminating]:

A (``the Sun``) = [illuminating] + [celestial body]+ etc.

It is a metaphor *in absentia*, the context helps the reader identify the term D.

f) ``The springs-origins/ are the only things that connect us. I am not alone.`` (Blaga, 2012, *I Am not Alone*, p.280)<sup>2</sup>

In the above example, *the springs-origins* is a conceptual metaphor. Thus, the following elements can be identified:

*the Absolute* – target, vehicle, focus space. It is in attribute relation with the base domain, *the springs-origins* – source, tenor, base space, common features / generic space / ground – modelling capacity.

The blended space (the new emergent understanding) – Blaga creates a world in which each human being has to become aware of the fact that he/she is never alone. Divinity is everywhere all the time. The Absolute has many faces, appearing in various disguises: flowers, clouds, hearts, eagles, water, etc.

The same example can be analysed from a traditional point of view, trying to explain the metaphoric mechanism:

The reader can notice a violation of discourse logic

The reader resorts to omission; he/she looks for the third term (I), the bridge between the other two : D→(I)→A.

The Absolute→ (I) → ``the spings-origins``

The comon seme of the two terms is (I), namely the seme [source]:

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<sup>1</sup> ``Obârșiiile-izvoare/ mă mai leagă. Nu sunt singur.`` (Blaga, 2012, *I Am not Alone*, p.280)

<sup>2</sup>Referring to the Universal Declaration of Human Rights (1948), page 7, <http://www.un.org/en/universal-declaration-human-rights/>.

It is the case of conceptual metaphor (Sg+Sp)Σ.

(I) is a generalization synecdoche (Sg) of D and A is a particularized synecdoche (Sp) of (I):

D ...Sg... (I) ...Sp... A

D ("The Absolute") → [source (of everything)] + [illuminating] + [divine] + [comprehensible only by revelation] + etc.

Sg is obtained by omitting the semes [illuminating], [divine] and [comprehensible only by revelation]. Sp is obtained by adding semes to [source (of everything)]: A ("the springs-origins") = [source (of water)] + [earthly] + etc, it is a metaphor *in absentia*, the context helps the reader identify the term D.

## Conclusions

Blaga's metaphors of the Absolute, which have been analysed in the present work, refer mainly to water, light and a certain model. The metaphors of the Absolute rendered by means of a certain model (*signature, the wheel of stars, the holy, pre-existing pattern*) are the ones that prevail by far. In fact, they are an illustration of his philosophical idea that people bear a virtual structure (see above 1.1.).

With the help of these metaphors, Blaga succeeds in creating a poetic universe in which his philosophical system can easily be recognized and which traces the coordinating lines. Thus, the Absolute is present but it can not be completely understood by humans because it uses the so-called transcendental censorship (see above 1.1.). Although it refuses its revelation to people, it has its divine matrix well established in everything. Human beings, being "divine differentials" (see above 1.1.), also suffer enormously because of the impossibility of achieving individual perfection. At the same time, they suffer because of their inability to obtain perfect creations.

As regards the method used to analyse metaphors, we can conclude that the traditional method of analysis, based on the rhetoric of Group μ, is not appropriate because the Absolute is an abstract notion that can very hard be divided into semes. Therefore, at the end of our brief research, we can conclude that cognitive linguistics is more prone to analysing the metaphors of the Absolute.

Mention should also be made about the fact that, in all examples, the term Absolute is missing from the text.

Blaga used to say once about the Romanian people that "it is still sleeping its metaphysical sleep" and that there is another question that has to be put, namely whether it has to be awakened or not (2015: 431). We can expand this by saying that, nowadays, increasingly more individuals are sleeping, namely they are not aware, on alert and they should be awakened only to be made aware of the metaphysical side of existence, of the cryptic part in everything.

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## **“Only in My Dreams Could Happen”- A Greek Gay Man’s Experience of Intimate Relationships in a Country that Has Just Passed a Same-Sex Union Law; a Qualitative Study Using Interpretative Phenomenological Analysis**

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### **Abstract**

This study investigated how a Greek gay man experienced his homosexuality over the course of his life, while living in Greece. Research has shown that sexuality does not play an important role in variables such as intimacy, and love (Elizur & Mintzer, 2003; Wagner, Remien & Carballo-Dieguez, 2000). Social and cultural parameters however affect sexuality acceptance and psychological wellbeing (Bader, 2009; Wight, LeBlanc & Lee Badgett, 2013). In the Greek society many gay men over the years chose to conceal their sexual identity out of fear of harassment (Veremis et al, 2013). Greece however has just passed a new same-sex union law aiming at giving equal rights to homosexual couples. This study based on a single interview case, aimed at interpreting the participant’s reality under the premises of Interpretative phenomenological analysis. The participant, a 42 year old gay man, participated in an one hour semi-structured interview. Four themes emerged as a result of the transcript analysis; the need to be normal; time as a construct in his life; the importance of micro and macro environment; dealing with feelings and emotions. The participant’s need for safety and comfort, the emotional implication from lack of it, as well as his positive emotions as a result of intimacy, love and wide acceptance have emerged from the analysis of the theme “dealing with feelings and emotions”. The findings of the analysis are supported by existing literature. The nature of this qualitative study has helped the researcher to give voice to the participant and to analyze his experiences and concerns from a psychological perspective (Larkin, Watts, & Clifton, 2006).

**Keywords:** Only in My Dreams Could Happen a Greek Gay Man’s Experience of Intimate Relationships in a Country that Has Just Passed a Same-Sex Union Law a Qualitative Study Using Interpretative Phenomenological Analysis

### **Introduction**

#### **Love and Intimacy**

The need for love and intimacy is one of the biggest concerns of human life (Horney, 1967; Maslow, Frager & Cox, 1970; Sternberg, 1986; Giddens, 2013). Human beings are seeking relationships and bonding since the day they are born; they identify with caregivers, and they develop their sexuality in early childhood (Belsky, Steinberg & Draper, 1991). During adolescence people explore their sexuality and most people conclude on how they want to identify themselves sexually (Giddens, 2013). As sexual awareness develops humans are seeking emotional and physical satisfaction through intimacy (Jamieson & Jamieson, 1998). The psychologist, Robert Sternberg (1986) developed the theory of “triangular love” with intimacy, passion, and commitment being its three components. His theory describes intimacy as a state where the partners feel connected, and close to each other aiming at continuous relationship growth. Passion refers to the physical attraction and sexual desire, and commitment refers to a mutual and logical decision for the two partners to be true to each other.

Research has shown is that there are many important parameters that affect intimate relationships. Things such gender roles, attachment style, family support, society norms, culture and religion are important parameters. (Bowlby, 1982; Smith

and Mackie, 2007). Gender may affect perception and experience of intimate relationships (Brody & Hall, 2008). Moreover, micro and macro environments set standards and have expectations (Bronfenbrenner, 2009).

### **Homosexuality, Intimacy and Society**

Sternberg's theory was initially developed for heterosexual partners however research has shown that sexuality doesn't play an important role in variables such as intimacy, and love (Elizur & Mintzer, 2003; Wagner, Remien & Carballo-Dieguez, 2000). Flowers et al (1997) concluded that within the context of romantic relationships gay men thought of commitment, trust and love as more important as their own health.

Very often, social, cultural and religion restrictions present sexuality as something shameful and forbidden having as a result compromising and confusion and repression (Bader, 2009). Peer and family pressure can create stressful situations when it comes to sexuality; many times gay men feel pressure and they are negatively criticized (Bader, 2009). They are forced to keep their sexual identity secret and they lack support from friends and family; as a result they don't have equal opportunities to openly express feelings and desires (Rostosky, et al, 2004). Gay men interviewed in a small town in the north of England talked about their experiences as adolescents realizing their homosexuality, characterized by statements such as "defined by difference", "self-reflection and inner conflict", "alienation and isolation", "living a lie", "telling others", and "wholeness and integrity" (Flowers & Buston, 2001). Lack of family support brings out feelings of anger, emotional pain, and guilt which in turn affect forming of intimate and committed relationships (Rostosky, et al, 2004). This might be one of the reasons that gay couples' relationships differ as far as attitudes and practices goes (Adam, 2006). Many gay men in order to avoid hurtful family encounters are likely to try to engage in emotionless and meaningless sexual encounters avoiding this way exposure to possible intimacy and commitment (Green & Mitchell, 2002). Spoiled identity also comes as a result of social stigmatization, and many times gay men are trying to engage in heterosexual relationships in order to avoid this stigmatization (Goffman, 1963).

### **Support and acceptance**

Peer support and strong friendships help men develop coping strategies and allow them to normalize feelings of the situation they encounter (Blair and Holmberg, 2008). As difficult as the process might be is equally liberating, allowing gay men to be true to themselves and to the important people in their lives (Brown, Ramirez, & Schniering, 2013). In turn, they tend to allow themselves to embrace their sexuality and to allow themselves to experience intimacy if they chose to do so (Giddens, 2013). Some men choose long term commitment and marriage when allowed by law.

Social support may have a tremendous influence in many different psychological factors (Ryan & Deci, 2001). Resent research has shown that social networks are an integral part in emotional support. Continuous and open communication among members helps them to deal with feelings of loneliness and despair (Berger, & Mallon, 2015). In addition wide acceptance and legalization of same sex marriages can have positive psychological affects to the members of gay community; a recent study showed that married gay couples have shown diminished psychological distress when compared with couples not in any type of legal unions. (Wight, LeBlanc & Lee Badgett, 2013).

### **Homosexuality in Greek Reality**

The feeling of belonging is vital to happiness in many different collectivistic societies; family bonds, friendship, and social acceptance affect self esteem and life satisfaction (Shaffer, 2008). Greece is one of these societies; tradition; strong family values, intertwining between culture and religion, are some of the core characteristics of the Greek reality. Greece is also a rather conservative society and the homosexuality hadn't been a topic discussed openly. The "Citizen's Defense of Greece" reports, that individuals identifying as gay/lesbian are often being harassed in their work environment by coworkers and supervisors. As a result they often choose to conceal their sexual identity out of fear of being ridiculed or even excluded from future advancement. Similarly, they report many bullying incidents towards homosexual students in schools as the school system in Greece does not provide adequate support and education in the subject of homosexuality (Veremis et al, 2013).

In general, the subject of intimate relationships in the gay community has been a taboo for a long time in Greece. Many straight men and women discuss how they experience love however very rarely guy men have the chance to discuss love, intimacy and commitment. Long term commitment in gay couples was not supported by social construct and legislation on same sex unions didn't exist. However, Greece, on December of 2015, passed a new law officially recognizing same-sex unions. The new law gives almost all marriage rights to gay couples other than the adoption of children. It gives to all

partners equal rights in areas such as social security, medical insurance, labour-law related issues as well as in inheritance taxation (Yiannarou, 2015).

### **Aim and Objectives of this study**

While investigating the subject the researcher of this paper has found that there is no similar research done in Greece so far. There are several articles examining LGBT issues from a social construct but none of them focus on how individuals interpret the experience being a gay man in an intimate relationship in Greece. Research on gay intimate relationships has been conducted at other parts of the world but the social construct and culture is not similar to the one in Greece. The lack of research leaves a gap which the researcher of this paper will attempt to explore by giving a participant a chance to actively engage, to express thoughts and feelings on the subject.

The aim of this study was to give a Greek gay man the chance to discuss his experience and the understanding of his experiences. Based on the premise of idiography the researcher of this paper focused not on universal phenomenon but rather on a particular individual's experience (Smith and Osborne, 2003). The objectives were to generate a rich and detailed report on this person's lived experience, views and hopes without biases or direction and to try to understand how or whether social context and legislation affect his experiences.

### **Method**

Interpretative Phenomenological Analysis was used for this study as the main goal of IPA is to explore individuals' experiences through their own point of reference, their own interpretation of situations, of objects and important others of their lives (Pietkiewicz & Smith, 2014). The aim of IPA is to give voice to participants and to analyze their experiences and concerns from a psychological perspective (Larkin, Watts, & Clifton, 2006). IPA draws on phenomenology, hermeneutics and idiography (Smith, 2003). As Crotty (1996) indicates, phenomenology depicts what the participants have experienced and it is of highest importance for the researcher, to gain full understanding of the phenomenon through the participants' point of reference. IPA draws on concepts such as social comparison, use of metaphors use linguistic choice (Smith 2004). As Brocki & Wearden (2006) note, people have an active role in the way they interpret situations in their own life; reality is rather subjective and it's formulated based on individual experiences; IPA aims at exploring this subjective reality, and the perception of each participant (Reid, Flowers & Larkin, 2005; Eatough & Smith, 2006). It is a dynamic process, where researchers should try to remove biases in order to understand, interpret and reflect on the world view of participants (Smith, Flowers & Osborn, 1997; Finlay, 2009; Flowers & Buston, 2001). As Flowers & Buston (2001) explain the researcher should focus on presenting "articulate expressions" representative of themes emerging.

IPA was a suitable approach in this study since it aimed at exploring insights; it did not seek for an objective reality but rather to examine in depth reasons behind beliefs and behaviours (Brocki & Wearden, 2006; Turner and Coyle 2000). As IPA is idiographic, and is concerned with the detail examination of each case in its uniqueness, it was an appropriate method for a single participant study (Smith, 2004). In addition as Smith and Osborne (2003) discuss, IPA is the most appropriate qualitative research method in order to investigate a subject that is rather untouched and there is not a large pre-existing literature on the subject as it was with this study.

### **Design**

The researcher conducted a single semi-structured interview with a Greek gay man. Reflecting on IPA premises, semi-structured interviews allow the interviewee to be the expert in his life (Smith & Osborn, 2003). The interview was audio-recorder using a password protected device and at later time transcribed verbatim by hand. A sample of the transcript is available at the appendix section of the study (Appendix III). The questions that were used were open-ended and non-directive (Appendix II). The interview was conducted in the English Language. Interpretative Phenomenological Analysis was used to analyze the data.

### **Participant**

The participant was a 42 years old gay man. It was important for him to be called by his real name rather than using a pseudonym, however in order to abide by ethical rules and guidance his name has been altered and he is referred to as "Akis". Akis used to work at a high profile position in the public sector, but 6 years ago he quit that job and since then he works as a therapist in Greece. He is currently in a long term homosexual relationship with his partner of 13 years. The participant is a personal acquaintance of the researcher.

## Procedure

Ethical guidelines as laid out by the British Psychological Society and the University of Derby were followed. The researcher has submitted for approval an ethics form, including the questions that were used for the interview (Appendix I). The participant was initially approached verbally by the researcher. He was informed of the purpose of the study and he was given the list of questions to be discussed shall he would choose to participate in the study. As he agreed, he received detailed information on ethical considerations, on anonymity and confidentiality, his right to withdraw and the right to have access to the final report. He was asked to sign a consent form and a two- hour time interval was booked for the interview in order to ensure time aplenty for the participant to ask questions, and feel at ease and not rushed (Pietkiewicz & Smith, 2014).

## Material

The questions that were asked include both general questions but also personal relationship questions. An interview schedule with some possible themes for discussion was developed based on the researcher's reading of literature; however the interview schedule was just a basis for the interview and it didn't intend to be prescriptive and limiting (Willig, 2001). The questions discussed were open-ended and in certain cases prompts were included. Some of the questions the researcher asked were; "When did you begin to be aware of your own sexuality", "Where do you find support", "How do you personally define intimate relationships", "How do you feel about the new law on same sex unions in Greece? This was a face-to face interview that has given the researcher the opportunity to practice active listening, to focus on body language, expression of emotion and tone of voice. An audio recording device was used to record the interview. Pen and paper was used for the transcription and analysis of the interview.

## Analytic Strategy

Data analysis followed IPA guidelines and processes as per Smith at al. (1997). The researcher listened to the interview multiples times and after the verbatim transcription of it, she read and re-read the text, making notes. The researcher tried to grasp the essence of the participant's words by engaging in an interpretative relationship with the data (Smith and Osborne, 2003). Reflecting on emotions, identifying possible presumptions and judgments were important element of the analysis. This way judgments were removed, and identification of themes and possible connection between these themes were possible (Reid, Flowers & Larkin, 2005; Smith and Osborne, 2003; Willig, 2001). The goal for the researcher was not to categorize data but to comprehend using her own "interpretative resources (Brocki & Wearden, 2006; Smith, 2004). According to the philosophy of double hermeneutics a researcher needs to dive in the world of the interviewee and to decode the meaning that he has given to his experiences as individual meanings are a key component to lived experiences (Pietkiewicz & Smith, 2014). The researcher whilst coded the interview transcript depicted phrases and linguistic elements, noted different remarks and reflected on emotions and feelings. Many different themes emerged, and while seeking relationship among them, cluster themes were created (Pietkiewicz & Smith, 2014).

## Analysis

During the third stage of the analysis, the researcher established connections between 28 different preliminary themes and clustered them appropriately. Four clusters have emerged and a descriptive label was assigned to them aiming at conveying the essence of the themes within the cluster (Smith, 2004). A summary table was produced depicting each higher order theme and the subthemes under it. A quote example is presented alongside each theme together with the page number one could find it. The *Summary Table* below, presents these emerged themes: the need to be normal; time as a construct in his life; dealing with feelings and emotions; the importance of micro and macro environment.

## Summary Table

Cluster & Themes	Quote Example	Page number
The need to be Normal		
Being true to himself	"You can call me by my real name"	1
Acceptance	"People will think of it as the color of their hair"	19
Being whole	"It's a mini universe where I can be whole "	17

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Sexuality	"I am quite safe to say I am a homosexual man	3
Times as a construct in his life		
The early years	"NO...we didn't mention such things"	3
Now & the future	"I see how attitudes have changed...it's very optimistic really"	18
Education	"I don't think she will be able to handle it; she doesn't have the education"	11
The role of social media, technology & Arts	"I can now find support groups"	13
Dealing with feelings & emotions		
Comfort & Safety	"I didn't feel safe enough to discuss such matters"	2
Internal struggle	"It was a long struggle...I really struggled to overcome it"	4
Stigma & restrictions	Homosexuality kind of sounds as a medical term"	4
Hostility	"The only thing I remember having to do with this matter was jokes...offensive jokes"	3
Freedom	"It was a lot of despair, like feeling trapped"	5
Loneliness	"It was too lonely...It was TOO LONELY"	5
The nest	"I like the idea of building a nest"	16
Being positive	"...so I was thrilled, I was very happy about it"	17

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The importance of micro and macro environment		
Physical Environment, culture and society	"I come from a small village in Macedonia"	1
Family & Friends	"I am open to all my friends...I wouldn't allow anyone to enter my life if I didn't think he/she will be able to manage"	9
Confinement in the work environment	"I was trying to avoid such conversations"	8
The relationship	"...it's a relationship that is monogamous"	13
Being a mentor	"I am quite passionate about it; to advocate that it can be done"	15
Greece is changing	"I have already experienced this change"	18

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### Analysis of the theme "dealing with feelings and emotions"

One of the clusters derived is "dealing with feelings and emotions". Akis expressed an array of emotions and feelings both verbally but also physically, showing how important was this for his experience. Another reason this particular theme was chosen for analysis was because it is entangled with other emerged clusters. Direct extracts were used for the analysis.

#### Feelings of shame

During the first part of the interview, Akis seemed to be withdrawn and he didn't keep an eye contact with the interviewer. While he was referring to the early years of his life he described how confined he felt having to suppress who he was. He felt shameful about his sexuality as if it was something dishonorable; something that didn't belong to the community he was growing up.

"Noooo!!! I didn't feel comfortable to discuss such matters. It would be too risky, too radical to get in such a conversation".

Akis emphatically said that he couldn't feel secure to discuss homosexuality. He struggled as he was dealing with anxiety and the fear about his emotional and physical well being

#### Isolation

During these early years there were many times he felt isolated; he felt as an outcast and as his hidden sexuality was reason for laughter and ridicule for others.

"The only thing I remember having to do with this matter was jokes (pause). Offensive jokes towards homosexual (pause) references from tv or movies (pause). *Only* as a joke (pause) so I never felt comfortable".

He paused a few times showing pain and frustration about how others viewed homosexuality. He put a big emphasis on the word "*Only*" showing that he felt trapped in an one way street. If his secret would come out, he was terrified he would be ridiculed by his peers.

### **Self-denial**

Looking at his peers he could see that he was different. At the time, this was interpreted as there was something wrong with him, with his desires, and his thinking. As a result, he tried to re-programme himself as a heterosexual. He was in denial, refusing to accept his reality. He was acting as his feelings, preferences and sexual urges didn't exist.

"I tried a lot to overcome it, to make myself, to force myself to heterosexual relationships. I never managed to have one".

He was emotionally repressed which led him to an existential crisis and emotional imprisonment.

### **Self-acceptance and grief**

He was dealing with a hurtful situation and he was sentencing himself to a solitary confinement filled with humiliation and guilt.

"I really accepted who I am, what my sexuality is and what my (long pause) route in life should be only at the age of 26. It was a long struggle...Although I felt it strongly, I also felt I wasn't allowed to be like that, or I wouldn't be happy being like that"

Akis was expressing some strong inner thoughts. He was very emotional while sharing his life journey. The long pause in his speech could indicate strong **feelings of deep grief** or maybe even anger **that words could not describe**.

### **Stigmatization**

Even during the interview, while he narrated his journey he chose to not use words such "homosexuality" but rather to refer to it as "such things", or "to be like that". He seemed to be deeply affected of the stigma that words can bring. When asked about how he feels about the term "gay" he said

"I prefer it. Homosexuality looks like a medical term (thinking) quite tense"

A medical terms points to a disease, to an illness; and even though he emphatically denies the characterization of being ill, he seemed to be in psychological and emotional pain the stigma that words can bring. It's like a burden that he has to carry, making him feel tired and emotionally drained.

### **Loneliness**

Denial brought shame, and shame brought alienation and alienation brought loneliness. The avoidance of emotions and experiences constricted his choices of human contact and of moments of happiness. His social networks were limited and as he was always threatened from stigmatization, he couldn't connect with others. At the same time though, the human need for love and bonding pushed him to take the risk he was so much afraid of up to that point.

"It was too lonely (painful smile). It was TOO lonely (pause) and I came to realize there is no way to cure it. Maybe the only thing I need is to compromise with who I am (pause) so it was mainly despair. The fact that it doesn't change; and the need for love, the need for a lover for someone to walk with"

Akis was very emotional at this point. There was another long pause on his narrative; a moment of recollection and just being. When he spoke again he just repeated the word "lonely"; showing how intense the feeling of loneliness was for him. It was as he went back in time when he had no one to talk to and he didn't feel safe.

### **Disbelief**

Akis' demeanor changed when he reflected on the outcome of his decision. It was almost as if he was still in disbelief and that he deserved and he was "allowed" to have love and happiness in his life.

"Paradoxically I feel quite lucky. It went well. I am one of the lucky guys. It worked". "It was a relationship that lasted, so I am very lucky (pause)I consider myself very lucky".

The choice of his words could imply that he didn't believe in his internal locus of control. He attributed the outcome of his life choices to pure luck and not to all the bravery and hard work he put into it. His words could imply the suppression of feelings of tiredness and pressure he felt working to achieve this, instead of being something easy that comes out of "luck".

### **Emotional and physical safety**

Akis also talked about how fulfilled and real he feels having made his decision to live his life the way he chooses to do so. His emotional outlook changed completely when he was talking about his intimate relationship.

He described the importance of acceptance and physical attachment; the need to hold his partners and be held both in a physical and emotional way. This showed the need for emotional and physical safety and comfort that could outweigh the insecurity and pain that isolation brings.

"Intimate relationships allow you to feel normal, to feel accepted, to feel embraced, to feel comfortable. So it is something you can hide in, you can feel warm in and of course to have sex in, to be loving and caring and all these beautiful things".

Akis has a very clear definition about what an intimate relationship is. For him an intimate relationship has to do primarily with expression of emotions, safety and comfort; He is seeking a secure attachment which will allow him to feel peaceful.

### **Emotions as a result of the new law in Greece**

Akis has also expressed enthusiasm. Feelings of joy came to surface when he was discussing the new same sex union law in Greece. He expressed happy emotions for having a formal permission to have ownership of his own life, to have acceptance and approval. He also showed great empathy for all these gay men that were suppressed not able to be who they wanted to be.

"I was thrilled when it was voted in the parliament. It was much more than what I expected. Because imagine that we had nothing and suddenly we have (pause) something that only in my dreams could happen. I was very happy (pause) and very optimistic that things will change. Apart from the beautiful emotions it is comforting to know that I have options".

Akis' happy emotions are rooted in his need for wide acceptance. It is as he has found an easier path for his life's journey. He characterized the new law as a dream and as dreams incorporate great desires, aspirations, and ideals, he hopes for a better future.

As one may see Akis' experience is characterized by an array of intense emotions that are affected by internal mechanisms but also by his micro and macro environment.

### **Discussion**

The aim of this study was to give to a Greek gay man the chance to discuss the understanding of his experiences as a homosexual man living in Greece. The objective was to generate a rich and detailed report, depicting his experience, using Interpretative Phenomenological Analysis and to gain full understanding of a phenomenon through the participant's point of reference (Crotty, 1996).

The participant openly discussed and self-reflected on many different aspects of his life in reference to his sexuality. Four different clusters of themes have been emerged from the interview: the need to be normal; time as a construct in his life; the importance of micro and macro environment; dealing with feelings and emotions. The researcher of this study reflected on the cluster of "dealing with feelings and emotions", as she interpreted it as core theme in the participant's experience. The findings of the analysis are supported by existing literature.

The participant's experience during his adolescent years was characterized by shame and fear. As has been previously identified in literature, social and cultural restrictions very often present sexuality as something dishonorable that causes humiliation and verbal attacks (Bader, 2009; Ryan & Deci, 2001; Veremis et al, 2013).

The participant reported having to conceal his sexual identity as both his family and friends were looking at homosexuality as a "joke". This reflects on previous research showing that many gay men lacking support from friends and family hide their sexual identity (Rostosky, et al, 2004; Veremis, 2013). Akis experience of emotions is concise to the findings of

Flowers & Buston (2001) reporting that their participants experience is characterized by statements such as “defined by difference”, “self-reflection and inner conflict”, “alienation and isolation”.

Even though the participant is open and comfortable with his sexuality, there were many points during the interview that he referred to homosexuality as “these things”, bringing up the issue of stigmatization. Literature has extensively discussed stigmatization (Goffman, 1963, Veremis, et al, 2013; Bader, 2009); however the participant’s words bring a new insight one how a linguistic choice can affect a person’s wellbeing.

The participant’s statement , that even though coming out was scary and stressful, it was equally liberating, allowing him to be true to himself, coincides with previous studies (Brown, Ramirez, & Schniering, 2013; Berger, & Mallon, 2015; Giddens, 2013).

The participant has exhibited and described an array of intense emotions. As theory indicates lack of family and social support can bring out feelings of anger, pain, and guilt (Flowers & Buston, 2001; Rostosky, et al, 2004 Smith and Mackie, 2007; Veremis, et al, 2013). However, Akis was also able to experience positive feelings as a result of his intimate relationship as Sternberg (1986) indicates in his theory of “triangular love”. He described intimacy as a state where he feels connected, and has a common path in life. He spoke of commitment, as previously indicated by Flowers et al (1997), as a state of trust and love. The participant also talked about how important the feeling of belonging and safety is for his wellbeing as Shaffer (2008) has previously discussed on a study examining happiness in collectivistic societies.

Akis has also experienced happiness, hope and optimism because of the new law in Greece. He described feelings of comfort and safety and less stress. This is supported by literature showing that social acceptance affect self esteem and life satisfaction (Shaffer, 2008; Wight, LeBlanc & Badgett, 2013). As the law of same sex unions is a relatively new development in Greece, the current study adds to previous findings the knowledge that the new law has a positive affect in feelings of safety and comfort.

The contribution of this study is that it added, to existing literature, insight on how a gay man in Greek society has experienced similar emotions with gay men around the world as a result of lack of acceptance and understanding. In addition it supports an optimistic outlook that solutions are possible; that there is hope that the gay community can find happiness through intimacy but also through acceptance. Aki’s message is that inner conflict deriving from social stigmatization lead to isolation, feelings of loneliness and despair. The findings of this study emphasize the importance of these psychological implications. Social networks, education and support can be the only solution to the problem of stigmatization because of sexual preferences. The creations of formal social networks supporting the gay community as well as new therapy approaches as the Pink Therapy can significantly contribute to acceptance and support. Social justice and equality on national and international levels are of great importance in order to support and protect gay rights.

The chosen methodology for this study depicts the importance of using interpretative phenomenological analysis in order to explore in depth how a participant is experiencing his reality. Through this, the researcher was able to explore many deep levels of the participant’s psychological constructs in relation to a social and cultural context. As a theoretical contribution this current study intelligibly examined the participant’s complex and dynamic emotions which are integral part of thoughts and actions (Eatough & Smith, 2006)

One limitation of the current study is that the analysis was limited in only one higher order theme. Many other theme cluster have emerged during the interview and it would be of great importance for one to examine them as reach material have been discussed by the participant. It would be of high importance to examine the role of times in the subject as well as how deeply socio cultural elements can affect ones reality.

Future research on the topic can consider doing a follow up interview after a period of time trying to examine how the participant continue to experience emotions through developments in his micro and macro environment. In addition further study on the subject could include different other participants from the LGBT community in Greece that would allow to examine how they understand and experience their reality.

In conclusion the researcher of this study aimed at investigated how a Greek gay man experienced his homosexuality over the course of his life in Greece; a country that has just signed a same sax union law. The nature of the qualitative study, using interpretative phenomenological analysis has helped the researcher to give voice to the participant and to analyze his experiences and concerns from a psychological perspective (Larkin, Watts, & Clifton, 2006). This was achieved through

a dynamic process, where researcher self-reflected (Appendix IV), removed biases and reflected on the world view of participant (Smith, Flowers & Osborn, 1997; Finlay, 2009; Flowers & Buston, 2001).

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## The Scents of the Child, Memory and Children's Books: Alternative Perspectives in Culture and Teaching Methodology

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### Abstract

This study reflects on theories and practices of scented/smelly books as a fact which could give new perspectives in writing for children and creating children's books. This impact can be an alternative methodological tool for children's learning at school. Smell has very high retention rate in the learning process that influences the memory of a story and the impact to children's imagination and experience in the world around. This forgotten value at school textbooks can be re-examined from specialists. Scented books as a teaching strategy and a methodological tool reveal how children can represent memories and express themselves effectively in a language class with the help of using smelly books. In our study we expected children to remember the main or essential points as a bottom-line of story plots when scents were involved between the child and the book. Perfume literacy in children's book and the e-book industry refer as theoretical components in our study and are described in detail. It is true that civilization has cost people a valuable sense. A nose alphabet could also arrange things in different perspectives for young children.

**Keywords:** The Scents of the Child Memory and Children's Books Alternative Perspectives in Culture and Teaching Methodology

### Introduction

*"Smell [...] is a highly elusive phenomenon. Odours, unlike colors, for instance, cannot be named – at least not in European languages. 'It smells like...', we have to say when describing an odour, groping to express our smell experience by means of metaphors. Nor can odours be recorded: there is no effective way of either capturing scents or storing them over time. In the realm of olfaction, we must make do with descriptions and recollections."*

*(C.Classen, D.Howes&A. Synnott, Aroma: The cultural history of smell, UK: Routledge, 1994, p.3)*

Compared with other functions people rely very little on smell. We rather limit ourselves to perceive the world with the help of vision and hearing, while we attribute to sniff a secondary role, for example, do not use to find our way, nor to identify the unmatched us. However babies recognize their mother by smell and adults are aware subconsciously from the forgotten scent that suddenly enters their nostrils can cause invoking memories and intense emotions.

Scientists have tried to decipher the alphabet of odors. The discovery of odorant receptors spurred many new investigations into the mammalian sense of smell. When educators try to put this knowledge in everyday life of school children, a lot of experimentation can occur, (Ferrero et al, 2011).

Light the secrets of smell recently dropped U.S. researchers at the Medical Institute Howard Hughes Harvard University in collaboration with Japanese colleagues of Life Electronics Research Center in Amagasaki. Investigating how the nose – which has a relatively small number of odorant receptors, ( proteins, which are found in certain cells of the epithelium of the nasal cavity and which " capture " molecules arriving there) – able to recognize and distinguish thousands of different odors , professor Linda Buck and colleagues decoded the mechanism of smell . According to an article by researchers in the journal «Cell», the sense of smell in mammals is based on a combinatorial approach to the identification and registration of odors. Instead, i.e., corresponding to an olfactory receptor in each odor, olfactory system utilizes an " alphabet" of receptors in order to create the identity of smell perceives the brain,( Buck & Axel, 1991).

As explained Mrs. Buck , "any container used again and again in order to fix an odor , just like the letters used most often to form different words . As to the language, the system utilizes our olfactory receptor combinations (combinations correspond to words) so as to reduce the number of receptors (letters), that are needed to yield a wide range of odors.(vocabulary)".

Creating codes resulting from the combination of simpler units is not unknown in nature. Of the four 'letters' of the genetic code, (A - adenine, T - thymine, G - guanine and C - cytosine) is formed to an endless number of sequences of genes. However, this is the first time demonstrated how the nerve cells that make up the mammalian olfactory system using same approach. The input from the millions of sensory cells in the nose creates an electrical pattern in the olfactory bulbs, which act like a switching station. From there, the messages containing coded smell information are relayed to various parts of the brain. Many of the nerve pathways lead to the temporal lobe, which stores memories, while others connect with the most ancient parts of the brain that deal in the traffic of emotions, sex, appetite and survival behavior. We sense the smell of fear and other emotions. The researchers are discussing this option to identify genetic signatures in the neurons involved in fear responses. If they find unique molecular signatures for these specific neurons and if those signatures occur in humans too, such discoveries could lead to a better understanding of stress disorders, such as PTSD and depression, Buck noticed and perhaps even point to novel targets for therapeutics (2016). In future this can change all we know about the children's literacy and human knowledge and the interpretations of children's books. There is already evidence suggesting that other scents, like rose oil, can block the fear response to predator odors. Buck's research team is currently working to uncover the neurons that could suppress stress hormones and the fear response in rodents. (Kunio Kondoh, Zhonghua Lu, Xiaolan Ye, David P. Olson, Bradford B. Lowell and Linda B. Buck in *Nature*. Published online March 21 2016 doi:10.1038/nature17156).

Ethnographic data of how children learn illustrate that smell terms have detailed semantics tapping into broader cultural constructs. Contrary to the widespread view that languages cannot encode odors, the Maniq data show odor can be a coherent semantic domain, thus shedding new light on the limits of language, (Wnuka & Majida, 2014). The recognition of the existence of the alphabet enabled U.S. researchers to provide answers to practical questions. Scientists observed that molecules with similar chemical formula activate different combinations of cells in the olfactory epithelium. This explains why the octanol smells like orange, while octanoic acid smells as sweet. Correspondingly, there is also observed that increased concentrations of the same substance trigger greater variety of cells of the olfactory epithelium. As features Ms. Buck, the novelist on odour science said, "It is a matter of the alphabet." This notion inspired us to try a kind of odour alphabet for children that learn to read.

### **Creating the ABC of our nose as readers**

From the ancient time and the Greek philosopher Plato till some decades ago there has been the common belief that the experience of a smell is impossible to put into words. But the studies confirmed by observation of scientists have focused on participants from urbanized Western societies. Cross-cultural research suggests that there may be other cultures where odors play a larger role in learning as an education, (Burenhult & Majid 2013, Fendt et al., 2016, Classen et al., 1994).

In recent years Professor Linda Buck and colleagues posing a series of logical questions unraveled the tangle of smell, culminating in the discovery of the alphabet. According to an American researcher, their main goal was to investigate the mechanisms and strategies used by our olfactory system to stand the smells. Thanks to their efforts we can now follow the path of odor from the nose as the nerve centers of the brain: as scents entering the nose meets the olfactory epithelium, a cell line that lining the nasal cavity. It is estimated that about five million olfactory nerve cells are located in the olfactory epithelium. On the surface of each of these nerve cells is only one out of 1,000 different types of olfactory receptors. The hiring of odor receptors has therefore activation of nerve cells and their bearing signal transfer to other nerve cells in the olfactory bulb (Buck 1991, 2016, Doty & Laing, 2003).

It is a brain structure that is the focal point for the perception of odors. From there the signal travels so nervous to the cortex, which manages conscious processes and to the centers of the brain, which are associated with the creation of emotions. This explains why an odor besides an actual information, being able to wake up and emotions. For example: the smell of hot milk probably takes adults back in their childhood, (LeDoux, 2012 Datta et al., 2011). It is worth noting that the structure of the nerve cells in the different levels of the olfactory system is different. Thus, the olfactory epithelium of the nose there are four different areas, each of which are randomly olfactory nerve cells characteristically olfactory receptors. In other words, an olfactory receptor found only 25 % of the nasal epithelium, but in this zone the location is random. But then information of all the olfactory nerve cells with identical receptors concentrated in the same places in the olfactory bulb, (Brookes et al 2007).

According to Buck, the dispersion of receptors in the epithelium, preserving the sense of smell in cases where a portion of the damaged (for example, after an infection), while at the same time, the convergence of messages from thousands of olfactory cells with the same receptors in certain parts of the brain increases our sensitivity to low concentrations of odors

and allows detecting odors even when they are in the environment at low concentrations. Through her research which was for many years, Buck was able to determine how the brain processed different types of smells. She made a portrait of how the brain's olfactory bulb functioned. In 2004, Buck and Axel were named co-recipients of the Nobel Prize in Physiology or Medicine "for their scientific achievements as odorant receptors and the organization of the olfactory system. In 2008 Avery Gilbert gives us a more detailed guide of information about "What the Nose Knows: The Science of Scent in Everyday Life".(Gilbert, 2008).

### Introduction

In Greek folk wisdom, the smell is associated with higher mental functions such as perceptual ability and understanding. The allegorical Greek expression "got someone or something scent" (*τον πήρε μυρωδιά, το μυρίστηκε*, *ton pire mirodia, to miristike*) characteristically confirms this view. The smell 'captured' by the nose is the sense organ of smell, the sense which protects the body from harmful odors, such as poisonous gases (Kratskin & Belluzzi, 2003). In Crete island in the Mediterranean area there is a weird, kind of uncommon for the rest of Greece formulaic phrase to express the verb "I smell" in the words: "I hear smells". This can involve a more detailed aspect of the way other senses such as hearing serve olfaction.

The operation, though considered simple, is based on the specialized structure to capture and transmit rapidly olfactory stimuli. Specifically, upon inhalation into the nasal cavity entering aromatic molecules of various odors are dissipated in the air. Aromatic molecules stimulate the hairy body area, which stimulates pulsed olfactory neurons. These transmit successive stimuli in the olfactory bulb from which the olfactory nerves travel to different brain centers where their identification is to determine the reactions of the organism to these (Firestein 2001).

Human memory has the ability to record a large body odor which keeps for a very long time arranging them in pleasant or unpleasant - harmful and linking them by association with incidents of everyday life, people or environments. This can make reading literature and involving scents a very personal issue. The ability to smell is a normal function (Kaiser, 2006).

Scents are a cultural component of understanding the world around us: Historical references, (Keller & Vosshall 2004, Burr 2003) emphasize the use of perfumes in antiquity for perfuming a place of worship or halls. References e.g. divination in the stifling atmosphere of incense or the Function Rooms, mysteries or symposia in which herbs from different parts of the then known world flooded the atmosphere, are the texts of many writers of antiquity. As we already noted the olfactory stimuli leaves strong and lasting impressions mnemonic. In fact, it seems that exploited and ecclesiastical environment where incense is one of the 'raw materials cults' implies how often a student may like going to the church. How can the scents of the church influence the memorization of the story plot and how much the reader liked the story? It may depend on the feelings of the reader for the implied smell in the story and the relationship of the reader with this smell in real life, (Ferrero et al 2011).

Something similar happens in all places of worship, Christian or in mosques, and temples of all religions, especially the ancient eastern where all the senses are stimulated simultaneously, immediately after the entrance to such spaces. Statues, paintings, beautiful architectural or elaborate utensils attract eyesight creating admiration. Melodic sounds delight hearing and scent of incense and offerings of flowers with intense fragrance permeate stimulating atmosphere pleasant smell. At the same time, the gloss by the sense of touch of the barefoot shoe creates feelings of hospitality, security and warmth. Finally, the sense of taste pleasantly excited as believers partake participating in an ecstatic ritual thanksgiving character, (Menashe et al, 2003).

The cultural component of ecclesiastical model freshening indoor worshipful living, bringing together for a reasonable period of several dozen believers seem to adopt today and the modern way of organizing the workplace, space habitation, commercial stores and children's books. The trend freshening area tends to spread in open shops, services etc. The long coexistence of workers in the same place inevitably creates odors. Such an atmosphere does not contribute positively to the development of a healthy communicative framework.

A "smelly" workplace e.g. discourages cooperation among employees. Something similar would happen to a home environment where guests will be looking despite the time to leave. Similarly, a commercial - economic environment, such as a shop selling goods or a bank branch, may repel customers, possibly because they would associate with negative connotations and their unpleasant experiences, (Schilling et al, 2010).

Especially for seasoning, the premises has developed huge chemical industry with various aromatic deodorant formulations for every taste , because it has been observed that each man expresses different preference to a particular type of deodorant perfume , which of course chooses . The same applies to the choice of fragrance deal with body odors, as we saw above.

Consensus is the fact that the scent associated with something healthy, pleasant, healthy, safe and harmless to health and generally positive emotions as opposed to the stench that usually emerges from deterioration and rotting. So, by association, the smell associated with life and with the stench of death. This allusion explains why modern flavoring industry and its products worldwide are welcome and extended pouring more and more consumer goods. The sensor captures the smell pleasant odors which connects joyfully past or accept as unprecedented. Somehow, seductive scents work well; not only attracts attention to their emission sources but also affect the purchasing consumer. Commercially e.g. areas of shops flavored, while the goods themselves emit a smell. The smell of new clothes and the shoe is typical. The smells in the detergent section of stores from cleaners or deodorants for any space or object is marked as diffuse tens of perfumes at the same time , which are chemical imitation fruit , flowers or herbs for every taste . In place of the daily diet, diffuse intense natural or artificial odors as amplification products of taste, which is associated with olfaction. Bakery and pastries, coffee, tobacco, gasoline, books, newspapers , each emits a unique natural aroma , a united smell , which is certainly stronger in the sales area of each product . Could we predict a book's success in sales from its odor? This could be one of the reasons that readers like reading a storybook, especially in children's industry, (Keller at al, 2007).

Each room has its own distinctive odor depending on the items or products it contains. It is possible in our opinion that school class could affect children's willingness to read stories or does the school work at this function. Every man or every house smells differently. But how "different" is the atmosphere among butchers , fishermen , pharmacies , hospitals , schools , cafes , libraries , clubs , casinos, electrical goods stores or automotive , hairdressing , hotels , police stations , barracks , canteens , restaurants, transportation . There differentiate odors in any room or whether this occurs because of different olfactory capacity of each? Scientifically we put a number of questions that modern science of neuropsychology studies lodges more enlightening answers and education can take advantage of them or estimate this evidence in teaching methods of an unseen emotional and memorizing alphabet - language of odours.

In the education sector, have already penetrated the flavoring industry products aimed, of course, selling and profit. Erasers with varied and pleasant aromas, markers with fruit flavors with aromas of flowers, stationery etc. are some stationery items that attract the attention of children who 'convince their parents to buy them regardless of their usefulness or appropriateness. In the field of electrical engineering trade - attempt if not already achieved - construction televisions and computers which, apart from the image and sound will emit odors whereas in this way the viewer or the operator may be experiencing the multisensory ' virtual reality '. In the automotive industry has already tapped the ' aromatic power ' in order to attract buying interest of customers for this type of car whose cabin flavored appropriate to engage the buyer's preference .This use of ' aromatic power ' also utilized in the most profitable way to programs aromatherapy (aromatherapy), which " sell " fragrances for mental well-being to physical relaxation and relief from daily stress, (Roberts&Williams 1992).

We mostly followed the examples of the older scientists who had twenty-two subjects asked to visualize positive and negative phrases following exposure to either chamomile oil or placebo. Chamomile oil significantly increased the latency for all images, and shifted mood ratings and frequency judgments in a more positive direction, suggesting a possible mode of action for such oils. Also, in other cases in reading and memorizing the plot - experiments with children; subjects were exploited and fragrances were used for this purpose, (Roberts & Williams 1992, Smith, 1992). We also tried to use stories that children could be interested in and also to present them in a play-training project in reading classrooms.

#### **Our Hypothesis:**

1. Normally, olfaction can help children in memorization and understanding of a story,
2. Scents can help express a detailed narration in context.
3. Fairy tales may have scents in descriptions and function characteristically in Greek Literature.

#### **Our Method**

Ideas for engaging students' sense of smell as they explore the world include the *Safe Smelling Method of wafting (waving) an odor towards a nose* with the hand instead of sniffing directly from a container. This sensory method was used in order to detect nice odors for children that participated in our study. These scents were included in reading material through

storytelling-and listening and reading fairy tales in two ways: Scents as a physical presence in the room/classroom and scents in the symbolic language of the book, (story heard or read).

We encouraged children to tell a story without the stimulation of scents and then with it. So as we find differences or changes in their speech (oral or written).

Another research of how smells function in typical fairy/folk tales from the Greek geographical region gave us enough teaching material for the case.

### **Duration of the Study**

Three months, (From September to December 2014) and three months for testing the memory in relation with the story for a longer period of time, (January to February 2015).

Place: Typical classroom where we used aromatherapy device in accordance with scents that children like (chocolate, vanilla, strawberry, bergamot, lemon, apple) and are known as helping tools for relaxation, concentration, memory (basil rosemary, geranium, jasmine, rose, neroli, ylang ylang). Before each session we opened the windows for fresh air and created the scents of memory at first level and the odors of the story at second level.

### **Description of the study**

At first place there was only one vivid scent that was connected to a story. Children which were between 8-10 years old as an experimental group of 60 persons in comparison with the same number of a group at the same school seemed to recall more information with the presence of scents than without scents (short term memory). After the past of months they remembered a more detailed and rich narration of a story when the scent was present in the room which gives us a connection between verbal ability and the application of stimulating the sense of olfaction.

We also tried to see if this verbal capacity is affected in writing. This is why we asked children to write the story instead of telling us. Writing involved fewer mistakes in syntax and morphology of language and a better vocabulary. The content of the story had episodes in detailed description of pictures and persons and children tended to involve other senses in their writing (What the hero was looking like, what was heard at a moment). Especially, to children with a low assessment the results show that senses can help a better linguistic result in terms of a multisensory education by introducing smelly books to young readers and writers. Plot, persons, places, time and incidents of the story were examined in particular items of the children's language. In many ways, expressions of the children were borrowed from the stories we worked at the first three months of the experiment.

Examples of children's language at children's discourse analysis:

"The bird had the glance of the grass as it smells early in the morning moist", (Andreas 9)

The burning fly donated to the hot air a scent of freedom. When the prisoners in the cave smell it; they escaped, (Sophia 10) before they put in a tomb their chains of slavery and promised each other to live happily ever after.

"Get out of here you stink as a badger (8, Marissa)

-But I am a badger"/ Can you tell me how it smells?... (Orestis 10)."

The sun smells like a lemon (8, Maria)

"The hawk smelled the fear of the bee and helped her find the treasure in the precious egg- looking flower". (Alexandros, 9).

### **Discussion -Conclusions**

1.From the above remarks and our experimentation with scents in class it follows conclusively that olfaction is a sensation that probably contributes to the realization of non-verbal communication. It relates both protecting the individual from biological threats and secondly by developing psychological and emotional bonds to what can be reflected to language communication whenever scented literature is involved.. It therefore appears that the smell can be availed in various communication environments and diverse circumstances. As mentioned in section to flavor space, materials and body, already the production and use of chemical olfactory stimuli has to get well in everyday life consumer consciously contributing under the merchandising, the marketing and promoting over-consumption and therefore profit.

2. The smell is involved in trade marketing, is a fundamental component of interpersonal relations, signing agreements, politics and diplomacy, the fun, the desire of residence or stay in a certain room etcetera. It can be an educational good and an artistic clue between the child and the book at school settings.

The smell is so heuristic in its function that it could be effectively utilized for better adaptation to diverse environments and even in places where many people come together, such as public services, hospitals, asylums, etc. Could be harnessed systematically and in education either as a reinforcing agent in the context of sensory acquisition of knowledge or as a means of recruitment deodorant reasons for addressing odor which creates positive feelings and therefore attracts the children in the area of learning and education, if configured right communication environment.

3. It could finally be used more systematically and in the space of bodily hygiene, aesthetics, educational and cultural areas, in health more widely read in conjunction with the application. As we saw above, more and more research in this area highlights the psychosomatic therapeutic and intelligence effect of perfume, especially natural, this can both blow off student's stress and to create a sense of security for children in learning environments. Spearheading the new initiative as a strategic partner is experimental psychologist Professor Charles Spence (2007) who runs the Cross modal Research Laboratory at the University of Oxford. Toby Hoare, CEO of JWT Europe called sensory marketing "something different and increasingly relevant". Professor Spence worked with JWT to evaluate and develop a multitude of sensory marketing implementations, including tactile packaging design, color choice, scent and sound/music. Our opinion is that such an experimental use could be a teaching strategy of language and literature approach. Spence has consulted for Unilever, Toyota, Starbucks, VF Group, and Nestlé, on multi-sensory design, branding, and communication. Some of Spence's previous work has focused on designing foods to optimally stimulate the senses and the effect of indoor environment on people's mood, performance and well-being. He has also investigated cross-modal ideas, where sensory input is associated with an entirely different sense. For example, one of his lectures asked "Are lemons fast or slow? Is carbonated water round or angular?" Universally, people tend to answer that lemons are fast and carbonated water is angular, as they associate the taste with other sensations, (speed or shape). The Hello Kitty products, and as a scented book is only an example: An industry of books and other products for children have been produced. We find advertisements that call children to "Just touch the surface of the spine of each chunky board book to release the cherry scent". (<http://smellessence.wordpress.com>). Scratch and sniff as a hand-made book prepared from teachers is also an example. The scratch and sniff project of reading classrooms could be an experiment for many schools.

### **The Study's Sequence in 2016**

In our example we involved two groups of children of the same age (8-10) and we asked children to retell a story first, when smells in the room were not involved and after when favorite odors were used for exactly the same procedure with the same children and similar stories in vocabulary, complexity of episodes, number of characters and length of sentences. Stories were of the same difficulty and the only parameter that changed in the procedure was that of the odor involvement. Favorite odors were selected before in a process of interviewing them and children had the chance to try perfumes in order to select the three favorite ones. An otolaryngologist also checked problems of detecting smells with the group of study.

### **Study's Limitations**

Limitation of the study as well as of the experimentation was the possibility of health problems such as allergies to scents or *anosmia*, (which can be detected at the scent of Moschos/musk at 10% of population that shares the problem), a phenomenon related to human capacity to interact with scents, children having health problems temporarily with making sense of smells; (such as a common cold, a flu). Anosmia can be caused by either strong or head injury or even from virus infection (Crawford & Sounder, 1995. Gillyatt, 1997). Gender is also a factor that creates differences in olfactory ability of people. Girls are as our research has shown but and others, too more sensitive to odors and therefore exhibit greater olfactory ability which can perceive even the impending danger from natural disasters. (Ackerl et al., 2002)

The use of smells in our study turned to be an alternative advantage with children that have a physical skill in recognizing scents or they are socially aware of scents in the environment from the very first years (This can be proved from parents' interviewing of family habits in cooking, cosmetics and the importance of scents in their discussion)

### **More Results**

Children's scent awareness can prove to be an advantage for the case of using odors in reading books at school but not with children with a problem in the function of smelling temporarily or not temporarily. This means that can be used as an

alternative method of learning but not as the only one at the same time. Odors and children's memory was checked a month after the first application of the experiment: It became clear that scents are important for children in order to demonstrate what happened in a story and remember person, plot, places or time incidents. Although, it is not clear how gender and children's previous engagement in scent issues influence their language communication while representing a smelly story, it is true that they prefer smelly story- books rather than non-smelly as they told us (56 from the 60 persons ), and they are more involved in stories that denote or express scents in storytelling or writing for children ( 54 persons).

### Suggestions-Discussion

*Smell essence* is a typical leading publisher of 'scented' books for children that are fun, engaging and encourage children to read. This new and exciting technology involves children in the story, as we noticed and allows them to interact with the books on a multisensory level. Children love books that make them laugh and yet will subtly take them on a journey.

The *Fabulous Scented Books* range, using certain patented technology to engage and educate children is another suggestion of working literacy through the senses in class. Some funny stories with a character named *Theo*, the little dog which loses his family is a book example as a global teaching tool. The book "helps" the dog find his sense of smelling so as to find the family and pictures help in this procedure as an activity book for children. Hyde wrote a series of six books, beginning with *Mo Smells Red*. Her latest is *Mo Smells Pink*, in which the dog, *Mo*, smells pink grapefruit bubble bath and pink peppermint ice cream, among other pink things. She tried to use scents that would be safe and hypoallergenic for children, and she settled on essential oils. The oils are dispersed in a "Press 2 Smell" technology developed by Hyde that holds the scent until pressed. Each scent can be pressed up to 150,000 times. This example showed us that in a different culture these attempts can be used adapted to the cultural influences of the teaching strategies and environment.

In addition, to the general children's market, our study agrees with the suggestion that the books have had a great reception from learning disabled and autistic children. Research has shown that they react very positively to multi-sensory experiences and are able to learn better when more senses are used<sup>1</sup>.

Although there are no smelly books in all languages and cultures, teachers can create as teaching tools hand- made storybooks with culturally and geographically common smells or select their alphabet of which smell reminds us each letter of the alphabet.

The area which we introduce and encourage is rather a new in educational experimentation in Greek Schools and the educational tools which help children summarize or recall a story from the smell that reminds a plot or certain episodes of a sequence in a storyline. We assume that **there are probably as many alphabets of odors as the cultures and each one of us can affect in creating such a production**. Publishing for authors and teaching for educators their own *Scratch and Sniff Smelly Book* is a step away of searching what the works in children's memory when other strategies of remembering certain details of a cognitive procedure collapses as a methodology. We suppose that our world would probably be a poor world, if there were not teaching activities without a possibility of a smelling world.

Educators and language researchers can think of all the wonderful 'smells' associated with preparing, cooking and eating food. Children as students or just as explorers of language, especially the younger writers, can add scented ink to the books if they teachers are aware and willing to try what really works in learning language in multisensory terms of memory and cognition. The more senses we use the more real the experience is, as the pedagogy -father Friedrich Froebel encouraged educators since 1800 for using children's play as a freedom to learn, (Liebschner 1992). Humans have four genes for vision, whereas there are 1,000 allocated to smell, which means we have the ability to play with this opportunity and differentiate more than 10,000 combinations of smells. This information adds ideas at the process of searching for teaching methodology and applications in class. Perhaps, a children's scratch and sniff book, cookbook, holiday book, gift book, textbook , promotional book, new product announcement, wedding books, travel book, or many other creative ideas can help educators search how memory works in learning from their experience with the children. Sniff products and book creations are often designed as the most powerful of the five human senses in marketing as a home hobby of reading books and in education as a teaching methodology of sensory language items<sup>2</sup>.

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<sup>1</sup> T. Hope, *Lexical borrowing in Romance languages*, Oxford, Blackwell, 1971, p. 611

<sup>2</sup> Ivan Klajn, *Influssi Inglesi nella lingua italiana*, Firenze, Olschki, 1972., p. 26

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## **Evaluating the Financial Performance Through 'Consumer Centric Decision' Approach in Pharmaceutical Companies of Bangladesh: a Business Planning Perspective**

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### **Abstract**

Pharmaceuticals agglomerations consistently use their brand image and versatile product portfolios to consolidate their position in the financial sector, which is evident in their continuous profit making and expansion in market share. This paper explores the short-term and long-term investment attractiveness through 'consumer centric decision' approach in two selected pharmaceutical companies, Renata Limited and Orion Pharma Limited, of Bangladesh over the last three years' period. This research adopts a systematic approach which primarily addresses the various concerns of investors to illustrate the decision-making process of the existing and future investors. Using primarily domestic transaction data, this study explores how the leading pharmaceuticals companies of Bangladesh effectively use the wide array of drug portfolios mix with appropriate branding techniques to increase their financial profit and market share simultaneously. Both SWOT analysis and Porters Five Forces Model explore the business analysis of Renata Limited in compare to Orion Pharma Limited that provides a conclusion regarding investors' decision to invest in Renata Limited. Considering the financial analysis, Renata's financial liquidity is not very satisfactory and could have been improved further if management is prudent on financial strategy settings. Findings of the business analysis indicate that Renata Limited would be a good investment choice for existing and prospective shareholders based on its opportunities for long term and short term growth and further expansion in developing the market. The results suggest that even lower liquidity coupled with higher interest borrowings can be balanced by posing positive picture to the public shareholders by returning the positive dividend to them.

**Keywords:** Financial performance, 'Consumer Centric Decision' approach, Business Planning

### **Introduction**

The healthcare environment of today's world needs effective management through integrating both the service providers and service receivers (Herist et al., 2011). In recent time, business research has contributed improvements in users' decision making ability through comprehensive investigation and examination of various components which has enabled the users to 'explain and predict' the reasons behind and the outcomes of an investment decision (Hair et al., 2011). As a matter of fact, that still the basis of financial analysis commonly depends on the analysis of financial information provided by companies and analysis of that information both for stakeholders and companies (McGowan et al., 2015). Notably, financial statements of an organization reveal its financial performance, and carry out analysis and evaluation of business and financial performances that significantly assist the organization's decision-making process, in particular, the financial investment plan (Koen & Oberholster, 1999); therefore, the regular evaluation of financial performance is necessary for sustaining the business plan. Because wrong investment choice can lead to losses, and in order to avoid those losses, it is absolutely necessary to make a well-informed decision.

Commonly, business is a process that encompasses from analyzing stakeholder to identify potential risk to the business (Sutton & Selznick, 1958). More critically, a business plan does not merely talk about by performing day-to-day operations,

but also how closely the different stakeholders intertwined to the business plan process (Reider, 2008; Osterwalder & Pigneur, 2010; Harmon, 2014). Moreover, a business plan is a written blueprint of step-by-step activity with all endogenous and exogenous factors involving starting a new venture. It also integrates different stakeholders such as management, investors, and clients on the different levels (Patrick & Suzanne, 1993; Steiner, 1997; Bradford et al., 2008; Pinson, 2014). Furthermore, business plan corresponds to different stakeholders ranging from management, marketing, and financial viewpoint. It can be an initiating tool for a startup or can be used in an already running business to stimulate and progress further (Pinson, 2014; Quinlan et al., 2015). More importantly, the timeline is one of the key issues, which is commonly 3-5 years in a business plan, because both investors and managers always tend to seek profit maximization with minimum financial risk (Eric et al., 1993; Pinson, 2014).

Several other types of research related to decision making through business planning also strongly support the necessity of having an effective business plan, prior to starting new ventures (Delmar & Shane, 2003; Greene & Hopp, 2017). Sahlman (2010) illustrated four key interdependent factors crucial to every new venture: the people, the opportunity, the context and the risk and reward. However, the process itself widely varies depending on the scale of the business company as well level of detail (hierarchically positioned sub-companies). For instance, small companies do not require to perform portfolio analysis, whereas may require extensive competitor analysis to consolidate market position. Nowadays, managers undisputedly using the business plan as a tool for collecting information and disseminating to its shareholders to make a rational decision, and many companies use the business plan and consistently revise to perform better (Wrona et al., 2014).

Consumer-centric decision approach emphasizes the outcomes of business actions holistically in term of environmental, personal and economic well-being of the consumers (Sheth et al., 2010). The application of consumer-centric approach is relatively new in business. However, there is a growing demand to accepting it to accommodate consumers into decision-making process (Payne & Frow, 2005). Advent of information technology with cheap smart devices, business institutions are pushing themselves to connect their consumers through networks to make prudent marketing decisions (Sheth & Mittal, 2004). It is estimated that, by 2020, there will be 20.8 billion connected devices globally, where 63 percent (12.8 billions) of total devices will be used at consumer level (Gartner, 2017). As more consumers, able to access smart devices with internet, business entities are fully focused on forging their business plan combining technology with consumer at center of their business (Hendricks, 2014).

This paper examines the investor's viewpoint to facilitating investor's decision making of shareholding in pharmaceutical industries in Bangladesh. More specifically, the research explores the financial performance of a high rated pharmaceutical company over three years' period and compare the performance of that company with another pharmaceutical company to analyze the financial performance. This paper also analyzes the attractiveness of that selected pharmaceutical company in both short-term and long-term investments to investors. Based on the findings of the financial performance of that selected company, this research evaluates the competitive environment and possible future success of that high rated company through business analysis in order to offer 'consumer centric decision' approach for sustaining business activities in pharmaceutical sectors of Bangladesh.

As investors are concerned with a company's present performance and prospective stability, which is influenced by its specific surroundings (Worthington & Britton, 2006), therefore, this paper encompasses both the financial analysis and the business analysis of the two selected pharmaceutical companies namely Renata Pharmaceuticals Limited, which is termed here as Renata Limited (RL) and Orion Pharma Limited (OPL) of Bangladesh. In examining the business and financial performance of those two selected pharmaceutical companies of Bangladesh, this paper considers three financial years, in particular from 2012 to 2014 to generate comparative scenarios for investment (see Appendix A for selecting the annual report of 2014 instead of the latest ones). In this study, Renata Limited is considered as the prime interest, and to contrast with that primarily interested company, Orion Pharma Limited is selected that also illustrates the detailed evaluation of financial performance. With this research, the authors seek to explore the links between financial analysis and its interpretation with decision making and future business development plan. The overarching question posed in this research is: What financial and business issues are affecting present and prospective profitability and long-term investment attractiveness of Renata Limited to investors through applying 'consumer centric decision' approach?

#### **Profiles of Research Sites: Renata Limited (RL) and Orion Pharma Limited (OPL)**

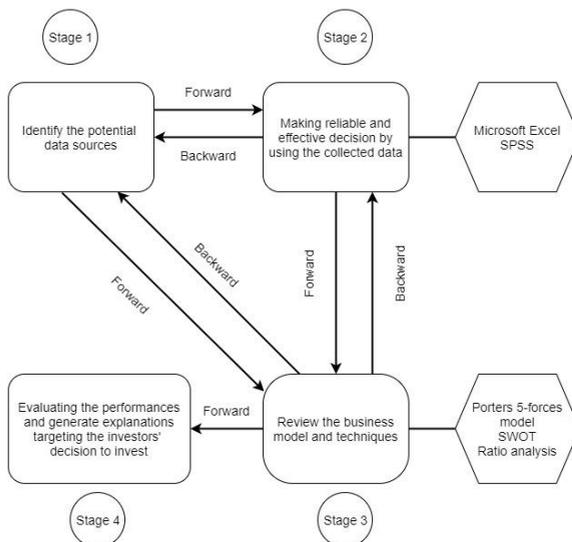
In the early 70s, Pfizer Laboratories (Bangladesh) Limited started its operation in Bangladesh as a manufacturer of pharmaceutical products. The company was listed in Dhaka Stock Exchange in 1979 and was renamed as Renata Limited in 1993 after the transfer of ownership by Pfizer Corporation, USA (RL, 2015). At present, the company is ranked as one

of the top ten leading pharmaceutical manufacturers in Bangladesh in terms of both market share and revenue. It employs approximately 5002 employees (RL, 2015). Renata Limited has approximately 300 generic pharmaceutical products and about 95 animal therapeutics and nutrition products (RL, 2015; Pharma Mirror, 2013).

On the other hand, Orion Pharma Limited, which is previously known as Orion Laboratories Limited, is a company of Orion Group, incorporated in 1965 as a Private Limited Company (OPL, 2015). The name of the company has changed as Orion Pharma Limited after the conversion into Public Limited Company in 2010 (OPL, 2016). The company has reached a portfolio consisting of 115 brands and 250 presentations of various formulations (OPL, 2015). It has been awarded the ISO-9001: 2000 certificate in January 2003 for serving its valued customers with the excellent quality products, and the company has established itself as a provider of branded generic pharmaceuticals among the doctor's community, healthcare professional as well as the patients (OPL, 2016; OPL, 2015).

At present, around 300 pharmaceuticals companies are operating in Bangladesh, and among those 300 pharmaceuticals companies, the top ten pharmaceuticals companies are holding around 68.1% market share. Being the fourth largest market shareholder, Renata is a significant competitor and contributor in the pharmaceutical industry (RL, 2016; EBL Securities Ltd, 2015). The research is grounded in Renata Limited because it holds 5.1% market share of the pharmaceutical industry. On top of that, Renata Limited has one of the highest sales growth rates in the country's pharmaceuticals industry, and for the past four years, the company has been besting growth rate of the industry by certain significant margin (EBL Securities Ltd, 2015).

### Framework of Research



For conducting the financial analysis of a company or for the comparison of a number of companies, the figures must as far as possible be truly comparable (Vause, 2005). Apart from data availability, data accessibility is another the common challenges related to this type of studies. Again, the collection of information and analysis of information both are crucial in financial analysis because “when in doubt do it yourself” approach can produce misleading meaning of the companies. Considering the prevailing complexities both the data collection and data analysis, the authors have collected and used only those materials that are generated from reliable sources with high accuracy. This paper adopts a systematic approach which primarily addresses the various concerns of investors to illustrate the decision-making process of the existing and future investors. A forward-backward approach is applied in order to analyze the collected data and to make constant comparative analysis with the secondary published materials from reliable sources. The forward and backward approach for data collection and data analysis is shown in figure 01.

Figure 01: Conceptual framework: The forward-backward approach of data collection and data analysis

In any scientific research, a systematic process is necessary from being objective and gathering multitude of information for analysis so that research can come to a conclusion (Blankenship, 2010). In this research, we have adopted a 4-stage framework, focusing on forward and backward approach to evaluate our business-planning model. Microsoft Excel and SPSS have been used to analyze sales revenue trends, visualizing profit margin, asset turnover and inventory turnover. Moreover, Porter's 5-forces model, SWOT analysis and Ratio analysis has been used to review the business model and technique.

### **Data collection**

Under the research framework, the authors have explored the appropriate information from reliable sources because information gathering enhances the knowledge of a human being thereby reducing the ambiguity of the seeker (Marchionini, 1995). That is why in an ever changing and rapidly growing business environment, it is vital to identify right information source at right time (Burke, 1995). The authors have collected secondary information for the research, generally considered as the information collected by someone other than the user (Bryman & Bell, 2011). The annual reports issued by the management of a public limited company are the compilation of financial statements of the company and is used to communicate about a company's activities, financial performance, and direction to shareholders (Stittle, 2003). The secondary information for this study has been collected from the annual reports of Renata Limited and Orion Pharma Limited as well as from various other sources such as company websites, magazines, published articles related to pharmaceutical companies in Bangladesh and other published documents related to business planning and analysis strategies. Both Renata Limited and Orion Pharma are listed among the DS30 companies in Dhaka Stock Exchange, Bangladesh (DSEL, 2016). As a means of calculating relevant ratio and providing the interpretation for the results, appropriate financial and non-financial information has been obtained by the author from the annual reports of Renata Limited and Orion Pharma Limited over the last three financial years.

Financial journalists tend to generate expert opinions in investigating the causes behind management decision and the reasons behind achievements of major companies in the market. So, the reliable newspaper is a good source of information to get the whole picture about a company's situation in the market or industry. The online archives of the newspaper are easily accessible and full of information of pharmaceutical industries. The authors, however, have consulted the most reliable newspaper such as Financial Express, and The Daily Star within Bangladesh for this particular study as those contain popular and dependable financial and business related information. Apart from the newspaper articles, a lot of information has been gathered about the pharmaceutical companies from online resources because they keep all necessary information on their websites. There are also some financial websites and research firm websites that have also offered the concise or comprehensive view of the company under consideration. But the sheer vast volume of online information demands careful selection of information from reliable plus relevant websites, and in selecting the primary information, the authors have chosen the official websites of Renata Limited (<http://renata-ltd.com>), Orion Pharma Limited (<http://orionpharmabd.com>), and Dhaka Stock Exchange (<http://dsebd.org>) as the information source for this study. On top, the authors have visited several libraries such as the Central Library of Bangladesh, and Dhaka University Library of Bangladesh located in the capital of Bangladesh as those libraries contain a large number of books and papers on business related issues. The library activities have enabled the authors to search for books and to conceptualize the fundamental concepts behind the figures in financial statements.

### **Data Analysis**

Among the available many tools for evaluating a company, financial ratios are the most valuable tools because they generate a better view of the company's financial health than simply looking at the raw financial statements (Mayes & Shank, 2011). On top, with the application of an extensive business modeling process, a more valuable model can be produced (Tennent & Friend, 2005). Therefore, this paper adopts ratio analysis, SWOT analysis, and Porter's five forces model that are briefly discussed respectively.

According to Paramasivan and Subramaniam (2009), ratio analysis is the key assessor of a firm's financial performance. Financial ratios uncover vital information about a firm that might not have been visible through examination of a firm's financial statements. Ratio analysis helps to determine company's financial position in the industry through 'standardized comparison' (Ehrhardt & Brigham, 2011). Accounting ratios illustrate 'mathematical relationship' amongst two financial figures that have 'meaningful relationship' with one another. The authors have calculated the following ratios to accurately analyze and correctly interpret financial results to meet various concerns of investors: i) Profitability Ratios; ii) Liquidity Ratios; iii) Market Ratios; iv) Efficiency Ratios. This paper accepts that the ratio analysis can be tricky since some ratios

tend to appear satisfactory but in reality, careful assessment of particular factors will show a completely new picture. Also, multidivisional companies operate in various industries that make it difficult to set a standard of comparison and as ratio analysis requires standardized comparison it is more suitable for the comparatively small firm (Weston & Brigham, 1979).

SWOT analysis involves the analysis of a company's strength, weakness, opportunities, and threat. This tool also analyzes of its internal and external parameters at the same time. The model includes the analysis of positive and negative factors present within and outside the company (Böhm, 2008). With the SWOT analysis, this paper highlights the perspective of investors that tend to forecast company's future performance and the perspective of management that is an essential part of strategic business planning. As the SWOT analysis is used in any industry as a future trend detector, the authors used the SWOT analysis for both financial evaluation and business planning. This paper accepts that translating strength and weaknesses into opportunity and threat are not as straightforward as it looks in the model. Also, the model is ambiguous in terms that a factor can be doubly classified as strength and weakness or as opportunity and threat at the same time (Henry, 2011).

Porter's five forces model helps firm's managers with analysis of 'competitive forces' within the industry settings to pinpoint opportunities as well as threats (Hill & Jones, 2013). 'One key determinant of profitability is the extent of competition, actual or potential' (Johnson et al., 2014, p.41). Commonly, in case a company faces the great number of competitors, its profit is likely to rapidly erode. So, for long-term survival of the company with such problems caused by external factors need to be identified properly. As per Porter (1979), there are five forces that affect a company from the outside namely threat of new entrant, bargaining power of consumers, bargaining power of suppliers, the threat of substitute product or service, and the industry rivalry for position among current competitors. This paper considers all these five aspects while analyzing the business planning of the pharmaceutical companies of Bangladesh. This paper accepts that the model of competitive forces only discusses the forces that are negative in nature, but the model fails to identify the existence of such organizations which assist in the success of various incumbent organizations like supplementary organization (Johnson et al., 2014). Also, in this model, an industry is counted as a whole, but an industry can be easily broken down into various layers, and each of these layers can be separately viewed in order to identify the presence of these forces in that individual segment. While analyzing the business performance, in particular, the competitive environment analysis in business planning, the authors considered the above-mentioned limitations to generate reliable and meaningful interpretation in results.

### **Research Limitations and Ethical Issues**

Due to today's highly competitive business environment, management authorities of the company do not circulate all kind of information among shareholders, and therefore, information asymmetry occurs between management and shareholders (Boyes, 2012). Therefore, the authors have faced some limitations in accessing and analyzing the information based on secondary published materials, mostly the free ones. Both companies have extended the accounting period for 2015 to cover the first 6 months of 2016, and they have not published their annual reports of 2015 until 1 October 2016. Therefore, the latest annual reports are not available for the author to use. That's why this research is grounded on the latest published annual reports such as December 2014. This means the used data is more historic than the authors would have liked. On top, this study uses secondary sources of information that are appropriate for that particular time period and industry context, but continuous change in business settings may have caused the information to become outdated. Also, publishing the financial reports are mostly a yearly event by management; the report provides information of previous 12 months, but shareholders are far more interested in knowing up to date information, and this is one of the limitations of the conclusions the authors tend to bring in this research.

The key ethical issue is objectively analyzing and evaluating the information, and by doing so the authors intend to reach a clear conclusion. Also, the authors need to illustrate the results obtained from the study of the published materials. Therefore, the authors have included certain relevant business models and financial ratios for making a constant comparison with the published materials. The authors have collected information from online sources and have accessed several companies' websites that primarily explains the interests of the companies.

### **Results and Discussions of Findings of Research**

The authors have illustrated the outcomes of the financial and business analysis that offer an opportunity of computing figures and interpreting, comparing and analyzing the underlying causes of either good or bad performance of Renata

Limited (RL) and compare the performance with competitor namely Orion Pharma Limited (OPL) (see Appendix B: Appendix of Financial Statements for analysis and calculation in MS Excel).

## Financial Analysis

### Sales Revenue

Sales revenue represents the income generated over a specified time period from selling goods and rendering services (BPP Learning Media, 2009). Renata's performance over the 3-year period has been underpinned by very strong growth reflected through 44.69% increase in sales revenue since 2012. The key reason for this excellent performance, culminating in a year on year increase of 26.75% in just one year between 2013 and 2014, was largely due to concerted efforts on brand building to position itself in the right segment of the market (RL, 2015; RL, 2014; RL, 2013; Appendix of Financial Statements). In 2014, there were severe political unstable situation in Bangladesh due to uncertainties regarding the parliamentary election in January 2014. It started in late 2013 and continued in the first quarter of 2014, though Renata Limited experienced developments in that situation. For example, Renata Limited has initiated new product development in pharmaceuticals as well as in animal health, expansion of foreign market and local sales, better performance of subsidiaries (RL, 2015).

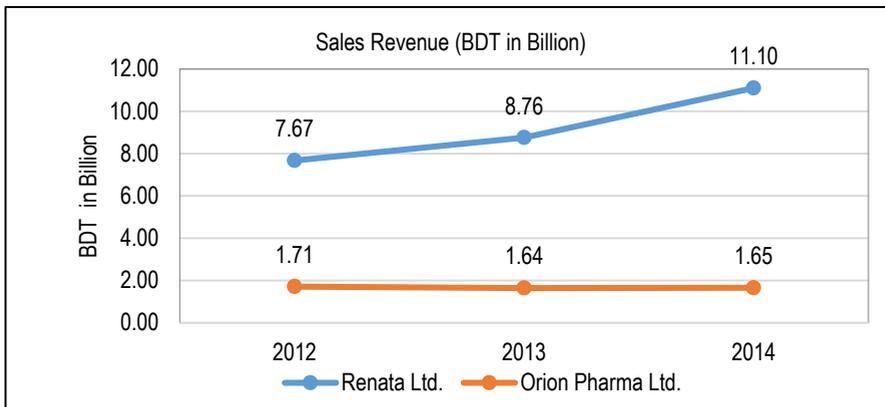


Figure 02: Trends of Sales Revenue

Source: RL, 2015; RL 2014; RL 2013; OPL, 2015; OPL, 2014; OPL, 2013; Appendix of Financial Statements

The revenue of Orion Pharma Limited has increased slightly in 2014. The revenue was 1.71 billion in 2012 decreased by 4.00% and stood at 1.64 billion in 2013. Revenue growth started rising in 2014 as well and stood for 1.65 billion, an increase of 0.72% over 2013 (OPL, 2015; OPL, 2014; OPL, 2013; Appendix of Financial Statements). Primary reason for lower sales growth was the political unrest in Bangladesh that seriously hampered the supply chain system (OPL, 2015). However, after having an adverse revenue growth rate in 2013, Orion Pharma was quite successful in 2014 in initiating their new market strategy. This year Orion Pharma achieved significant growth in export sales and has launched 11 different therapeutic medicines as part of their key objective to diversify portfolio. It is highly expected that more revenue will be generated and the revenue growth will be keep rising in the future as a result of these initiatives (OPL, 2015). Having achieved more than double the industry average, the year 2014 was an astonishing year for Renata as their growth was 26.1% against Orion Pharma's sales growth of 0.72% and industry average of 11.37% (EBL Securities Ltd, 2015). Renata has positioned itself as a key player both in terms of revenue with a market share of 5.1% (EBL Securities Ltd, 2015).

### Operating Profit Margin

In 2014, the cost of goods sold has increased by 25.53% from 2013, which is lower than the sales revenue growth 26.75%. As a result, the gross profit margin has been improved to 51.21% in 2014 from 50.71% in 2013 (RL, 2015; RL, 2014; RL, 2013; Appendix of Financial Statements). The operating profit margin has not been increased in line with the gross profit margin because the brand-deepening efforts and marketing strategies of Renata Limited followed by the increment of 37.56% since 2013 in administrative, selling and distribution expenses, which is much higher than the revenue growth (RL,

2015; RL, 2014; RL, 2013; Appendix of Financial Statements). To improve the operational efficiency, the company has made several capital investments to upgrade existing production facilities and relocate some existing unit to new sites (RL, 2015).

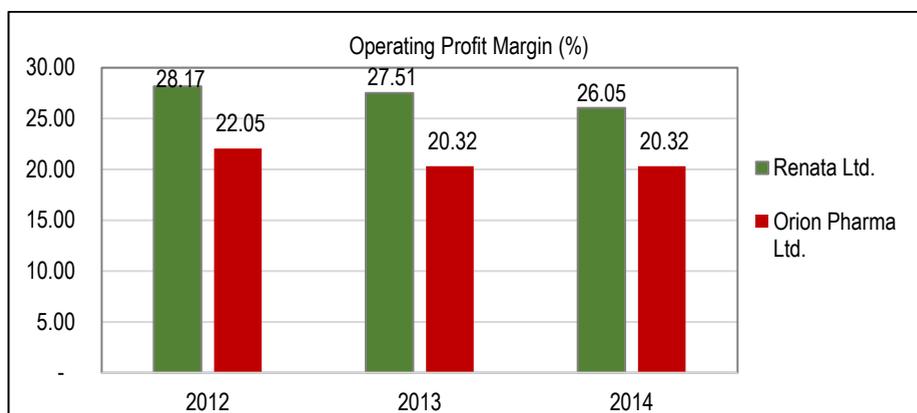


Figure 03: Operating Profit Margin

Source: RL, 2015; RL 2014; RL 2013; OPL, 2015; OPL, 2014; OPL, 2013; Appendix of Financial Statements

The operating profit margin of Orion has also been declined since 2012. In 2012, operating profit margin was 22.05% and then stood at 20.32% in 2014. From the workings on ratios, Gross profit margin has been declined since 2012 and stood at 55.97% in 2014 compared to 57.95% in 2012 (OPL, 2015; OPL, 2014; OPL, 2013; Appendix of Financial Statements). As the gross profit margin was declining, that also was affecting operating profit margin (Appendix of Financial Statements). However, this year Orion Pharma has expanded the overall production capacity and actual production from 2013 to maintain sustainable growth and increase profitability (OPL, 2015).

Operating profit margin of both Renata Ltd. and Orion Pharma Ltd. have declined from 2012 to 2014. The causes of the declining trend of operating profit margin are also linked with the increased political instability, increased inflation, and higher cost for raw material (RL, 2015; OPL, 2015). However, Renata Limited has much better operating profit margin than Orion Pharma Limited.

### Return On Equity (ROE)

The overall ROE of Renata was good over the past years though it has declined from 2012 to 2014. The reason of maintaining overall good ROE is higher revenue growth that helped to increase the net profit over the period up to 1.7 billion in 2014, an increase of 41.66% from 2012. But, the total shareholder's equity of Renata has also increased substantially since 2012 and stood at 7.75 billion in 2014, that was 52% increment since 2012 (RL, 2015; RL, 2014; RL, 2013, Appendix of Financial Statements).

Table 01: Return On Equity (ROE) per Year of Renata Limited and Orion Pharma Limited

Name of the Company	Return On Equity (%) per Year		
	2012	2013	2014
Renata Limited	24.41	22.08	22.07
Orion Pharma Limited	3.23	2.83	3.14

Source: RL, 2015; RL 2014; RL 2013; OPL, 2015; OPL, 2014; OPL, 2013; Appendix of Financial Statements

In 2013, the ROE of Orion decreased as the total shareholders' equity increased by 20% as the number of issued, subscribed and paid-up shares increased. But the net profit increased by only 5.07%. In 2014, ROE showed better result as it increased to 3.14%. The reason was the increase in net profit against total shareholders' equity. Orion's net profit was BDT 0.35 billion in 2012 that increased to 0.41 billion in 2014 contributed to better ROE (OPL, 2015; OPL, 2014; OPL, 2013, Appendix of Financial Statements).

**Asset Turnover Ratio**

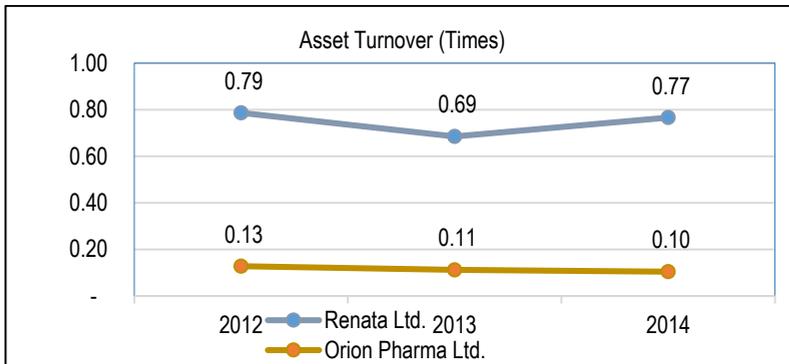


Figure 04: Asset Turnover

Source: RL, 2015; RL 2014; RL 2013; OPL, 2015; OPL, 2014; OPL, 2013; Appendix of Financial Statements

The asset turnover ratio of Renata shows better performance. There was sudden drop in asset turnover ratio from 2012 to 2013 but gradually the company had managed to uplift that ratio in 2014 due to the management efficiency on deploying total assets and achieving higher revenue growth (RL, 2015; RL 2014; RL 2013; Appendix of Financial Statements). The asset turnover ratio of Orion follows a declining trend. The reason is revenue is not growing in line with the total assets (OPL, 2015; OPL, 2014; OPL, 2013, Appendix of Financial Statements). In 2014, Renata's asset turnover was .77 whereas Orion held 0.10 that indicates Renata has better revenue generation power than Orion.

**Quick Ratio**

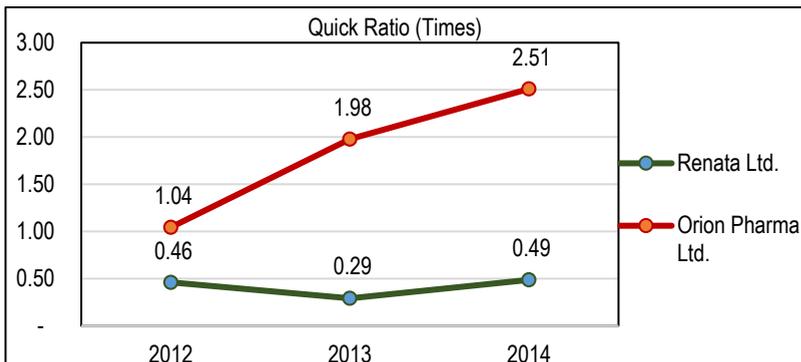


Figure 05: Quick Ratio

Source: RL, 2015; RL 2014; RL 2013; OPL, 2015; OPL, 2014; OPL, 2013; Appendix of Financial Statements

In 2014, Renata has BDT 0.49 of liquid assets to meet the current liabilities of BDT 1. In 2014, the current assets of Renata were 5.29 billion, which was increased from 3.31 billion in 2012 resulting approximately 59% increase over three-year period (RL, 2015; RL, 2014; RL, 2013; Appendix of Financial Statements). But, the current liability increased significantly since 2012 and it stood at 5.21 billion in 2014 compared to 2.87 billion in 2012 resulting almost 81% increase due to the short-term bank loan and overdraft increment of 83% over that period (RL, 2015; RL, 2014; RL, 2013; Appendix of Financial Statements). The reason of the poor quick ratio of Renata is the continuing increase of current liabilities against the current assets.

Orion had very high quick ratio in compared to Renata. Since 2012 total current assets of Orion has increased by almost 126% and stood at 5.97 billion in 2014. In contrast, the total current liabilities have increased less than 1% since 2012 and have stood 2.26 billion in 2014 (OPL, 2015; OPL, 2014; OPL, 2013; Appendix of Financial Statements). Therefore, Orion Pharma holds better liquidity position than Renata.

### Inventory Turnover Period

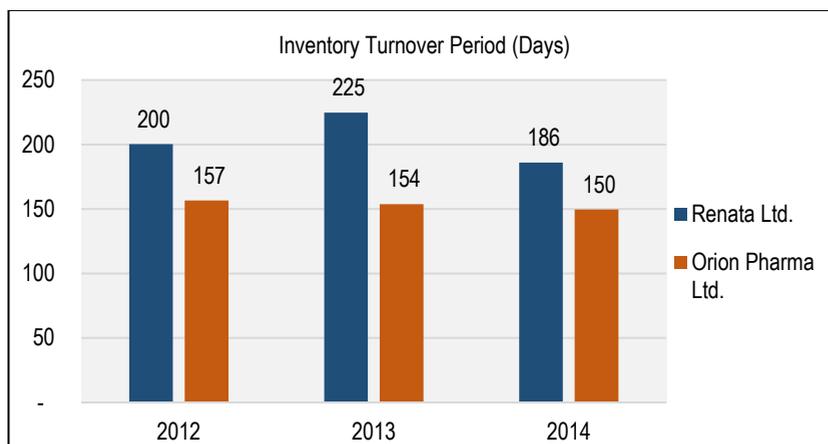


Figure 06: Inventory Turnover Period

Source: RL, 2015; RL 2014; RL 2013; OPL, 2015; OPL, 2014; OPL, 2013; Appendix of Financial Statements

The inventory turnover period of Renata was 200 days in 2012. In 2013, it increased 12.5% from the previous year. In compare to 2012, the inventory turnover period further decreased 7% in 2014 and stood 186 days (RL, 2015; RL, 2014; RL, 2013; Appendix of Financial Statements). In 2014, the performance of Renata was satisfactory because the inventory turnover period has decreased sharply, and that is in line with revenue increase and market expectation.

Orion's inventory holding period followed a gradual decrease trend. Orion's inventory holding period was 150 days in 2014, which was 36 days lower than Renata in 2014 (OPL, 2015; OPL, 2014; OPL, 2013; Appendix of Financial Statements). Renata has shown better performance in revenue growth but the working capital management was not as efficient in managing inventories, receivables, and payables as Orion (see details in Appendix of Financial Statements).

### Gearing Ratio and Interest Coverage Ratio

The gearing ratio of Renata was 6.6% in 2012. But since then it increased as the long-term borrowings of Renata have kept increasing and stood at 9.17% in 2014. The long-term borrowings were 0.36 billion in 2012 and since then it increased and stood at 0.48 billion and 0.78 billion in 2013 and 2014 respectively. Total Shareholders' equity also improved because of new share issue, increased retained earnings and other capital reserves. But the increase in long-term loan was around 53% since 2012 and was very substantial against the shareholder's equity and contributed to higher gearing ratio (RL, 2015; RL 2014; RL 2013; Appendix of Financial Statements).

Table 02: Gearing Ratio (%) per Year of Renata Limited and Orion Pharma Limited

Name of the Company	Gearing Ratio (%) per Year		
	2012	2013	2014
Renata Limited	6.60	7.05	9.17
Orion Pharma Limited	-	-	1.76

Source: RL, 2015; RL 2014; RL 2013; OPL, 2015; OPL, 2014; OPL, 2013; Appendix of Financial Statements (FS)

Though the gearing ratio of Renata Limited has been inclining over the period, the interest coverage ratio has been also improved during that period with an average 4.03 times in 2014. Both the long-term and short-term borrowings of Renata increased considerably since 2012. The company charged 463 million as interest in 2014 resulting reduction in profit and

Earnings Per Share (EPS) (RL, 2015; RL 2014; RL 2013; Appendix of Financial Statements). The increase in interest coverage ratio indicates that Renata has made profitable capital investments through using its debt and equity financing.

Orion's gearing ratio stood at 1.76% in 2014 compare to Renata's 9.17%. Orion had no long-term debt in 2012 and 2013, and only 0.23 billion in 2014. However, interest cover of Orion was almost similar to Renata because of high short-term loan i.e. stood at 1.40 billion in 2014 (OPL, 2015; OPL, 2014; OPL, 2013; Appendix of Financial Statements).

#### Earnings Per Share (EPS)

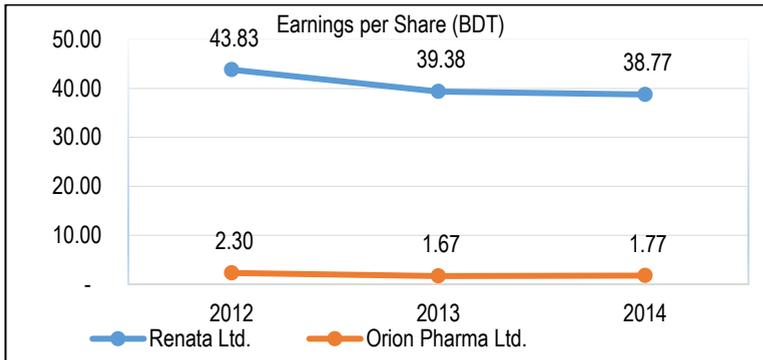


Figure 07: Earnings Per Share

Source: RL, 2015; RL 2014; RL 2013; OPL, 2015; OPL, 2014; OPL, 2013; Appendix of Financial Statements

Earnings Per Share (EPS) is one of the key indicators for the ordinary shareholders as they can anticipate the total earning attributable to their shareholding after paying all interest and tax (BPP Learning Media, 2012). Renata's EPS was 43.83 in 2012, and since then it has decreased. Renata had revenue growth of 26.75% in 2014 but net profit margin had declined little bit so EPS had also declined in 2014. EPS was also adversely affected because of the number of new shares issued in 2013 and 2014 (RL, 2015; RL 2014; RL 2013; Appendix of Financial Statements).

Orion's EPS was 2.30 in 2012. It decreased slightly in 2013 but increased again in 2014 and stood at 1.77. EPS drastically differed between two companies because the share capital of Orion was 234 million whereas Renata had only 44 million in 2014. In terms of weighted average number of ordinary shares, Orion is much bigger company than Renata (OPL, 2015; OPL, 2014; OPL, 2013; Appendix of Financial Statements).

#### Dividend Payout

Renata declared 60% cash and 25% stock dividend in 2012 and that kept increasing year on year. The dividend offered by Renata was 75% cash and 25% stock in 2013 and 80% cash and 20% stock dividend in 2014 (RL, 2015; RL 2014; RL 2013). It is a conservative policy by the directors of Renata to retain money in the business to sustain growth (RL, 2015).

On the other hand, Orion offered 20% cash and 20% stock dividend in 2012 and only 15% cash dividend in 2013 and 2014 to support their future business strategies (OPL, 2015; OPL, 2014; OPL, 2013). In terms of dividend payout, Renata was able to pay much better dividend than Orion because of lower capital base and higher revenue growth.

#### Analysis of Statement of Cash Flow

Cash flow statement identifies the activities whether cash is generated (inflows) or cash is used (outflows). This is an important tool for financial analysis because by analyzing the cash flow statement, the shareholders can understand how the company is generating or using its cash through operating, investing and financing activities (BPP Learning Media, 2009). Renata had generated positive cash flows from operating activities in the last three years. The operating cash flows have increased in 2014 as collection from customers increased from 10 billion to 12 billion over one year (RL, 2015; RL 2014; RL 2013).

Orion's cash generation from operating activities was positive as well since 2012. In 2014, cash generation from operating activities was positive 0.37 billion that was 0.19 billion in 2013 and 0.32 billion in 2012. In 2014, the operating cash have

increased as cash receipts from customers have also increased and payments for operating expenses have decreased (OPL, 2015; OPL, 2014; OPL, 2013).

Both Renata and Orion had positive year-end cash balance in 2014. Though Renata generated more cash from operating activities and had better cash flow position up to investment activities but Orion had higher year-end cash balance due to the better opening cash balance of 2014.

### SWOT Analysis

#### Strengths of a Pharmaceutical Company: Renata Limited

Renata limited is currently holding the fourth position in pharmaceuticals industry and leading the animal health product market (RL, 2016). Renata is committed to producing and delivering high quality drugs that has led it to establish permanently as an innovative generic brand name in the industry (RL, 2015). Renata is operating eight manufacturing facilities in three manufacturing sites and nineteen depots throughout the country for distribution (RL, 2016). It has an impressive portfolio consisting of varieties of top class pharmaceuticals products in six molecules out of ten molecules of the industry (RL, 2015). In terms of sustaining the growth rate, Renata is expanding their production capacity through adequate capital expenditure using their internally generated fund and debt capital (RL, 2015). The current growth rate of Renata is far more than the sector average recorded in 2014. The company has been listed for share trading in Dhaka Stock Exchange (DSE) since 1979 with share capital of approximate 50 billion (RL, 2015). Renata has been able to capture the attention of foreign market, followed by its export to 16 countries in 2014 and make 60 filings including 28 Asian Common Technical Documents (ACTD) (RL, 2015). Renata is continuously targeting to reduce the dependency on debt capital reflected through the repayment of 100 corers corporate bond (RL, 2015).

#### Weaknesses of a Pharmaceutical Company: Renata Limited

Renata is exposed to credit risk in relation to their receivables. The average receivable period of Renata Limited is quite high over the past three years that indicates to inefficient working capital management because it takes longer time to convert the receivable into cash (RL, 2015; RL 2014; RL 2013; Appendix of Financial Statements). Renata faces diversification risks as the company enters into a new foreign market. Also, a large amount of raw materials used in production, machineries and equipment are imported from foreign countries; therefore, Renata is vulnerable to fluctuation of currency as a matter of fact because of currency fluctuation risk involved (RL, 2015). The operating profit margin and net profit margin of Renata has declined since 2012. This reflects that the cost is increasing more quickly than the revenue generation (RL, 2015; RL 2014; RL 2013; Appendix of Financial Statements). A major product group namely 'Sterile dry fill (injectable) / Vials' of Renata is utilizing only 71.34% of actual capacity. If the company does not increase its production capacity of this group, total revenue from this group do not go up as substantially (RL, 2015).

Figure 08: Highlights of SWOT analysis of Renata Limited

Strength	Weakness	Opportunity	Threat
<ul style="list-style-type: none"> <li>• Leading in Animal health market</li> <li>• Fourth in Pharmaceutical market</li> <li>• High quality of drugs</li> <li>• Exporting to 16 countries</li> <li>• Capital share of 50 billion taka</li> </ul>	<ul style="list-style-type: none"> <li>• Average receivable period is high</li> <li>• Risk associated to foreign market</li> <li>• Reliance on imported materials</li> <li>• Decreasing trend in profit</li> <li>• Underutilizing of capacity</li> </ul>	<ul style="list-style-type: none"> <li>• Foreign drug market</li> <li>• Domestic API production</li> <li>• Reduced custom duties &amp; levies</li> <li>• 10% cash incentive from Gov.</li> </ul>	<ul style="list-style-type: none"> <li>• Cutthroat competition</li> <li>• Political instability</li> <li>• Termination of WTO/TRIPS</li> </ul>

#### Opportunities of a Pharmaceutical Company: Renata Limited

Bangladesh is exporting drugs to 87 foreign countries, and the country is aiming to increase its export to 140 countries within few subsequent years (Rahman, 2015). On top, to make pharmaceutical companies self-sufficient in Active Pharmaceutical Ingredient (API) production, Government of Bangladesh has initiated two significant projects for API production domestically, which is going to create new avenue for pharmaceutical industries, in particular for Renata Limited. As a result, it is expected that the production cost is going to be decreased resulting a competitive edge for pharmaceuticals to compete in international market (EBL Securities Ltd, 2015). Government has reduced custom duty on 40 basic raw

materials of medicine and withdrawn custom duty on 14 raw materials of anti-cancer medicine to support pharmaceutical industries. Government has plans to boost the pharmaceutical sector by giving 10% cash incentives (EBL Securities Ltd, 2015).

### Threats of a Pharmaceutical Company: Renata Limited

Fierce competition from domestic and foreign competitors is increasing cost of material and labor for Renata. Moreover, political instability over the past year has affected operation capacity and profitability of the company as well as the whole pharmaceutical industry (EBL Securities Ltd, 2015; RL, 2015). Around 300 pharmaceutical companies are in operation in Bangladesh, and new companies with capacity to compete are entering into the market regularly. This can affect the profitability of Renata (EBL Securities Ltd, 2015). Another challenging factor is that Renata Limited faces the risk of paying substantial amount of royalty fees after the expiry of WTO/TRIPS (Trade-Related Intellectual Property Rights) in 2016, as expiry of TRIPS will cause cost of sale to increase (EBL Securities Ltd, 2015).

### Porter Five Forces Analysis

Porter's model determines the competitive intensity of firms and the other important factors in determining the attractiveness of any industry such as bargaining powers of suppliers and customers, threat of substitute products, and new entrants in the industry (Johnson *et al.*, 2014).

#### Threat of New Entrants

Threat of new entrants contain three aspects namely economies of scale, first mover advantage, and access to distribution channel. Renata enjoys economies of scale in production because of its big scale of operation. But new companies and other small companies don't enjoy economies of scale of their size and have less equity and investment (RL, 2016; EBL Securities Ltd, 2015). Renata has set positive brand image in the industry by standardized production capacity, high skilled workforce and proper quality control procedures. It has established strong customer loyalty over the years. In addition, the company holds the opportunity to use cheap raw materials and enjoys credit facilities from suppliers for long relationships. But new entrant does not have similar facilities that are usually enjoyed by large, established pharmaceutical companies (RL 2016; EBL Securities Ltd, 2015). Renata has set strong distribution channel across the country through their number of depots, and that is not possible for any new entrants to establish such strong network within a short period (RL 2016).

#### Threat from Substitution Products

The substitute products of pharmaceutical industry in Bangladesh are herbal and homeopathic medicines. Switching cost to the substitute is also very low. However, it is not a considerable threat as Renata maintains proper quality control procedures (RL 2015).

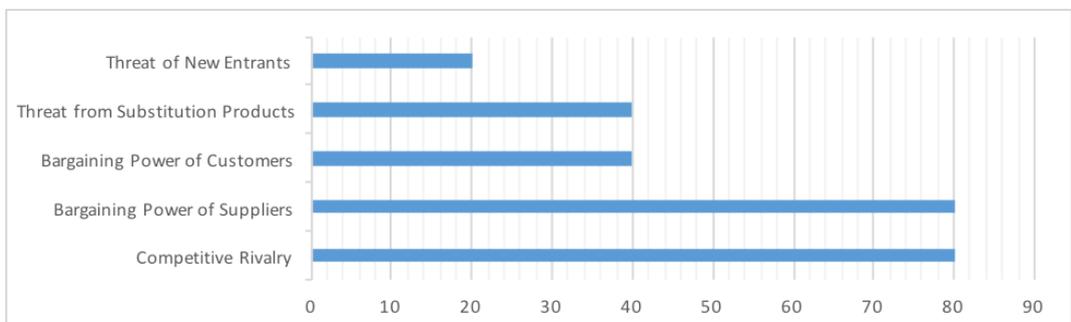


Figure 09: Analysis of Porter Five Forces model of Renata Limited

#### Bargaining Power of Customers

Customers are more sensitive to price when the products have similar outputs. Renata has many differentiated products where the price is fixed for each product. Strict price control is one of the key features of the regulations imposed by the drug regulatory body of Bangladesh the 'Directorate General of Drug Administration' (DGDA). Customers tend to bargain

less for pharmaceutical products as they expect quality products. Considering that the bargaining power of customers is low (EBL Securities Ltd, 2015).

### **Bargaining Power of Suppliers**

Renata has positioned among the key players in the domestic market. Renata's global presence is also growing in exports of medicine. Therefore, as a supplier, the company has higher bargaining power in the pharmaceutical industry. The liquidity risk management policy of Renata ensures that it has sufficient liquid assets to meet the financial liabilities. On top, Renata is consistent in making payment to their payable over the past three years (RL, 2015; RL 2014; RL 2013; Appendix of Financial Statements).

### **Competitive Rivalry**

Pharmaceutical industry in Bangladesh is intensely competitive. According to IMS-Health, among the 300 pharmaceuticals the leading ten pharmaceuticals hold almost 68.1% of the total market share, and Renata has gained fourth largest market share in the industry by defeating many of its competitors (EBL Securities Ltd, 2015; RL, 2015). Renata produces diverse pharmaceutical products in huge scale that helps to cut down the production cost and product price. In contrast, small-scale companies are competing in market that is unable to reduce their product price due to lack of economies of scale. Moreover, they are forced to follow the pricing strategies and conventional rules of leading firms to hold their market competitiveness (EBL Securities Ltd, 2015).

### **Conclusion**

The overall research objectives of this research project was to explore the short-term and long-term investment attractiveness of Renata by analyzing and evaluating the financial and business condition over last three years' period. Renata's revenue growth in 2014 was 26.75 % and revenue reached to BDT 11.10 billion. Domestic customers have remained a key driver on revenue contribution. Though the company is expanding its overseas market, they are also investing in local market to expand further market share (RL 2015). Renata's profitability ratio is slightly lower in 2014 in compare with the previous year, but still Renata is able to maintain healthy operating and net profit margin. The profit margin is quite satisfactory as the company perusing growth strategy in local and overseas market (RL 2015). The healthy operating profit margin also indicates that Renata has controlled its expenses better than Orion. Considering the financial analysis, Renata's liquidity is not very satisfactory and could have been improved further if management is prudent on financial strategy settings. The overall ROE of the two companies clearly shows that Renata is in a much better position than Orion to make return using its equity capital. Last three years of financial statement analysis indicates that to continue the operation and develop the market, Renata is heavily depended in short term and long term debt (RL, 2015; RL 2014; RL 2013; Appendix of Financial Statements). Because of high borrowings, Renata has to bear higher interest payment, and both liquidity and cash flows are more likely to affect negatively in future. The analysis of efficiency and stability ratios has shown very positive results. The company has seemed utilized their assets very efficiently in terms of revenue generation. Renata has also maintained positive investors' ratio by keeping positive EPS and Dividend (RL, 2015; RL 2014; RL 2013; Appendix of Financial Statements). The business analysis has resulted in an overall positive picture, which indicates Renata's prospective future growth and supportive competitive environment. Findings of business analysis indicates that Renata would be a good investment choice for existing and prospective shareholders based on its opportunities for long term and short term growth, further expansion in developing market, strong business strategy and brand image. The important thing needs to consider is the market diversification and its associated risks by the management because any failure on strategies would affect liquidity, solvency and cash flows.

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## What Future for Specialized Teachers for Support Activities?

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### Abstract

The article examines the training of specialized teachers for support activities starting from L. 517/977, the milestone of Italian school integration, to the establishment of the Bachelor's Degree in Primary Education Sciences until it comes to the Decree on Good School and Law Proposal C-2444. The trained teacher for support activities must have the capacity to collaborate to fully involve pupils with disabilities together with curriculum teachers, with co-responsibility and sharing of all pupils.

**Keywords:** specialized teacher, inclusion, training

### Introduction

#### The origins of school integration in Italy

Integration or, to a lesser extent, the educational, social, and even in-person inclusion of disadvantaged people today seems to be a milestone. In fact, much has been done in the 20th century from a legislative and social point of view over the previous centuries, but much more must be done by operators such as institutions and public bodies, teachers, educators, voluntary associations and family members of people with disabilities. Getting more and more goals appropriate to full inclusion in social and relational life with others.

As Trisciuzzi points out, the school is an institution that coincides with its function, that is, education transmits ways of doing, tools, experiences, behaviors and attitudes, ways of being and feeling, as well as knowledge, so in a word transmits Of the "values" that society finds useful or essential to the continuity of culture, and therefore school is the place that society has devoted to the transmission of basic knowledge about culture.

According to this premise, Trisciuzzi states, the insertion into the culture and the society of the person who was defined until not long ago handicapped, was a problem in ancient and medieval society and therefore was not even taken into account.

The acceptance, integration of the handicapped person in every historical period has been linked to the social conception of the handicap.

The first law of our republican order to address the problem of the invalids of disabled people in public schools was L. 118 of March 30, 1971, which thus enunciated art. 28:

"Obligatory education must take place in normal public school classes, except in cases where subjects are suffering from serious intellectual deficiencies or physical disabilities to prevent or make it difficult to learn or insert in the above mentioned normal classes".

Faced with an entry that was suddenly becoming overwhelming, the Ministry decided to set up a Commission to respond to the educational effort that the school was doing.

The document is named after the then Vice-President of the Standing Committee on Public Education, Franca Falcucci, and was drafted in 1975.

This document has taken a very important step towards school integration in Italy, as in the final report on school problems of disabled pupils, a new way of being in school was sought, more attentive to the potential and the different ways of learning Of pupils as a condition for the full integration of pupils with disabilities.

The Falcucci document, besides representing a genuine social, cultural and pedagogical revolution, marked the official awareness of the educational problems of disabled persons by the Ministry, which, in a very timely manner, issued Circular No. 8 August 1975. 227, "Interventions in favour of disabled pupils: program for the school year 1975/76", which led to a serious awareness of the need to make an effective contribution to the solution of the problem:

"The complexity and severity of the structural and organizational problems to be solved [...] in action in the school and social integration of the aforementioned pupils are not concealed, but that is why concrete times and forms of meaningful interventions have to be studied [...] for the high democratic value that the school integration of disabled pupils has. Integration that requires a new way of being in the school. "

Thus, in the 1975/76 school year, disabled children began to be included in normal classes, abandoning special classes and differential classes; In reality, as I mentioned earlier, there was a "wild insertion" as disadvantaged students were put into classes in a precipitous way without having first thought of adequate programming for their integration.

Thus, we come to the Law which is defined as the milestone for the social and educational integration of children with disabilities: L. n. 517 of 4 August 1977.

First of all, in this law, the term insertion is replaced by the integration term, definitively sanctioning that concept also from the normative point of view.

The real purpose is not to put the boy in a different way with the normodotates in the same class making them live together, but his integration, that is, the complete inclusion in the group of peers. To do this, the teachers have the task of working together the children together, playing them together, sending non-assistive spirit to the well-informed children, but relational emotional involvement with disabled comrades.<sup>1</sup>

Integration should be considered a process of change, modification of the organizational structure of curricula and programs, leading to a new awareness of teaching professionalism, and leads to a modification of the architectural structure of schools.

Integration should be considered a process of change, modification of the organizational structure of curricula and programs, leading to a new awareness of teaching professionalism, and leads to a modification of the architectural structure of schools.

Law 517 still remains the most advanced model in the European and world domains, constitutes a definite change in the quality of schooling; From the school made by the single teacher, you go to the school made by the faculty college, from the traditional school only made to the students who are classed at the school of all.

At this point the role of who is now called a support teacher comes into play; It is necessary to redefine the training and reform of the staff, whether lecturer or non-teaching, whether specialized or not, both of the state employees and of the Local Authorities, that is, of all those whom the Law calls somehow to work for disabled children Inserted in the common classes.

The current support teacher as a historical reference is the special teacher working in special schools and then in the differential classes, and from the time when there was full inclusion of children with disabilities in the school, the support teacher has Assumed the role of contiguity with curriculum teachers.

Initially, the old high school courses and the special schools for educators for blind and deaf boys were set up, courses that could be considered serious as qualifying for the profession that then went to special teachers.

Subsequently, courses on the physiopathology of physical and psychic development were established, but they were improvised and unformed, so they were suppressed by D.P.R. n. 970/1975 Establishment of biennial training schools for staff to be handicapped. However, these courses only began in the 1979/80 school year, following the adoption of the program implementation regulation, thanks to D.M. 3/6/1977 and with the next O.M. 16/11/1977 n. 303. The first graduates of these courses entered service in the 1980/81 school year.

It should therefore be hoped that new teaching staff will be formed with a real experimental mentality, that is, they should be able to experiment permanently, check and verify their work with the students scientifically. Only then could it be possible

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<sup>1</sup> N. D'Amico, History and stories of the Italian school. From Origins to Today, Zanichelli Editore, Bologna, 2010.

to produce good supporters with a reflexive capacity for their professionalism and experimentation in the teaching methodologies to be offered to their pupils.

It was a very long and tiring journey. Even today, society is behind the cultural societal legacy of looking at disabled children as "other" children by lawmakers, and this sometimes goes back to school where support teachers are not always considered as assigned to the class, and not to the child who will have to follow for the duration of the school year. Since it is inserted in a given context it should be considered as a class child who needs further support to the rest of the class.<sup>1</sup>

With Law no. 270 of May 20, 1982, of the Bodrato period, it is envisaged extending to the nursery of the regulations on the reception of disabled children that had already been applied by Law 517/77 to elementary school.<sup>2</sup>

It was planned to update the number of support posts for nursery, elementary and middle school children with disabilities in order to ensure a ratio of about one support teacher to every four disabled children. It was also planned to review the recruitment procedures for teaching staff in nursery, elementary and middle school orders.<sup>3</sup>

The legislation of these years has led to a full inclusion of pupils with disabilities in the common school and at the end of the special schools, even though the school was not yet ready for cultural, organizational and methodological reasons. We begin to evaluate not only the aspect of integration of the handicapped child but the needs of the child himself in the context of social life. This means that you begin to think, more concretely than in the past, that the school does not have to worry about inclusion in the school environment but also what will happen outside the school, in the context of the child's future life he will become a teenager and adult to join the work world with his "own life project".<sup>4</sup>

For the first time in Italy in 1982 he became Minister for Public Education a woman, Franca Falcucci (December 1, 1982-27, 1987). Just to her, her tenacity and her tireless sense of duty with regard to the work she carried out, we have the reforms that the Italian school has been waiting for for fifteen years of long battles and discussions in Parliament that never came to end in the laws.<sup>5</sup>

So we arrive at Ministerial Circular no. 258 of September 22, 1983, which provides the lines of agreement between school, local authorities and USL to achieve better school integration of disabled pupils. These lines of intent are aimed at implementing common goals such as the identification of the handicap and related attestations, the programming of the Individual Education Plan, the prevention of discomfort and disadvantage, the orientation for continuing the studies and training of operators. For the first time, we talk about collaboration between several people, the establishment of a "working group" that is responsible for coordinating projects and interventions with pupils.<sup>6</sup>

With D.P.R. n. 104 of February 12, 1985, the new Elementary School programs for the past thirty years have been issued (D.P. 503, June 14, 1955).

However, they are considered "experimental" and will come into force progressively from the 1987/88 school year. The experimental phase and the definitive entry into force occurred with Law no. 148 of 5 June 1990, whose articles were subsequently incorporated in the Single Text of the School Laws in D.L.vo no. 297/94. In the general premise there is an explicit reference to the integration of disabled pupils and learning difficulties.

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<sup>1</sup> L. Trisciuzzi, *Disability Education Manual*, Laterza, Bari, 2010.

<sup>2</sup> P. Bosio, I. Menegoi Buzzi, (ed.), *School and Diversity in Europe. Teacher Training Tools on Integrating Disabled in School*, FrancoAngeli, Milan, 2005.

<sup>3</sup> See N. D'Amico, *History and Stories ... op. cit.*

<sup>4</sup> P. Bosio I. Menegoi Buzzi, (ed.), *School and Diversity in Europe .... op. cit.*

<sup>5</sup> See N. D'Amico, *History and Stories ... op. cit.*

<sup>6</sup> See P. Bosio I. Menegoi Buzzi, (ed.), *School and Diversity in Europe .... op. cit.*

In the 1955 Programs, the terms handicap, diversity, discomfort, inequality are not present, while in the 1985 Programs are dealt with.<sup>1</sup>

The programs of the 1985 are designed so that they constitute a pedagogical document from which civic-social education emerges. The figure of a child emerges from the center of the mind. The criticality of breaking up with the tradition of the unique classmate is also strong for a number of masters.

Subsequently it is important to emphasize C.M. n. 250 of 3 September 1985 which insists on the importance of identifying and analyzing the educational needs of the disabled child, starting from the knowledge of its basic potential. Starting from the Functional Diagnosis developed by the USL team member's medical staff, the school together with the family and social and healthcare professionals must develop the Individual Educational Plan that will be included in classroom educational and teaching programming. This will allow the disabled child to obtain basic operational tools that will evolve in the development of programming properly prepared on its potentialities and attitudes.

For the most disadvantaged children, therapeutic and rehabilitative care interventions are arranged in agreement between USL and school so that more relaxed times can be taken to encourage pupils' learning.

The support teacher's figure thus becomes the point of reference and the mediator between the school, the health care team and the family so that integration, individualized programming, educational and educational interventions are carried out.<sup>2</sup>

In 1986 they were approved by a D.M. The new curricula of the two-year multi-purpose professional training courses for the management staff. Educational and teaching staff dealing with disabled children.

With these new programs of the Specialization Course, a new professional figure of the specialized teacher can be drawn up above all to work in the common school. In addition, these programs were intended to effectively guarantee the principle of polyvalence of the issued title and to reduce the technical and health disciplines in favor of pedagogical and didactic teaching. As far as the structure was concerned, three poles were identified corresponding to a number of key areas for the preparation of the teaching professor. The first, referred to as "Disciplinary Areas", concerned pedagogy, psychology and the clinic, whose programs were subdivided for each of the two years of course. The second pole, called "Operational Dimension", indicated activities aimed at practice and consisted of six areas or sub-areas: observation methodology, functional evaluation, relational dynamics analysis, curricular programming, technology and subsidy strategies, and organizational integration. The third pole, referred to as "Curriculum Didactics", indicated the scope in which it was necessary to find its own implementation of the series of aspects intended to translate the general didactics (considered from the point of view of nursery and compulsory education) in specifically designed didactics Under conditions of disability, particularly visual and auditory. Particularly important was the training that the Commission considered to have to articulate in two major fields to be understood as being integrated and closely linked:

- A direct guided internship that was to take place in the school's reality and to be carried out under proper monitoring. (150 hours per year).

- Indirect and guided training consisting of 100 per year.

The total time of the biennium of specialization was 1300 hours.<sup>3</sup>

- The support teacher had to be a multifaceted figure who could deal with the pedagogical and non-rehabilitative pedagogical point of view of all possible disability situations that children could enter in normal classes.<sup>4</sup>

The introduction of the support teacher, despite having been a key element in the integration of children with disabilities in the school, has been affected and continues to suffer from the same difficulties as integration by suffering contradictions in legislation and ambiguities such as continence In the class that is still not well understood today by curriculum teachers and also with a little recognized professionalism compared to other colleagues.

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<sup>1</sup> <http://www.integrazionescolastica.it/article/907>.

<sup>2</sup> B.Orizio, (edited by), *Special Pedagogy in Europe.Problematic and Research Status*, FrancoAngeli, Milan, 2007.

<sup>3</sup> See L. Trisciuzzi, *Teaching Manual ... op. cit.*

<sup>4</sup> V. Piazza, *The Supporting Teacher. Technical skills and emotional aspects*, Erickson, Trento, 2009.

Without doubt, the support teacher is formed as a mediation between the disabled pupil and the rest of the school, in favour of the child's insertion.<sup>1</sup>

The formation of a support teacher should not be considered as an "addiction" to the general classroom teacher training but must have a well-defined structure with specific skills and we will see how this will evolve over time.<sup>2</sup>

On January 4, 1988, the C.M. n. 1 concerning the issues related to the school continuity of disabled pupils; This topic is also addressed in the socio-sanitary field.

It must be borne in mind that educational continuity presents some difficulties as the child's biological psychological development also has a continuity that can undergo changes. It is therefore important that the support teacher combines the psychological, educational, methodological and didactic skills acquired between one order and the other in the school, for a passage of the pupil with fewer possible difficulties.<sup>3</sup>

In recent years the support teacher's figure is very much debated with regard to his formation, so the D.M. Of 14 June 1988, which again defines the curricula of the polyvalent specialization courses for the training of the teaching staff. Some of the teacher's features are a good methodological preparation and the ability to know how to evaluate, plan, have a good educational training gained through apprenticeship and a highly pedagogical competence. He must also have good communication skills with other colleagues and educators and be a reference point for the educational project of the disabled pupil.

This Decree seeks to highlight how the certified pupil should be included in a project that involves not only the support teacher but also the class teachers and all the other operators so that the pupil and the teacher of Support are not isolated.<sup>4</sup>

In C.M. n. 184 of July 13, 1991, further features of the support teacher profile such as co-operation with colleagues, the class council and the working group are provided to carry out the educational project, the competence to draw up the educational path, responsibility with the Class program colleagues collaborate with families and social and healthcare structures.<sup>5</sup>

It is further specified that support teachers are part of the circular staff and assume ownership and address the issue of derogations for particularly severe handicap cases for which functional diagnosis requires particularly careful and detailed individualization programming.

This circular deals with the following aspects that must characterize the teaching profession: it is required to collaborate with colleagues, with the class council, with the Working Group on the Handicap to draw up the Individual Educational Project of the Disabled; Must have the didactic and educational skills to set up the pupils' school path; Must have the co-responsibility of the class with other colleagues; Is required to maintain collaborative tasks with the USL of the territory belonging to the disabled child and the family.<sup>6</sup>

### **A look at the inclusion and training of specialized teachers**

From the Study Relationship to the Organization of Support for Teachers Working with Special Needs in Common Education, drawn up by researchers at the European Disability Insurance Agency, the need for support is not only centered on As it requires essays addressed to curricular insiders with the aim of helping them to improve specific treatment skills and management of special educational needs in the classes.<sup>7</sup>

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<sup>1</sup> See B Vertecchi, (edited by), *The Century of the School* .... op. cit.

<sup>2</sup> See P. Bosio I. Menegoi Buzzi, (ed.), *School and Diversity in Europe* .... op. cit.

<sup>3</sup> See B Vertecchi, (edited by), *The Century of the School* .... op. cit.

<sup>4</sup> See L. Trisciuzzi, *Teaching Manual* ... op. cit.

<sup>5</sup> European Agency for Development in Special Needs Education, a study report titled "Organization of Support for Teachers Working on Special Needs in Common Education. Trends in 17 European Countries", 2003.

<sup>6</sup> A. Lascioli, M. Onder, *Teaching in Global Society. What training for teachers in a European perspective ?*, ISRE - Journal of Education, Communication and Educational Research, 2010, XVII, n. 3, pp. 31-46.

<sup>7</sup> Unesco, *Policy Guidelines on Inclusion in Education*, Paris, 2009.

The distinction between ordinary teachers (without specific training on inclusion issues) and specialized teachers (with a specialization degree for support) has generated the distinction between classroom students and students Special students. In fact, reality is very complex and varied, especially if you look at the world of school today.<sup>1</sup>

Here it is found that special subjects also have normal needs and that even regular students may have special educational needs. Ignoring this circumstance leads us to believe that solutions to problems can also follow the same logic, that is, for special pupils extraordinary solutions and ordinary students ordinary solutions.

An incorporated school system can only be created if the common schools become more inclusive. In other words, if they are better in educating all children of their co-existence.<sup>2</sup>

The curriculum of the first-level school teachers was initiated for the first time in 2000-2001, so three years after the D.M. Of 26 May 1998, which provided for the establishment of the Bachelor's Degree in Educational Sciences, in correspondence of the first enrollment of students to the second biennium of the university, with 6 disciplines relating to Special Pedagogy, 6 laboratories, 100 hours Specialized training, of which 50 direct and 50 apprenticeships, all organized in two semesters. Subsequently, changes were made to the curriculum, both in terms of co-op and support, especially with regard to the internship.

Undoubtedly, the support teacher's figure must increasingly respond to the special educational needs that the disabled pupils need, and therefore the initial formulation such as the one in the process becomes more and more important to acquire an adequate professionalism.

This course of study has ultimately led to a qualification of the role of primary school teacher and also of support, which had been lost in time, as it allowed those who wanted to undertake this work path to appropriate adequate knowledge in psycho-educational, communicative And relational, increasingly needed to address the problems of all pupils.<sup>3</sup>

On 10 September 2010, the Legislative Decree no. 249 by Minister Gelmini, concerning the definition of the discipline of the requirements and the modalities of the initial training of the teachers of the elementary school and the primary and secondary schools of the first and second grade, radically changing the teacher training system.

The Bachelor of Science in Education, compulsory for the education of primary and secondary school teachers, passes from four to five years in a single cycle.

In the course provided for curriculum teachers, 31 Cfus are required on special educational issues and 75 hours of apprenticeship with disabled pupils. In order to gain support on the support, pending future changes, even teachers who already have the common path, are expected another year of study formed from 60 Cfu.

It is an important novelty to foresee in the 31 Cfu study on special educational needs, as just as underlined in framework Law 104/92, the pupil can not belong to the teaching teacher but is included in the class and therefore is of all the teachers as the companions, as in turn the support teacher is contests with the classmates and hence responsible for all pupils.

At present, the support teacher must have an appropriate preparation in the field of pedagogy and special education, must know how to use ICT (information and communication technologies), simulation, observational and experimental methods.

He must be able to promote social relations between the disabled and the rest of his comrades, through communication strategies, psycho-motility, and play activities, and be able to put into practice actions.

The skills required of a teacher are increasingly complex and requires many years of preparation and is constantly being upgraded as the school has a large responsibility in the relationships of its pupils and society.<sup>4</sup>

### **BES: new training frontier**

A new season of reforms opens in 2012: New Guidelines for the Curriculum for the Children's School and the Early Learning Circuit; And the Ministerial Directive December 27, 2012 Intervention tools for pupils with special educational needs and

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<sup>1</sup> A. M. Favorini, *Special Pedagogy and Teacher Training. Towards an Inclusive School*, FrancoAngeli, Milan, 2009.

<sup>2</sup> A. Canevaro, L. D'Alonzo, D. Ianes, R. Caldin, (eds.), *School Integration in Teacher Perception*, Erickson, Trento, 2011.

<sup>3</sup> Decree n. 254 l 16/11/2012, *National Guidelines for Early Childhood Education Curriculum*.

<sup>4</sup> Miur Directive of 27/12/2012, "Intervention Tools for Students with Special Educational Needs and Territorial Organization for School Inclusion".

territorial organization for school inclusion, to which was followed the note prot. 1551 of 27 June 2013 and subsequently the Ministerial Circular no. 8 of March 6, 2013 with the operational guidelines to be able to begin to work more coherently in the Annual Inclusion and Training Scheme (Inclusion Groups) within each school order, so To be able to provide a suitable pathway for the learning of those children that are defined as borderline, or in situations of learning difficulties or hyperactivity which do not fall into any DSM-IV diagnostic category, and that more and more Cause school disruption and consequently have a negative impact on the child's personal condition in the future and further aggravates the social and economic condition of our country.

Referring to the 2007 National Guidelines, we have now reached the current level of 2012, with the definitive text of the National Guidelines for the Curriculum of the Children's School and the Early Learning Circuit, henceforth Guidelines, issued by Decree n. 254 of November 16, 2012. The method adopted for the review, which received the appreciation of the school and the bodies consulted (June-July 2012), represents a major asset to start and creates the conditions for further development.

The New Indications feature a challenging school model, which is a compelling reference point, while respecting the free teaching initiative of teachers and the exercise of the design autonomy of individual schools. Documents, however, do not have an autonomous propulsion, they are likely to remain in the shadows and are not always properly known. Cultural investments must be made on them to seek to achieve that "continuous improvement of teaching", as requested by D.M. 254/2012, Article 3, which establishes a National Scientific Committee (CSN) "in charge of addressing, supporting and enhancing training and research initiatives, in order to increase the effectiveness of teaching in line with the aims and objectives set out in the indications".

The task of CSN, appointed by D.M. Of 19/3/2013, it is therefore mainly to accompany the Guidelines, particularly in their first application phase, so that schools and teachers familiarize themselves with their logic and translate it into everyday teaching practice.

School institutions are not simply called to use and make good use of the Guidelines, but they are required to carry out verification work, critical interpretation, and development of long-range action slopes.

So doing school today means connecting the complexity of radically new ways of learning with a day-to-day running of work, attentive to method, new media, and multi-dimensional research. At the same time, it means curing and consolidating basic skills and knowledge, which are indispensable because they are the foundation for conscious use of widespread knowledge and because they make early learning of all learning opportunities throughout life. And since relations with computer tools are still very uneven both among students and teachers, the learning and retraining skills of teachers and attention to access to new media becomes decisive. The prevalence of motivated, prepared teachers, attentive to the specifics of the children and the groups they care for, is an indispensable quality factor for building a friendly, well-organized, Able to arouse the trust of parents and the community. The teacher's educational style is inspired by criteria of listening, accompaniment, participatory interaction, communitarian mediation, with a continuous observation ability of the child, a causal part of his world, reading his discoveries, support and incapacity for the evolution of his learning towards more and more autonomous and connoisseur forms of co-openness. Design is expressed in the ability to give sense and intent on the interplay of spaces, times, routines and activities, to promote a coherent educational context through an appropriate pedagogical course.

Teacher's professionalism is enriched through work-related work, continuing education, reflection on didactic practice, adult relationship with knowledge and culture. Building a professional, knowledge-intensive, community-based community is stimulated by the leadership leadership role and by the presence of forms of pedagogical coordination.<sup>1</sup>

The Ministerial Directive on BES on 21/11/2012 and then the Ministerial Circular on 22/11/2013 made explicit everything that teachers experience on a daily basis, ie the accentuated differentiation of the pupils present in the various classes that is not due solely to the presence of disability, disturbances in learning or the placement of pupils who are immune; The purpose of the Mixture Directive was to underscore the fact that there may be in our classes any school order with Special Needs, regardless of the condition of being certified rather than migrant.

In this way the focus shifted from the purely diagnostic dimension to the needs of the pupils and their well-being, which can be limited in time, as time-waning conditions, as they can be persistent over the years, and May therefore require special

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<sup>1</sup> D. Ianes, *The Evolution of the Supporting Teacher. Towards an Inclusive Didactics*, Trento, Erickson, 2015

attention from the teachers precisely because they are dealing with Special Educational Needs to encourage the learning of the children themselves. Among other things, the normative reference issued by the Ministry also uses the school dropout rate that we are still at a relatively high level compared to other European countries, which unfortunately aggravates the social condition of our country as well as to the personal one. It is to be said, however, that as every novelty has caused countless criticisms, both by the teaching staff of every school order and the point of view of scientific co-existence, particularly from the category of Special Pedagogues of the various Italian Universities.

The opposite interpretations of the Directive oscillate between the thesis of unfair medicalization of many pupils and the argument for the adoption of the Diagnostic Model of the International Classification of Functioning (ICF) of the World Organization of Health.

It should also be noted, however, that in this legislation there is much more than legislative aspect, as in recent years we have always been noted in the various circles or laws as a bio-psycho-social approach since the ICF model from the mo This is based on the context analysis and the operating profile, in order to identify the BES without precluding typing.<sup>1</sup>

In fact, in the school the teacher does not respond solely to himself and to his or her own. All the teachers are called together to build a coherent and unified project.

It is a complex and challenging work that sets in motion a dense network of relational dynamics and can not escape the conflict. Conflict, however, must not necessarily be lived in the negative, is part of life, is an element of enrichment if one can process it positively and remain in terms of social acceptability. It is an opportunity for growth and often allows a synthesis of ideas for better solutions. Collegiality in the exercise of the teaching function is one of the characteristics of today's school.

The transition from the classroom teacher to the primary school to the teaching group changed the professional model of the single teacher, who was responsible for his students. The teaching team, of which the support teacher is a full member, must be a collegiate system in which each member performs tasks, assumes specific functions, in the sense of co-responsibility and sharing.

The support teacher must have an indispensable ability, which would be the patrimony of all school teachers of every grade, that of being able to collaborate. It is crucial to learn from other people's experiences; Share and confront the frustrations that many times the job can afford; To be able to help curriculum teachers understand both the potential of a disabled learner and children and girls who experience learning difficulties or discomfort.

It is equally important that support is translated into a prevalent individual activity for people with disabilities. In the experience often there are support teachers coming out of the classroom with the disabled pupil, who spend much of the school time.

The "personalization" of educational and didactic action should not be separated from "socialization" with all the resulting clarifications and mediations. It would be desirable to increase the support of teaching staff, through the enhancement of the best skills for coaching and tutoring. Initial training for all teachers capable of providing educational and teaching skills appropriate to ensuring a qualified job with diversity.

A more explicit integrated programming of services, actions, and interventions to transform school integration into the problem of the teacher as a problem for the entire school and social community.

The support teacher needs to know more than other teachers, as Roberta Caldin says, is an added value in the school, with skills and experiences to be put into practice with all pupils.

After this reflection, we analyze the recent situation that is outlining about the training of curricular and supportive teachers.

### **New perspectives for specialized teachers**

A strong university specialization is needed to become a specific professional figure in all respects, who is steadily active in that role, guaranteeing continuity and not just a transitory function linked to a disabled individual. In perspective, one should speak of a variety of teacher specializations, on various educational, educational and organizational issues. A

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<sup>1</sup> R. Caldin, The debate on "Good School" in Thinking the School in Today's Society. Teacher Training, Pedagogy Today, vol. 2-2015

university specialization is based on the previous university course, and should articulate on the skills acquired for the first level degree. In recent years, we have been very much concerned about the skills of integrating and inclusion that each teacher should have at the end of his initial training course, but there are many differences between universities, depending on their importance attributed to inclusive processes.

The Law 107/2015 delegates to the Government to legislate on the initial training of future curricular and specialized teachers while addressing the theme of on-service training, continuous and mandatory for all teachers, with emphasis on more careful training in ' Inclusion and disability. As indicated by each school institution in accordance with the Triennial Training Offer Plan, and with the results of the Improvement Plan, training courses are set up within the institution, by virtue of school autonomy.

The schools in the coming years through the good use of Triennial Training Offer Plans will have the opportunity to organize more flexibly to their needs, their pupils and their own territory by building project and laboratory pathways, adapting to the needs of all pupils.

Legislative Proposal C-2444, Rules for Improving the Quality of Inclusion of Pupils with Disabilities and Other Special Educational Needs submitted to the House by FISH and FAND, envisages deeply different university training courses to become specialized teachers As opposed to becoming curricular teachers. According to this proposal, primary and primary school teachers after the first three common years should attend a specific two-year period to become specialized teachers, for secondary school teachers after the three-year degree they would have a master degree on support.<sup>1</sup>

As a support teacher, I believe, as many Special Education Professors who have expressed themselves in this regard in various SIPeS documents, that such a deep distinction in the university course can only lead us away from the path of inclusion of pupils with disabilities instead to favour it.

Recent Italian and international literature indicates that it is necessary to value the "functioning" of people with disabilities: in this sense, the training courses of the specialized teachers for support would therefore be foreseen through in- depth studies on school enrollment and education, Social inclusion, with a positive outlook highlighting the potential rather than the deficits by resorting to "specific mediators" (people and tools) that can support common and shared community-class activities.

Teacher specialization should not address issues such as those related to individual pathologies, as suggested by Law C-2444; These pathologies are different and always evolving: the figure of the specialist teacher for support activities is surely evolving and different ways may be the way to go, but it is indispensable that they are all in favor of inclusion and not in the direction of a Specialization closer to the medical one, as can be the case when it comes to "pathologies". It is likely that children with disabilities, in a school that promotes skills and develops a targeted curriculum, need specific attention in the learning process.

The training currently provided through the annual specialization courses for support provides a sufficient amount of hours to train a good teacher capable of delivering significant and significant responses also to people with severe disabilities. È It is imperative to create a continuous training system, capable of periodically offering service support teachers, modules and university courses able to update their special pedagogical knowledge. It is therefore proposed that the University organizes second-level Master's degrees that can complete the multi-faculty training of the specialized teacher for support (eg, with regard to sensory, behavioral, cognitive disabilities) and innovative methodologies. Their university education in the three-year course and in the course of the master degree (+ 2) they can benefit from modules and lessons aimed at special 60-credit basic training, capable of providing their professional background with educational skills that are appropriate to ensure a qualified job with disabled people.<sup>2</sup>

At the heart of everything there are pupils, so it is crucial that the debate on the formation of future teachers be pursued by pursuing the purpose of inclusion, no one excluded.

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<sup>1</sup>Online marketing form through web site optimization for search engines like Google, Bing, Yahoo etc.

<sup>2</sup>The online marketing form of search engines like Google, Bing, Yahoo etc.

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## Analyzing and Selecting a Suitable Media for Online Marketing

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### Abstract

During the last years, the letter "E" has increased its importance not only in the world of information and communication technology (ICT), virtual businesses, and internet surfing but also in other sectors. It has become an important component for a considerable number of research fields such as in electronic marketing, electronic business, electronic finances, electronic trade, electronic distance learning, and electronic markets among others. The revolution in ICT has changed not only our lives but also the ways how people do business. Recently, it is noted that an increasing number of touristic operators use internet and other electronic media to achieve their marketing efforts by giving in this way priority to electronic marketing as a new philosophy and phenomena. Online marketing has as an aim to provide value to customers by using information technologies. It offers additions instruments to traditional marketing. Continues changes in online trade have a direct impact not only in instruments but also in the objectives and aims that require new tools and the usage of new strategies in order to be achieved. These factors (tools, objectives, aims and strategies) can be used to distinguish the instruments of online marketing from those of traditional marketing. To achieve this goal, traditional marketers use a variety of marketing variables including: price, advertising, distribution, product to satisfy actual and potential customers. Today, many organizations are spending more time and money to create online presence, creating of websites. In traditional marketing, the customer's role has been very passive, but today we can say that the world wide web uses the hypermedia concept which provides a more active role to the visitor of the web. Hypermedia means a variety of media content that can be accessed through hyperlinks and that can be used to conduct online marketing and to provide competitive advantages to the new economy. Studies suggest that technological advances have created new communication models and marketing channels that cause the greater impacts on marketing practices (e.g. the acceptance of electronic media as a living communication tool). This paper tries to present the concepts of Online Marketing and particular attention is provided to the manner on how to analyze which Kosovar or regional media on the Internet has greater visibility and what needs to be done to get the right attention of potential clients of our business.

**Keywords:** Marketing; internet; analysis; media; strategy; customers; information; communication.

### Introduction

Over the recent years, digital marketing in internet, as a way of gaining attention in the market, has become an essential part of any successful business - no matter how large the business is.

The attraction of attention is a necessary ingredient for an effective advertisement. As a challenge still continues to be the issues on how to reach the maximum attractiveness of the customers, namely target customers. Today, the market to gain the attention of the consumers has become very competitive, as such this attention can be considered as a special monetary value. So, it can be considered that the market attention is a currency in itself.

Some authors define the online marketing as the achievement of marketing objectives by applying digital technologies, so it can efficiently identify, anticipate and satisfy the customer needs (Smith and Chaffey, 2005). Others, define it as the sum of all business activities conducted through the internet in order to find, locate, attract and retain customers (Kotler, 2000). While some others define the online marketing as a joint product of modern communications technology and old principles of marketing that organizations have used (Hall and Lieberman, 2012).

All these definitions can be summarized in a single slogan: "Online marketing is the marketing which uses the Internet as a media manifestation".

These definitions emphasize all the activities through the world wide web which aim at:

- Building communities that have or share common values;
- Provide powerful connections with current and potential customers;
- Attracting new businesses – retaining the current business;
- Building the identity of the brand;
- Ensuring cooperation between organizations and their partners.

Online Marketing is a process that builds and maintains customer relationships through on-line activities to facilitate the exchange of ideas, products, and services that satisfy the goals of both parties. This definition includes five basic components: the process, building and maintaining customer relationships, online, the exchange, meeting the objectives of both parties.

The goal of the marketing is to build and maintain the relationship with customers. However, it is highly important to emphasise that the goal of the online marketing is not only to build relationships with online customers but also to build the off-line relationships. The online marketing program is part of a broader campaign to satisfy customers who use both on-line and off-line services.

From its self definition, online marketing is related with those people who have internet access. Despite all this we can see that the success of an online marketing program depends also on the tools of traditional marketing.

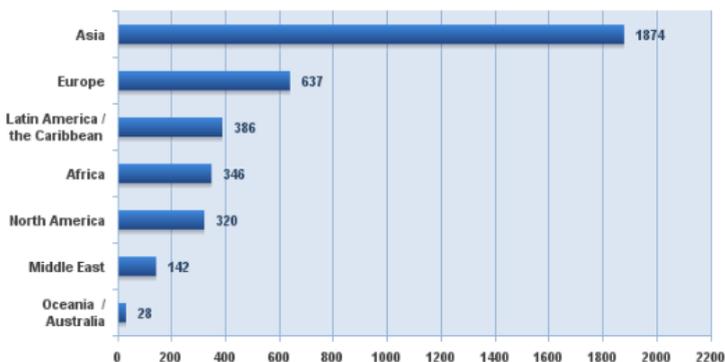
The understanding of the functions, the potentials and the benefits of online marketing would be necessity in the conditions of high competition (Stokes, 2010). Online marketing is an interactive system that allows measurable activities and that can be directed directly to the consumer (Bagwel, 2005). Moreover, the customer can choose the time and place where he wants to collaborate with the systems in the Internet. The marketing is traditionally considered as an organizational function, in other words, a whole set of processes for creating, communicating and distributing value to customers, and managing customer relationships by providing benefits for both parties. However, the question is: Is marketing simply a function within the firm or is it a philosophy or is it a whole set of related activities?

## 2. Marketing through internet

Traditionally, marketing is considered as a function of organization, in other words, a whole set of processes to create, to communicate and to distribute value to consumers and to manage the relationships with customers by providing benefits for both parties involved in the process (Smith and Chaffey, 2005).

Nowadays, in the age of globalization, internet is playing an essential role in all aspects of human life, including business. Today, it is thought that there are more than 3 billion users of internet in the world. Out of this number, 604 million Internet users come from Europe. On the other hand, the statistics for the region suggest that also in this part of the world there exists a considerable number of people who use internet. E.g. in Kosovo is estimated that the internet is used by over 1.4 million users, approximately 78% of the population (Internet World Stat, 2015). In neighbouring countries, such as in Albania there are over 1.8 million users while in Macedonia about 1.3 million users etc (Internet World Stat, 2015).

**Figure 1:** Internet users in the World according to geographic regions, in millions, as of 25 March, 2017



Source: Internet World Stats, 2017

As result, online marketing is considered as a co-operating system that enables the development of measurable activities. Such kind of marketing can be directed directly to the customer.

Marketing in the internet represents the achievement of marketing objectives by applying digital technologies, so it can efficiently identify, forecast and satisfy customer needs. This kind of marketing uses the internet as a medium of manifestation in order to find, to locate, or to maintain its consumers. It is a kind of union of contemporary technology of communication with the existing classical marketing principles, trying to build and maintain relationships with consumers through online activities. This kind of marketing offers great opportunities for businesses and removes time and space boundaries and as a result has an effect on international trade. Also with this marketing are removed the economic, political, religious restrictions that are raised from different countries

### The advantages of online marketing

Web-based marketing, known as E-Marketing (online marketing), distributes the information regarding the product or service to the global audience at a much lower cost. It also can be said that the communicating with the audience, in contrast to traditional marketing, can not only be solved easily (easy targeting of specific groups), but such communication can be done in two directions.

What makes this type of marketing important is that it can measure how much and where it has distributed the information related to business activity. Therefore, also different decisions can be taken based on up-to-date, realistic and quality results.

**Figure 1:** Visitors of the site Mjellma.net by countries for the period from 1 to 26 December 2015

Country ?	Sessions ? ↓	% New Sessions ?	New Users ?
	<b>33,755</b> <small>% of Total: 100.00% (33,755)</small>	<b>40.52%</b> <small>Avg for View: 40.44% (0.20%)</small>	<b>13,678</b> <small>% of Total: 100.20% (13,651)</small>
1.  Kosovo	<b>23,065</b> (68.33%)	37.98%	<b>8,761</b> (64.05%)
2.  Albania	<b>4,025</b> (11.92%)	52.65%	<b>2,119</b> (15.49%)
3.  Macedonia (FYROM)	<b>3,959</b> (11.73%)	36.70%	<b>1,453</b> (10.62%)
4.  Serbia	<b>472</b> (1.40%)	31.99%	<b>151</b> (1.10%)
5.  Israel	<b>395</b> (1.17%)	32.41%	<b>128</b> (0.94%)
6.  Germany	<b>293</b> (0.87%)	68.60%	<b>201</b> (1.47%)
7.  United Kingdom	<b>241</b> (0.71%)	42.74%	<b>103</b> (0.75%)
8.  United States	<b>180</b> (0.53%)	82.78%	<b>149</b> (1.09%)
9.  France	<b>140</b> (0.41%)	46.43%	<b>65</b> (0.48%)
10.  Philippines	<b>140</b> (0.41%)	30.71%	<b>43</b> (0.31%)

Source: Statistics are generated based on site visits under the "Google Analytics"

### 1.2 Forms of Online Marketing

While the traditional forms of marketing are: TV, radio, magazines, newsletters, brochures, catalogues, posters, billboards and other printed forms, online marketing is in the forms of: business websites, video marketing, content marketing, social networking, advertisements across other web sites, email marketing, marketing through recommendation, search engine optimization (SEO)<sup>1</sup>, search engine marketing (SEM)<sup>2</sup>, etc.

<sup>1</sup>The number for Kosovo may be higher since Kosovo was just recently been added to the list of states by Facebook.

<sup>2</sup>The Website of Indeksonline.net, visited on December 28<sup>th</sup>, 2015

**Business Websites:** every serious business that seeks to have a stable market should have its own websites in its domain. The site domain is the registered name of the site that enables the customer to access the business site and to gain various information. Business websites must be up-to-date with information and provide two-way communication. At least they should contain a contact form with site visitors.

**Internet Video Marketing:** presents the internet marketing process for the promotion of services, products and other relevant information for the business through video materials launched on sites or on certain internet channels, such as Youtube, Vimeo etc.

**Content marketing:** is a process of digital marketing through the creation of different special content such as: articles, billboards, electronic books, network guides, info-graphics, etc., so that the business can get the attention of as many consumers as possible.

**Recommendative Marketing:** it is a kind of marketing that is used when the business offers different rewards to clients who recommend to their friends the product or service of the business. For example, as a reward can be the extensions of the use of a free antivirus. If this product is recommended and used by 5 friends, the business rewards the customers with a 1 year free use license. For 10 friends 2 years, for 15 friends 3 years and so on.

**Email Marketing:** is a direct form of network marketing by sending direct messages to one or more customers via email.

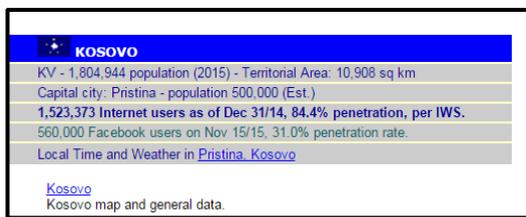
**Marketing on social networks:** means trying to attract the attention of the visitors through the launching of the information in social networks for different products, service, brands, companies etc. The most sophisticated social networks are: Facebook, Twitter, Youtube, LinkedIn, Google Plus, Instagram, My Space, Pinterest, Snap Chat, Viber, Skype etc.

According to the statistics portal Statista, the most popular social networks in the world as of November 2015, are (Statista,2015):

- Facebook** (USA) with 1.55 billion users;
- WhatsApp** (USA) with 900 million users;
- Qzone** (China) with 653 million users;
- Instagram** ( USA) with 400 million users;
- Twitter** (USA) with 316 million users;
- Skype** (USA) with 300 million users;
- Viber** (USA) with 249 million users.

Again, according to the Internet World Stats website, Facebook accounts for about 560 thousand users in the Republic of Kosovo<sup>1</sup>, over 1 million users in Albania and over 960 thousand users in Macedonia (Internet World Stats, 2015).

**Figure 2:** General Data for the Republic of Kosovo, 2014-2015



KOSOVO	
KV - 1,804,944 population (2015) - Territorial Area: 10,908 sq km	
Capital city: Pristina - population 500,000 (Est.)	
1,523,373 Internet users as of Dec 31/14, 84.4% penetration, per IWS.	
560,000 Facebook users on Nov 15/15, 31.0% penetration rate.	
Local Time and Weather in Pristina, Kosovo	
<a href="#">Kosovo</a> Kosovo map and general data.	

Source: Internet World Stats, 2015

**SEM Marketing (Search Engine Marketing)** is a service offered by search engines such as Google, Bing, Yahoo, etc. to promote and to increase the visibility of the business websites. As an example is when the user writes the name of the business in the search engine, e.g. Google, and immediately the search engine finds the website of the business. Then the advertisement of the site, next to the information when requesting a certain key word regarding the similarity of business, country, product etc.

<sup>1</sup>According to SimilarWeb.com [last accessed on 28 December 2015]

SEO (Search Engine Optimization) is the technique and strategy for improving the visibility of the business site on the search engines. Usually it is accomplished by analyzing and adjusting the keywords that are in the head of the page, which are not visible for the users. Also, in order to improve the visibility often this form of network marketing is combined with marketing through content creation.

Example of Keywords from the index page portal portal, located in the code within the pages<sup>1</sup>:

```
<metaname="keywords" content="news, kosovo, albania, world, economy, politics, indeksonline, index, indexonline, index online">
```

Source: Web Site of indeksonline.net, 2015

Advertising on the site is known as a form of internet marketing which happens when on the web site, usually in the website of portals, is placed a banner with graphical, textual or combined content, in order to promote business's product, services, etc. Usually, the websites where this type of network marketing is applied are of regional or local character and have a large number of visitors.

Such web sites in Kosovo are: rtklive.com, telegrafi.com, time.net, infopress.com, gazetaexpress.com, indeksonline.net, zëri.info, kosovasot.info, kosovapress.com etc.

**Figure 3:** Advertising in the forms of banners in the web site of the Newspaper "Express"



Source: Newspapers "Express", 2015

### The Analyze of Online Activities of a Business

Before it is decided regarding the business marketing, it is needed to conduct a series of analyzes that can be done by using manuals extracted one by one as well as automated or by using any paid service in order to conduct this analysis.

For example, if the business is a trade centre with branches throughout Kosovo, firstly is needed to be analyzed which internet site has conversations and writing activities for this area (e.g. trade centres), then are analyzed the web sites of electronic media such as portals, newspapers' and televisions' sites that have a large number of visits related with what ads they contain in this period, how they are ranked based on the number of visits and online traffic, from which places the site is most visited. Then we analyze the web sites of competitors, their traffic regarding online visits, the promotion of those websites, etc.

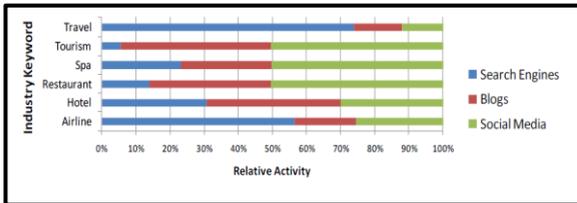
#### 2.1. Determining the place where most of the activity for business products and services is happening

Initially, the analysis regarding the place where it is most appropriate to promote a product, service or business in the Internet, begins with the question: Where is the business network or industry most active in network activity? Where is talked more about these jobs? Are search engines? Are the blobs? Social media? (Misini, 2012).

The analysis on this topic is carried out by gathering information in Internet. Additional information can be gathered from the web sites that provide various statistics related to business topics. There are even web applications that process information into graphs. Such an application is the HubSpot.com

<sup>1</sup> According Alexa.com [last accessed 28 December 2015]

**Figure 4:** Information chart for some keywords and conversation activity digital media



Source: HubSpot, 2015

## 2.2. The measurement of detailed activity and of competition

Among the other analyzes that need to be carried out in detail is also the analysis of the internet activities of the competitors. One of the steps to do this analyze is to look at the rankings and the traffic of the competitors' websites in the region or in the local market. This analysis can be done by using any of the free services offered by sites such as: *alexa.com*, *compete.com*, *similarweb.com*, *feedcompare.com*.

**Figure 5:** The analysis of the online traffic of the websites of some Trading Centres in Kosovo

Website	Marketing Grade	Traffic Rank	Indexed Pages	Linking Domains	mozRank
<a href="http://albigroup.com">albigroup.com</a> Updated 12/28/2015	43	5,967,099	76	9	4.2
<a href="http://minimax-ks.com">minimax-ks.com</a> Updated 12/28/2015	34	9,810,503	53	7	5.4
<a href="http://etc-ks.com">etc-ks.com</a> Updated 12/28/2015	35	3,786,219	67	7	3.8
<a href="http://abi-center.com">abi-center.com</a> Updated 12/28/2015	10	6,094,404	10	3	3.5
<a href="http://euro-food.org">euro-food.org</a> Updated 12/28/2015	30	13,836,663	22	4	2.6

## 3. The formulation of the network marketing strategy

The formulation of the network marketing strategy regarding on which internet channel the business is going to operate, is carried out in several steps (Hall and Lieberman, 2013):

- Setting the goal
- Identifying the target
- Studying the current clients
- Identifying the competitors
- Setting the strategy
- Tracking the results

### Setting the Goal

Network marketing can do a lot work for the business. But firstly we must clearly define the goal. Usually we choose one or two goals, e.g.

We want to attract more visitors to our web site.

We would like to collect more email addresses from clients to send to them news and daily/weekly offers.

Once the goal is set, the process continues with the other steps that help to achieve this goal.

### Identifying the target customers

In this step, is formulated the type of customers the business wants to have. What do they like? What are their problems? How do they make the orders? Have they previously bought from the competitors? In the process of identifying the target customers are also considered their gender, age, location, hobbies etc. All of this information helps to determine the best way on how to reach out the targeted customers.

### Studying the current clients

This step can be done by directly asking the questions, e.g.: How did they find the business web site? Or, do they know that on the business web site they can get the latest information. In addition, the customers can be invited to complete a questionnaire that we have already published on the web site from where we will learn about their desires, requests, suggestions, etc.

### Identifying the competitors

It is highly important to identify what are the competitors promoting competition and how are they gaining the attention of the customers attention. This information can greatly help the business to create a unique approach on how to gain the customer attention.

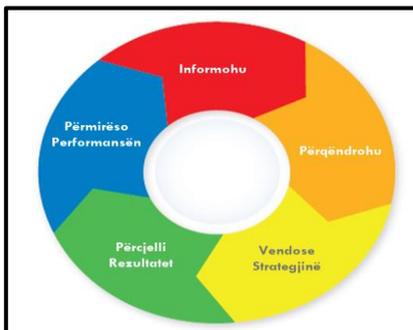
### Setting the Strategy

In order to dramatically improves the result of a marketing strategy it is necessary to do the previously mentioned analyzes and to design a plan. Usually we choose one or two tactics that will work within our marketing budget and which have a meaning for our audience. Then it is necessary to dedicate the rest of the efforts to effectively manage this strategy. Many experts of internet marketing use the approach known as "test and edit" to get the highest results.

### Tracking the results

Network marketing (online marketing) makes it easy to measure and track results. This measurement is carried out by closely following the responses, reactions, customer visits in our business. Through monitoring, measuring and analyzing the data in the network related to our customers we can make decisions such as: in which programs is needed to increase the investments, which programs do not function well, which form of network marketing works better, where to focus the information and newsletters for the business, product or service.

Figure 6: The circle of marketing strategy formulation in the network



Source: Hall and Lieberman, 2013

### The statistical analysis of regional and local portals

It is understood that before deciding to advertise our product, service or business on any regional or local portal on the internet, the people from the web portal marketing department along with the price list, may also request statistical information on site visits on daily or monthly basis. However the statistics sent from the portals, may be swollen. So we decide to conduct the analysis regarding which web portals have more visits and from which countries.

The analyzes related to these online portals can be done using the services provided by many specialized websites for this purpose. The questions that are of interest for us at this stage of the analysis are:

Who are the top 10 portals or web sites that have the most visits in the markets where the product is placed or where our service is provided;

From which countries are mostly the visits;

What are the visit statistics for the last 3 or 6 month period.

Demography (gender, age, education, location) etc.

One of the sites that can help in the analysis for this purpose and which offer free information, is the Alexa.com site. Regarding a local example, ten pages with are mostly visited in Albania, according to the Alexa.com site, are:

**Table 1:** The 10 most visited sites in the Region

Gazetaexpress.com	Lajmi.net
Facebook.com	Koha.net
Google.com	Google.al
Youtube.com	Merrjep.com
Balkanweb.com	Top-channel.tv

Source: Alexa.com, 2015

In this page, Kosovo is still not listed as a state, so the potential customers that we may consider are from Albania and Serbia, since ISPs offering internet services in Kosovo, these internet connection are mostly through Albania and some through Serbia.

**Figure 7:** From which countries come the site visitors of Gazetaexpress.com and rankings in those countries

Country	Percent of Visitors	Rank in Country
 Albania	48.9%	1
 Germany	12.0%	398
 Switzerland	9.9%	69
 Denmark	5.8%	1,755
 Italy	4.3%	1,368

Source: Alaxa.com

A similar site that offers some free analysis is also SimilarWeb.com. Also this site confirms that the GazetaExpress.com is the most visited webpage in Albania. Above is presented an interesting graphic for visits in the last 6 months, how long visitors stay on the site, and what is the number of visits. For the period 15 October - 15 November 2015, this portal has been visited by 1.8 million visitors.

**Figure 9:** Some statistics on visits of Gazetaexpress.com



Source: Similarweb.com

**Table 2:** The position of some Kosovo portals according to visits and rankings in Albania and in the World

Position	Website / portal	Visits as of 1 November 20151, in millions	Country Rank (in Albania)2	Global Rank
1	Gazetaexpress.com	1.8	1	1,140
2	Koha.net	0.84	7	4,821
3	Telegrafi.com	1.6	14	20,893
4	Botasot.info	0.6	29	14,594
5	Indeksonline.net	0.36	80	67,377

Source: SimilarWeb.com

## 5. Recommendations

- The study has a strong practical orientation, building a profile of electronic services present on economic operators' websites to enhance customer satisfaction. So it is important to know what electronic services should a website contain from a consumer perspective in order to provide the best results.
- Despite the strategic importance of the Internet and website as a means of attracting and retaining consumers, understanding the needs of consumers in this area remains subject to study. However, these knowledge are valid mainly for operators, which have limited resources to undertake search or marketing campaigns.
- The field of electronic services can be considered as one of the fastest growing new search fields. There is still no common consensus as to how various electronic services affect perceptions or consumer behavior by different industries<sup>3</sup>.
- The informational aspect of the website makes consumers get the right and timely information at any time, which is an important quality criterion.
- The success of e-marketing depends on electronic services. Despite the strategic importance of the Internet and website as a means of attracting and retaining consumers, understanding the needs of consumers in this area remains subject to study.

<sup>1</sup> Chadwick, Simon, *The Research Industry Grows Up – and Out*, Marketing News, p. 9, 1998

<sup>2</sup> This article is the result of the research project called: "Rationality and progress in science. A proposal for analogical rationality, from the epistemology of Evandro Agazzi" developed in the doctorate in Philosophy from the Pontificia Bolivariana University. This project is supported by the research directorate of the San Buenaventura University in Cali (Colombia). Cost Center number 34516035. Thanks to professor German Warrior Pine PhD who advised this doctoral research project.

- The intensity and pressure of competition both inside and outside the country has increased considerably, therefore different companies should not rely solely on their assets but should be differentiated through electronic services to provide competitive advantages.

## 6. Conclusion

From all that was said on this paper we conclude that we need to increase the interest in advertising our activities through the internet. With this kind of marketing we make the right choice. The field of electronic services can be considered as one of the fastest growing new search fields. There is still no common consensus as to how different electronic services affect consumer perception or behavior in different industries. Internet enables us to advertise quickly worldwide, to anyone who is interested in our products or services. Online advertising is the best way to make our activity recognized, a new and extensive information tool that has been successfully applied for many years in all other countries of the world. Fortunately the same is happening now with Kosovo.

To advertise our online activity means to identify faster and more, meaning to be more successful than others, meaning to rank higher than others in the main search engines, meaning to have a bigger number of visitors, summing it all in one single sentence: the gateway that enables us to gain massive publicity.

Stop expensive advertising on TV and Radio, now we have the opportunity to pay cheaper and achieve a faster success. The Internet is increasingly becoming the main street of any business and business in the world.

Companies in Kosovo must definitely become part of this broader community, to be included in the new era of virtualization and contemporary technology. Now it is no longer difficult to open a business and advertise it with as little expense and make it as profitable as possible. Through technology, we can buy, sell, trade and compete with other firms. The newest form for a safer and more successful business is undoubtedly today Electronic Marketing.

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## Napoleon Bonaparte: His Successes and Failures

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### Abstract

Napoleon Bonaparte (1769-1821), also known as Napoleon I, was a French military leader and emperor who conquered much of Europe in the early 19th century. Born on the island of Corsica, Napoleon rapidly rose through the ranks of the military during the French Revolution (1789-1799). After seizing political power in France in a 1799 coup d'état, he crowned himself emperor in 1804. Shrewd, ambitious and a skilled military strategist, Napoleon successfully waged war against various coalitions of European nations and expanded his empire. However, after a disastrous French invasion of Russia in 1812, Napoleon abdicated the throne two years later and was exiled to the island of Elba. In 1815, he briefly returned to power in his Hundred Days campaign. After a crushing defeat at the Battle of Waterloo, he abdicated once again and was exiled to the remote island of Saint Helena, where he died at 51. Napoleon was responsible for spreading the values of the French Revolution to other countries, especially in legal reform and the abolition of serfdom. After the fall of Napoleon, not only was the Napoleonic Code retained by conquered countries including the Netherlands, Belgium, parts of Italy and Germany, but has been used as the basis of certain parts of law outside Europe including the Dominican Republic, the US state of Louisiana and the Canadian province of Quebec. The memory of Napoleon in Poland is favorable, for his support for independence and opposition to Russia, his legal code, the abolition of serfdom, and the introduction of modern middle class bureaucracies. The social structure of France changed little under the First Empire. It remained roughly what the Revolution had made it: a great mass of peasants comprising three-fourths of the population—about half of them works owners of their farms or sharecroppers and the other half with too little land for their own subsistence and hiring themselves out as laborers. Industry, stimulated by the war and the blockade of English goods, made remarkable progress in northern and eastern France, whence exports could be sent to central Europe; but it declined in the south and west because of the closing of the Mediterranean and the Atlantic. The great migrations from rural areas toward industry in the towns began only after 1815. The nobility would probably have declined more swiftly if Napoleon had not restored it, but it could never recover its former privileges. Finally we can say that many of the territories occupied by Napoleon during his Empire began to feel a new sense of nationalism.

**Keywords:** Military power, Brumaire, Abdication, War, Napoleonic Code, Metric system, Continental system, Campaign, Nationalism

### Introduction

In the book 'The Rise of Napoleon Bonaparte' by Robert Asprey opined from the report of Napoleon's examiner (École Militaire, Paris, August 1785) that "...reserved and studious, he prefers study to any type of amusement, finding pleasure in the reading of good authors; very applied [to the study of] abstract sciences, little curious as the others, [having] a thorough knowledge of mathematics and geography; quiet, loving solitude, capricious, arrogant, extremely inclined to egoism, speaking little spirited in his answers, quick and harsh in his replies having much pride and boundless ambition, this young man deserves to be encouraged." Napoleon Bonaparte (1769-1821), also known as Napoleon I, was a French military leader and emperor who conquered much of Europe in the early 19th century. Born on the island of Corsica, Napoleon rapidly rose through the ranks of the military during the French Revolution (1789-1799). After seizing political power in France in a 1799 coup d'état, he crowned himself emperor in 1804. Shrewd, ambitious and a skilled military strategist, Napoleon successfully waged war against various coalitions of European nations and expanded his empire. However, after a disastrous French invasion of Russia in 1812, Napoleon abdicated the throne two years later and was exiled to the island

of Elba. In 1815, he briefly returned to power in his Hundred Days campaign. After a crushing defeat at the Battle of Waterloo, he abdicated once again and was exiled to the remote island of Saint Helena, where he died at 51. [1]

### **Napoleon's Education and Early Military Career**

Napoleon Bonaparte was born on August 15, 1769, in Ajaccio, on the Mediterranean island of Corsica. He was the second of eight surviving children born to Carlo Buonaparte (1746-1785), a lawyer, and Letizia Romolino Buonaparte (1750-1836). Although his parents were members of the minor Corsican nobility, the family was not wealthy. The year before Napoleon's birth, France acquired Corsica from the city-state of Genoa, Italy. Napoleon later adopted a French spelling of his last name.

In 1799, during Napoleon's military campaign in Egypt, a French soldier named Pierre Francois Bouchard (1772-1832) discovered the Rosetta Stone. This artifact provided the key to cracking the code of Egyptian hieroglyphics, a written language that had been dead for almost 2,000 years.

As a boy, Napoleon attended school in mainland France, where he learned the French language, and went on to graduate from a French military academy in 1785. He then became a second lieutenant in an artillery regiment of the French army. The French Revolution [2] began in 1789, and within three years revolutionaries had overthrown the monarchy and proclaimed a French republic. During the early years of the revolution, Napoleon was largely on leave from the military and home in Corsica, where he became affiliated with the Jacobins, a pro-democracy political group. In 1793, following a clash with the nationalist Corsican governor, Pasquale Paoli (1725-1807), the Bonaparte family fled their native island for mainland France, where Napoleon returned to military duty.

In France, Napoleon became associated with Augustin Robespierre (1763-1794), the brother of revolutionary leader Maximilien Robespierre (1758-1794), a Jacobin who was a key force behind the Reign of Terror (1793-1794),[3] a period of violence against enemies of the revolution. During this time, Napoleon was promoted to the rank of brigadier general in the army. However, after Robespierre fell from power and was guillotined (along with Augustin) in July 1794, Napoleon was briefly put under house arrest for his ties to the brothers. In 1795, Napoleon helped suppress a royalist insurrection against the revolutionary government in Paris and was promoted to major general.

### **Napoleon's Rise to Power**

Since 1792, France's revolutionary government had been engaged in military conflicts with various European nations. In 1796, Napoleon commanded a French army that defeated the larger armies of Austria, one of his country's primary rivals, in a series of battles in Italy. In 1797, France and Austria signed the Treaty of Campo Formio, resulting in territorial gains for the French.

The following year, the Directory, the five-person group that had governed France since 1795, offered to let Napoleon lead an invasion of England. Napoleon determined that France's naval forces were not yet ready to go up against the superior British Royal Navy. Instead, he proposed an invasion of Egypt in an effort to wipe out British trade routes with India. Napoleon's troops scored a victory against Egypt's military rulers, the Mamluks, at the Battle of the Pyramids [4] in July 1798; soon, however, his forces were stranded after his naval fleet was nearly decimated by the British at the Battle of the Nile in August 1798. In early 1799, Napoleon's army launched an invasion of Ottoman-ruled Syria, which ended with the failed siege of Acre, located in modern-day Israel. That summer, with the political situation in France marked by uncertainty, the ever-ambitious and cunning Napoleon opted to abandon his army in Egypt and return to France.

### **The Coup of 18 Brumaire**

In November 1799, in an event known as the coup of 18 Brumaire, [5] Napoleon was part of a group that successfully overthrew the French Directory. The Directory was replaced with a three-member Consulate, and Napoleon became first consul, making him France's leading political figure. In June 1800, at the Battle of Marengo, Napoleon's forces defeated one of France's perennial enemies, the Austrians, and drove them out of Italy. The victory helped cement Napoleon's power as first consul. Additionally, with the Treaty of Amiens in 1802, the war-weary British agreed to peace with the French (although the peace would only last for a year).

In 1802, a constitutional amendment made Napoleon first consul for life. Two years later, in 1804, he crowned himself emperor of France in a lavish ceremony at the Cathedral of Notre Dame in Paris.

## **Napoleon's Marriages and Children**

In 1796, Napoleon married Josephine de Beauharnais (1763-1814), a stylish widow six years his senior who had two teenage children. More than a decade later, in 1809, after Napoleon had no offspring of his own with Josephine, he had their marriage annulled so he could find a new wife and produce an heir. In 1810, he wed Marie Louise (1791-1847), the daughter of the emperor of Austria. The following year, she gave birth to their son, Napoleon François Joseph Charles Bonaparte (1811-1832), who became known as Napoleon II and was given the title king of Rome. In addition to his son with Marie Louise, Napoleon had several illegitimate children.

## **The Reign of Napoleon**

From 1803 to 1815, France was engaged in the Napoleonic Wars, a series of major conflicts with various coalitions of European nations. In 1803, partly as a means to raise funds for future wars, Napoleon sold France's Louisiana Territory in North America to the newly independent United States for \$15 million, a transaction that later became known as the Louisiana Purchase [6].

In October 1805, the British wiped out Napoleon's fleet at the Battle of Trafalgar [7]. However, in December of that same year, Napoleon achieved what is considered to be one of his greatest victories at the Battle of Austerlitz, in which his army defeated the Austrians and Russians. The victory resulted in the dissolution of the Holy Roman Empire and the creation of the Confederation of the Rhine.

Beginning in 1806, Napoleon sought to wage large-scale economic warfare against Britain with the establishment of the so-called Continental System of European port blockades against British trade. In 1807, following Napoleon's defeat of the Russians at Friedland in Prussia, Alexander I (1777-1825) was forced to sign a peace settlement, the Treaty of Tilsit. In 1809, the French defeated the Austrians at the Battle of Wagram, resulting in further gains for Napoleon.

During these years, Napoleon reestablished a French aristocracy (eliminated in the French Revolution) and began handing out titles of nobility to his loyal friends and family as his empire continued to expand across much of western and central continental Europe.

## **Napoleon's Downfall and First Abdication**

In 1810, Russia withdrew from the Continental System. In retaliation, Napoleon led a massive army into Russia in the summer of 1812. Rather than engaging the French in a full-scale battle, the Russians adopted a strategy of retreating whenever Napoleon's forces attempted to attack. As a result, Napoleon's troops trekked deeper into Russia despite being ill-prepared for an extended campaign. In September, both sides suffered heavy casualties in the indecisive Battle of Borodino. Napoleon's forces marched on to Moscow, only to discover almost the entire population evacuated. Retreating Russians set fires across the city in an effort to deprive enemy troops of supplies. After waiting a month for a surrender that never came, Napoleon, faced with the onset of the Russian winter, was forced to order his starving, exhausted army out of Moscow. During the disastrous retreat, his army suffered continual harassment from a suddenly aggressive and merciless Russian army. Of Napoleon's 600,000 troops who began the campaign, only an estimated 100,000 made it out of Russia.

At the same time as the catastrophic Russian invasion, French forces were engaged in the Peninsular War (1808-1814), which resulted in the Spanish and Portuguese, with assistance from the British, driving the French from the Iberian Peninsula. This loss was followed in 1813 by the Battle of Leipzig [8], also known as the Battle of Nations, in which Napoleon's forces were defeated by a coalition that included Austrian, Prussian, Russian and Swedish troops. Napoleon then retreated to France, and in March 1814 coalition forces captured Paris.

On April 6, 1814, Napoleon, then in his mid-40s, was forced to abdicate the throne. With the Treaty of Fontainebleau, he was exiled to Elba, a Mediterranean island off the coast of Italy. He was given sovereignty over the small island, while his wife and son went to Austria.

## **Hundred Days Campaign and Battle of Waterloo**

On February 26, 1815, after less than a year in exile, Napoleon escaped Elba and sailed to the French mainland with a group of more than 1,000 supporters. On March 20, he returned to Paris, where he was welcomed by cheering crowds. The new king, Louis XVIII (1755-1824), fled, and Napoleon began what came to be known as his Hundred Days campaign. Upon Napoleon's return to France, a coalition of allies—the Austrians, British, Prussians and Russians—who considered the

French emperor an enemy began to prepare for war. Napoleon raised a new army and planned to strike preemptively, defeating the allied forces one by one before they could launch a united attack against him.

In June 1815, his forces invaded Belgium, where British and Prussian troops were stationed. On June 16, Napoleon's troops defeated the Prussians at the Battle of Ligny. However, two days later, on June 18, at the Battle of Waterloo [9] near Brussels, the French were crushed by the British, with assistance from the Prussians. On June 22, 1815, Napoleon was once again forced to abdicate.

### **Napoleon's Final Years**

In October 1815, Napoleon was exiled to the remote, British-held island of Saint Helena, in the South Atlantic Ocean. He died there on May 5, 1821, at age 51, most likely from stomach cancer. (During his time in power, Napoleon often posed for paintings with his hand in his vest, leading to some speculation after his death that he had been plagued by stomach pain for years.) Napoleon was buried on the island despite his request to be laid to rest "on the banks of the Seine, among the French people I have loved so much." In 1840, his remains were returned to France and entombed in a crypt at Les Invalides in Paris, where other French military leaders are interred.

### **Successes of Napoleon Bonaparte**

#### **Various Reforms:**

Napoleon instituted various reforms, such as higher education, a tax code, road and sewer systems, and established the Banque de France, the first central bank in French history. He negotiated the Concordat of 1801 with the Catholic Church, which sought to reconcile the mostly Catholic population to his regime. The Concordat of 1801 was an agreement between Napoleon and Pope Pius VII, signed on 15 July 1801 in Paris [10]. It remained in effect until 1905. It sought national reconciliation between revolutionaries and Catholics and solidified the Roman Catholic Church as the majority church of France, with most of its civil status restored. The hostility of devout Catholics against the state had then largely been resolved. It did not restore the vast church lands and endowments that had been seized upon during the revolution and sold off. Catholic clergy returned from exile, or from hiding, and resumed their traditional positions in their traditional churches. Very few parishes continued to employ the priests who had accepted the Civil Constitution of the Clergy of the Revolutionary regime. While the Concordat restored much power to the papacy, the balance of church-state relations tilted firmly in Napoleon's favour. He selected the bishops and supervised church finances [11]. Napoleon and the pope both found the Concordat useful. Similar arrangements were made with the Church in territories controlled by Napoleon, especially Italy and Germany [12]

He dissolved the Holy Roman Empire prior to German Unification later in the 19th century. The sale of the Louisiana Territory to the United States doubled the size of the United States [13].

In May 1802, he instituted the Legion of Honour, a substitute for the old royalist decorations and orders of chivalry, to encourage civilian and military achievements; the order is still the highest decoration in France [14].

#### **Napoleonic Code**

Napoleon's set of civil laws, the *Code Civil*—now often known as the Napoleonic Code—was prepared by committees of legal experts under the supervision of Jean Jacques Régis de Cambacérès, the *Second Consul*. Napoleon participated actively in the sessions of the Council of State that revised the drafts. The development of the code was a fundamental change in the nature of the civil law legal system with its stress on clearly written and accessible law. Other codes ("Les cinq codes") were commissioned by Napoleon to codify criminal and commerce law; a Code of Criminal Instruction was published, which enacted rules of due process [15]. The Napoleonic code was adopted throughout much of Continental Europe, though only in the lands he conquered, and remained in force after Napoleon's defeat. Napoleon said: "My true glory is not to have won forty battles ... Waterloo will erase the memory of so many victories. ... But ... what will live forever is my Civil Code". The Code influences a quarter of the world's jurisdictions such as that of in Continental Europe, the Americas and Africa.

Dieter Langewiesche described the code as a "revolutionary project" which spurred the development of bourgeois society in Germany by the extension of the right to own property and acceleration towards the end of feudalism. Napoleon reorganized what had been the Holy Roman Empire, made up of more than a thousand entities into a more streamlined

forty-state Confederation of the Rhine; this provided the basis for the German Confederation and the unification of Germany in 1871[16].

The movement toward national unification in Italy was similarly precipitated by Napoleonic rule. These changes contributed to the development of nationalism and the nation state [17].

Napoleon implemented a wide array of liberal reforms in France and across Continental Europe, especially in Italy and Germany, as summarized by British historian Andrew Roberts:

The ideas that underpin our modern world—meritocracy, equality before the law, property rights, religious toleration, modern secular education, sound finances, and so on—were championed, consolidated, codified and geographically extended by Napoleon. To them he added a rational and efficient local administration, an end to rural banditry, the encouragement of science and the arts, the abolition of feudalism and the greatest codification of laws since the fall of the Roman Empire [18].

Napoleon directly overthrew feudal remains in much of western Continental Europe. He liberalized property laws, ended seigniorial dues, abolished the guild of merchants and craftsmen to facilitate entrepreneurship, legalised divorce, closed the Jewish ghettos and made Jews equal to everyone else. The Inquisition ended as did the Holy Roman Empire. The power of church courts and religious authority was sharply reduced and equality under the law was proclaimed for all men [19].

### 3. Warfare Policy

In the field of military organization, Napoleon borrowed from previous theorists such as Jacques Antoine Hippolyte, Comte de Guibert, and from the reforms of preceding French governments, and then developed much of what was already in place. He continued the policy, which emerged from the Revolution, of promotion based primarily on merit [20]. Corps replaced divisions as the largest army units, mobile artillery was integrated into reserve batteries, the staff system became more fluid and cavalry returned as an important formation in French military doctrine. These methods are now referred to as essential features of Napoleonic warfare. Though he consolidated the practice of modern conscription introduced by the Directory, one of the restored monarchy's first acts was to end it [21].

His opponents learned from Napoleon's innovations. The increased importance of artillery after 1807 stemmed from his creation of a highly mobile artillery force, the growth in artillery numbers, and changes in artillery practices. As a result of these factors, Napoleon, rather than relying on infantry to wear away the enemy's defenses, now could use massed artillery as a spearhead to pound a break in the enemy's line that was then exploited by supporting infantry and cavalry. Mc Conachy rejects the alternative theory that growing reliance on artillery by the French army beginning in 1807 was an outgrowth of the declining quality of the French infantry and, later, France's inferiority in cavalry numbers. Weapons and other kinds of military technology remained static through the Revolutionary and Napoleonic eras, but 18th-century operational mobility underwent change. Napoleon's biggest influence was in the conduct of warfare. Antoine-Henri Jomini explained Napoleon's methods in a widely used textbook that influenced all European and American armies. Napoleon was regarded by the influential military theorist Carl von Clausewitz as a genius in the operational art of war, and historians rank him as a great military commander.<sup>[239]</sup> Wellington, when asked who the greatest general of the day was, answered: "In this age, in past ages, in any age, Napoleon".

Under Napoleon, a new emphasis towards the destruction, not just out maneuvering, of enemy armies emerged. Invasions of enemy territory occurred over broader fronts which made wars costlier and more decisive. The political effect of war increased; defeat for a European power meant more than the loss of isolated enclaves. Near-Carthaginian peaces intertwined whole national efforts, intensifying the Revolutionary phenomenon of total war [22].

### Metric system

The official introduction of the metric system in September 1799 was unpopular in large sections of French society. Napoleon's rule greatly aided adoption of the new standard not only across France but also across the French sphere of influence. Napoleon took a retrograde step in 1812 when he passed legislation to introduce the *mesures usuelles* (traditional units of measurement) for retail trade[23] —a system of measure that resembled the pre-revolutionary units but were based on the kilogram and the metre; for example the *livre metrique* (metric pound) was 500 g<sup>l</sup> instead of 489.5 g—the value of the *livre du roi* (the king's pound)[24]. Other units of measure were rounded in a similar manner prior to the definitive introduction of the metric system across parts of Europe in the middle of the 19th century [25].

## Education

Napoleon's educational reforms laid the foundation of a modern system of education in France and throughout much of Europe. Napoleon synthesized the best academic elements from the *Ancien Régime*, The Enlightenment, and the Revolution, with the aim of establishing a stable, well-educated and prosperous society. He made French the only official language. He left some primary education in the hands of religious orders, but he offered public support to secondary education. Napoleon founded a number of state secondary schools (*lycées*) designed to produce a standardized education that was uniform across France. All students were taught the sciences along with modern and classical languages. Unlike the system during the *Ancien Régime*, religious topics did not dominate the curriculum, although they were present with the teachers from the clergy. Napoleon hoped to use religion to produce social stability [26]. He gave special attention to the advanced centers, such as the École Polytechnique, that provided both military expertise and state-of-the-art research in science [27] made some of the first efforts at establishing a system of secular and public education. The system featured scholarships and strict discipline, with the result being a French educational system that outperformed its European counterparts, many of which borrowed from the French system.

### The Failure or Downfall of Napoleon

By 1808, Napoleon was so dominant in France and in Europe that no one prophesized about his downfall. However between 1808-1815, there was resistance against Napoleon that made his downfall inevitable. The factors that led to the downfall of Napoleon [28] were both internal and external, long term and immediate, his own making and circumstances beyond his control as seen below;

#### 1. The continental system

The continental system which was designed by Napoleon to defeat Britain became a boomerang that finally led to his own downfall.

- The system denied Europe, France inclusive the British cheap goods yet of high quality. Many people had to oppose his policy leading to his downfall.
- The system led to famine, unemployment, inflation, starvation and decline in international trade. These conditions undermined Napoleon's earlier achievements hence his downfall
- The continental system led to the formation of the 4<sup>th</sup> and 5<sup>th</sup> coalitions that defeated Napoleon. That is to say the 4<sup>th</sup> coalition defeated Napoleon at the battle of Leipzig and imprisoned him at Elba. But Napoleon escaped and ruled for more 100 days. The 5<sup>th</sup> coalition was formed that defeated Napoleon at the battle of Waterloo and Napoleon was imprisoned in the island of St. Hellena where he died in 1821.
- It made Napoleon impose heavy taxes to raise revenue to finance the continental system that was met with opposition
- Continental system made Napoleon to imprison the Pope hence loss of popularity especially from the Catholics
- It made Napoleon to get involved into peninsular war which he called the "Spanish ulcer that destroyed me"
- The continental system dragged Napoleon into the disastrous Moscow campaign where he lost over 580,000 troops.
- The system made Britain to spearhead and to mastermind most of the wars against Napoleon eg peninsular, 4<sup>th</sup>, 5<sup>th</sup> coalition etc

#### 2. Imprisonment of the Pope

The continental systems made Napoleon to arrest and imprison the Pope. This was because the Pope complained bitterly about the side effects of the system over Rome, Italy and the entire Europe and he refused to implement it in the Papal States. Napoleon reacted by invading popal states, arrested the Pope and imprisoned him. This reduced his popularity among the Catholics in France and the whole Europe. This is why the alliance of catholic states like Austria, Prussia, Russia and Italy was formed against him hence his downfall

#### 3. The peninsular war (1808-1814)

Napoleon's ambition to implement the continental system dragged him to the peninsular war which he called "an ulcer that destroyed me". The Portuguese and Spaniards turned and united against him at the battle of Trafalgar. This defeat proved

to the world that Napoleon could be defeated, over 20,000 of his soldiers surrendered and it also weakened Napoleon's military strength. This led to the downfall of Napoleon in 1815

#### **4. The Moscow campaign (1812)**

The continental system entangled Napoleon into disastrous Moscow campaign which was the turning point in his military and political career in France and Europe. He experienced the heaviest military loss in the history of the world. It led to his downfall in that;

- He lost over 580,000 troops which weakened Napoleon military that is why he was defeated by the 4<sup>th</sup> and 5<sup>th</sup> coalitions
- European powers learnt that Napoleon was not untouchable, he could also be defeated
- It made a number of military officials to desert Napoleon. The heavy losses of the French soldiers, horses, conscription and over taxation forced Tallrand to join allied forces that defeated Napoleon
- The massive loss of 580,000 troops made Napoleon to resort to forceful recruitment, inexperienced, ill trained young men.

#### **5. The British Naval superiority**

Napoleon's lack of a strong navy relative to the British naval superiority led to his downfall. This explains why Napoleon was defeated at the battle of Trafalgar in 1805. By 1807, Napoleon had defeated nearly all European powers except Britain. This made Napoleon to;

- He had to resort to the continental system i.e. economic war to bring Britain to her knees
- The naval weakness partly accounts for the failure of the continental system
- It explains why Napoleon was defeated at the battle of Leipzig and Waterloo by the 4<sup>th</sup> and 5<sup>th</sup> coalitions. In these wars, Britain dominated mostly the sea
- All the wars fought against Napoleon were masterminded by Napoleon eg th 3<sup>rd</sup>, 4<sup>th</sup>, 5<sup>th</sup> coalitions headed by Britain
- During the peninsular war, Britain took the advantage of her naval superiority to defeat Napoleon at the battle of Trafalgar

#### **6. Overwhelming ambition**

Napoleon was too ambitious and he wished to control the whole Europe. Napoleon's ambition could be gauged from his statement that "I have known the limits of my legs, I have known the limits of my eyes, I have never known the limit of my work." By 1812, he had forged the heterogeneous empire that was too big and too difficult to maintain by an individual. His ambition made him to fight endless wars. It was what made him to embark into the continental system which made his downfall inevitable by 1815.

#### **7. The rise of European nationalism**

The rise and growth of nationalism undermined Napoleon's effort to dominate Europe. Napoleon had sown seeds of nationalism by preaching the French revolutionary ideas of equality, liberty and fraternity. However, he contradicted his preaching by over taxing people in the conquered papal states. His attempt to create Bonaparte family rule (Bonapartism) over Europe made him very unpopular in Europe e.g. he imposed his brother Joseph Bonaparte in Spain, Louis Bonaparte in Holland and Jerome Bonaparte in West Phalia. Napoleon was seen as fooling Europe and this led to the rise of Nationalism leading to his downfall

#### **8. The endless wars**

Throughout his career, Napoleon was involved in several wars that greatly contributed to his downfall. In the process of fighting many wars, the quality and quantity of his army deteriorated (declined) and his military ability to fight against opponents reduced. It is true that Napoleon fought 60 battles (differently) and emerged victorious in 49. But the quality and quantity of his army declined that is why he was defeated at the battle of Trafalgar, Leipzig and Waterloo. In the peninsular war, he lost 300,000, Moscow campaign 580,000 troops. He resorted to recruiting young boys of below 15 years and these ones could easily surrender to the opponents hence his defeat and downfall

## 9. His old age

By 1814, Napoleon had completely lost his sense of judgment due to brain depreciation that contributed to his downfall. Napoleon had fought too many wars to the extent that at the age of 45 years only, he appeared too old and exhausted. He was no longer capable of making proper judgment and planning. This is why he failed to foresee winter in Russia and he also foolishly relied on food from Russia during the peninsular war which actually made him to be defeated. His failure to use the former warfare and resorted to new tactics that led to his defeat at Leipzig and Waterloo hence his downfall

## 10. Economic decline in France

By 1815, the French economy had declined. The revolutionary and Napoleonic wars drained the French resources and caused socio-economic problems like industrial breakdown, unemployment, inflation, famine and starvation. Besides, the wars had isolated France from the rest of Europe. It made France unable to finance, arm, train and pay her soldiers which affected their performance and led to the defeat of Napoleon by the allied powers. This was made worse when Napoleon imposed heavy taxes in order to maintain his large army making him unpopular hence his downfall

## 11. The role of Britain

Britain played a very crucial role towards the downfall of Napoleon Bonaparte. She had the strongest economy, superior naval force, and she was the force behind the formation of all coalitions that were formed against Napoleon and France at large. It was the British navy that defeated Napoleon in the battle of Trafalgar. The need to defeat Britain dragged Napoleon into the continental system. The British supported and allied with states like Italy and German as such support gave them courage to resist Napoleon's rule and rise of nationalism. All these contributed to the downfall of Napoleon

## 12. Concert of Europe

Lastly, the alliance of Europe against Napoleon finally contributed to his downfall. Napoleon in his military career was never defeated by a single power. But when the European powers combined their resources and armies in the 4<sup>th</sup> coalition, it became too much for him to withstand and he was consequently defeated when he escaped from Elba, he ruled for 100 days and the 5<sup>th</sup> coalition was formed that defeated him.

## Conclusion

Finally we can say that Napoleon Bonaparte was a legend in the European history for his works. But St Helena, Napoleon said, "Waterloo will erase the memory of all my victories". He was wrong. For better or eraser, he is best remembered as a general and a military genius, not for his enlightened government. Napoleon worked to restore stability to post-revolutionary France. He centralized the government; instituted reforms in such areas as banking and education; supported science and the arts; and sought to improve relations between his regime and the pope (who represented France's main religion, Catholicism), which had suffered during the revolution. One of his most significant accomplishments was the Napoleonic Code, which streamlined the French legal system and continues to form the foundation of French civil law to this day.

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## Student Protagonism: the Use of Webquest as a Methodological Strategy in Teaching History

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### Abstract

The teaching of history is strongly marked by the concern of building, beyond the factual knowledge, a critical conscience in the students. Alongside this, we live in a reality marked by the intense information flow, available through the new information technologies, particularly the internet. In this way, the following problem arises: how to combine this great amount of information with the construction of a critical conscience, based on reliable information? The present case study searches through the use of *WebQuests*, a strategy that favors the teaching-learning relationship, to support the development of reflection and criticism of both the teacher and the student. Since it allows the teacher to select the resources available in the world-wide web, being able to make possible the contact with instructional materials to the research group involved in this case, students of the second grade of the High School. I selected those that will in fact contribute to the construction of a trustworthy knowledge that stimulates the critical sense when comparing diverse sources and materials, in the midst of an active learning process. According to this teaching-learning perspective, teachers are no longer the main knowledge depository and become methodological consultants and mediators of knowledge. The research is defined as a descriptive and analytical qualitative study, based on a private school in the city of Londrina (Brazil). As a result, it will be verified if the students, after the use of *WebQuests*, understand the importance of conducting research in so-called trusted places, in addition to perceiving the contributions of the *WebQuest* in the classroom, validating it.

**Keywords:** Teaching-learning process, *WebQuests*, History

### Introduction

Thinking about teaching nowadays requires searching for new alternatives to a very complex picture: in the midst of the great transformation brought about by the new communication and information technologies, how can the teacher make his class more meaningful, bringing the student to greater participation and making the educating agent builder of your knowledge? It is based on the premise that it is possible and necessary to combine such technologies with the teaching-learning process, and the present work reports and analyzes an experience made with the use of *WebQuest* in History classes. As a result, it will be verified if the students, after use, understand the importance of conducting research in so-called trusted places, in addition to perceiving the contributions of *WebQuest* in the classroom, validating it.

### Thinking the teaching of History

Reflecting on how to give the teaching of a subject, through its theoretical and methodological requirements, as well as the objectives that must be achieved in the middle of the educational process of the school, of which the present work is concerned, demands a consideration, even though it's quite brief, of his own course as a science. Particularly in the case of History, which implies, like other human sciences, in a critical formation of the student, one must be aware of how this subject was conceived as a science, perceiving the necessity of the moment of its establishment and its objectives.

It can be said that the gain of a scientific status of the study of History in Brazil occurred in the first half of the nineteenth century. Brazil, made independent of Portugal in 1822, passed in this period by a great discussion in the intellectual circles about the formation of the nation. Much has been discussed, even in a very aggressive way, in the sense of understanding and, moreover, presenting projects on how Brazil should organize itself after more than three hundred years as a colony. Initially, after the fall of the official censorship in 1821, such a debate gained prominence through the pages of the

newspapers, a means of communication that was spreading strongly in the country at that moment and that was able to cover the most different political conceptions, ranging from a radical liberalism to the defense of a concentration of total power in the hands of the emperor Pedro I.

This discussion went through all the First Empire (1822 – 1831) and advanced, with mitigated power, through the Regencial Period (1831 – 1840) when deputies exercised their power in the name of Emperor Pedro II, still not old enough to take political control of the country. There have been a huge number of debates that have taken place in what was the most turbulent political period in the country's history, which saw the outbreak of several revolts that seriously endangered the Brazilian territorial unit. It was during this period that in 1838 the Brazilian Historical and Geographical Institute (IHGB) was established in Brazil, an institution designed to write an official history of the nation and to establish, in the midst of the various political and social conflicts that were taking place at that moment, the definitive image about what should be Brazil.

Paulo Knauss and Temístocles Cezar, in preface to the work of Manoel Luiz Salgado Guimarães, explain the importance that the writing of history gained at that moment, when postulating that,

"The process of constructing the idea of a Brazilian nation must be understood as an 'authentic state project', in which the literate elite and state agents (who, in most cases, became mingled) mobilized a series of political, economic, cultural and symbolic resources at the service of its creation" (2011, p. 12)

This image of the Brazilian nation, to be consolidated by the action of the Institute and its affiliates, would have the purpose of showing a united nation, composed by the presence of the "three races", as an event that, present in the past, could and should be taken as an example for the present and model for the future. Through the image of the union, it was sought to decompose the legitimacy of the movements that opposed the government and its mode of action. This ideological premise of the nation was sustained, throughout the Second Brazilian Empire (1840 – 1889), through the basis of the Romantic movement, which in Brazil gained some different contours of its European counterpart. According to Bernardo Ricupero (2004), Brazilian Romanticism "considers that the main characteristics of the Brazilian nation would be in the exuberant American nature, and in its original inhabitant, the Indian" (p. XXVIII). In the same way, while European romanticism was a reaction to the advance of capitalism and new social relations initiated there, in the Brazilian case such an economic and social system was viewed with sympathy, although there was a widespread fear about the slave, which explains, still according to Ricupero, that the black people almost does not appear the beginning of Romanticism.

Thus, it is understood that the initial objective of the study of history in Brazil was to build a nationalism that, starting from a concern of the State regarding to the political-social situation of the country, served as an agglutinating element of the population gathered here. Allied to this, the political measures taken by the emperor, along with the economic growth caused by the expansion of the coffee plantations, have made the country go through a stability that has extended for more than three decades. It was in the 1880s that a series of conflicts between political power, the Church and the military led to a seizure of power by the Army and the end of imperial government in Brazil.

Once the republican government has initiated, little changed in the understanding of what history would be and what its role in the formation of citizens. This discipline was understood as forming a patriotic feeling, based on the action of the great men of the government, in a perspective strongly aligned with positivism. Some changes have been felt, particularly with regard to the icons around which history should align. Circe Bittencourt (2011) points out that "the image of Tiradentes, recovered by the military at the end of the 19th century, began to become a national symbol, seeking to recall the event associating republic and freedom" (p. 73). However, as new heroes were listed and if one sought to associate civic rituals with historical remembrance with a militaristic tradition, there were no substantial changes in the interpretation of the meaning of history, or even of its form of teaching.

More significant transformations in the understanding of Brazil's past appeared in the 1930s, when Getúlio Vargas became the country's ruler. It was a time of changes from the economic point of view, with the effective beginning of national industrialization, as well as of social changes, with the increase of the working mass that came to live in the cities. The intellectuals of that time, checking the changes that took place, sought to understand the reason for the national "backwardness", in view of the other nations already industrialized and economically advanced. However, little criticism was the story still produced and thought, based on the premise of miscegenation as a constructor of Brazilian nationality, whose most striking feature was its pacifism and tranquility. But this situation would change, such as taught Jaime Pinsky (2011),

"In the late 1950s, and even more so, in the early 1960s, concern for the sciences of society has expanded greatly. It was the time of the 'grassroots reforms', changes demanded by workers, students and middle-class sectors in order to modernize and democratize the country's wealth division" (p. 20).

These decades marked the beginning of the popular classes' access to formal education, particularly through the creation of night courses, which should serve to create a more qualified proletariat that could serve to occupy the jobs in the industries that spread in Brazil. Despite such a technicist view, advances were seen in the interpretation of history, with more emphasis on the study of the black people's condition and the history of their exploitation in Brazil. Many scholars appropriated Marxism at that moment and started to rewrite history from the objective material conditions to which the workers of the country were subjected.

However, such a change in the historical interpretation of Brazil was soon inhibited by the rise of the military to power in 1964. In a period characterized by the intense ideological dispute of the Cold War, it was up to the Brazilians, in line with US interests, to put away the socialist danger that was alleged to surround the government. To this end, the military took power to remove João Goulart from presidency, under the allegation of building a government with socialist characteristics. In this context, teaching was hard hit, and the changes that could have shifted from academic analysis to basic education were thwarted, with the permanence of a history seen as linear, progressive, "stories of kings, heroes, and battles, which reduced men to the category of tiny object in the universe of grandiose monsters that decide the path of humanity and the role of each of us, mere mortals" (Pinsky, 2011, 21). Reinforcing nationalism, such a view of history was still aligned with a notion of "banking knowledge", as Paulo Freire (2002, p. 13) would define, that is, a notion that the student would merely be the depository of knowledge to be there deposited by the educator.

However, this was not just a time of setbacks. There has been, though timidly, some advances, as Circe Bittencourt (2008) points out

"Criticism of teaching methods led educators in the late 1960s to put more emphasis on this aspect, and the renewal of teaching thus fell on methodological issues. The emphasis on the need for methodological renewal favored the emergence of proposals that separated teaching methods from explicit content" (p. 225).

Although the contents were at the moment in the service of the construction of a nationalistic imaginary, at least there was a concern about the "how to teach", more profitable than that concerning "what to teach". From this context, the use of, for example, audiovisual resources for the teaching of the humanities, since such an instrument would allow the understanding of a story not only narrated, but perceived as made by people who, in the midst of films and images projected, gained materiality. This appeal to the use of films and documentaries became productive also by allowing different readings about a given event to be confronted by the students. As Abud, Silva and Alves (2010) affirm, "if conceptions of the past are products of the present, films reveal in their interior interpretations that, contrary to historical knowledge created through research, different visions about the same facts" (p. 167). According to Bittencourt (2008), "directed studies, crossword puzzles and other word games corresponded to mnemonic techniques understood as 'innovative teaching methods'" (p. 226).

This renewal, although discreet, expanded in the 1980s, when the military regime established in the country began to lose its force and democratic openness began to impose itself as a necessity, since the so-called "socialist danger" was already gone away, the economic crisis and the denunciations of violence against civilians removed the legitimacy of the Armed Forces as political leaders. From 1985, with the election of Tancredo Neves, the country once again had a civil government, and political reorganization measures began to emerge, giving voice to several groups that couldn't manifest themselves until then. Their demands began to gain materiality with the Constituent Assembly which, in 1988, enacted a constitution quite advanced for the time in terms of social rights.

In the midst of this process, educational reforms have also gained momentum, both in the sense of renewing curriculum content and in regard to methodologies, since, "the teaching process is intrinsically linked to the social process and the modifications in one of them reflect and are reflected in the other" (Horn, Germinari, 2006, p.18). The advance of democracy, giving voice to many groups that were previously invisibilized, made it necessary to rethink both the content to be apprehended by the students and how to get the student to get in touch with this knowledge, that is, it was sought a renewal that covered not only the curriculum but also the methodology used in the classes.

Circe Bittencourt (2008) also warns in this regard that the educator should have clear in his practice what is understood by "teaching methodology" (p. 226), since it differs from what can only be called "teaching technique ". By teaching methodology can be understood a set of techniques whose execution is linked to the fulfillment of a specific pedagogical proposal, which pervades all instances of learning within an institution. Not just the execution of a lesson, but anything that can favor learning can and should be contemplated by this methodology. As for the teaching technique, it can be defined as a specific strategy, within which many different resources can be used, and whose objective will always be student learning.

In this way, it is not assumed that the use of a technique has value in itself, but that it is inserted in a process that crosses all the performance of the teacher and the very operation of the institution in which this educator is inserted.

Thus, we are living today in the wake of the transformations begun in the 1980s, permeated by one more fundamental element: the advent of the internet and the immense diffusion of information technologies. These have provided unprecedented access to information, which can be thought of both as an ally and as a constraint in the teaching-learning process. Allied in the sense that information now is all available online, since previously it would require long journeys to libraries or documentation centers and would require, either from the teacher or from the student, a great deal of work in locating, manipulating and finally acquiring such information, through books and documents present in such institutions. However, while facilitating access to information, such technologies make available to those who want to research a given subject a torrent of information whose truthfulness may be challenged, or that brings errors that, although small, can contribute to the construction of a distorted vision of certain subjects.

In this way, thinking about the use of the internet and its resources in the classroom is fundamental for the history professional, given the immense amount of sources, diverse documents and supporting texts that can be used in the teaching process. However, there is a constant struggle in this direction: many educators, in their lines or even in their writings, seem to be fully aware of the need for new methodologies that take on greater student protagonism, and even accept that the Internet can be a facilitator of this process. However, by actually putting their work into practice, these same educators maintain a more traditional class perspective, in the form of an expository class, without giving space for an effective participation of the student. Jaime Pinsky (2011) in a text that discusses the importance of history, points out this same incoherence when talking about a history understood only as "science of the past". In the words of the historian, "This conception of history, although much criticized 'in thesis' and resulting in jokes, is still used in practice by many historians, authors and professors, for whom to historicize is simply to report something that is already behind" (p. 9)

It is necessary, at a practical level, for a greater knowledge and even validation of these new methodologies so that, effectively, these changes that have been thought over the last three decades leave the level of the theory and reach its fullness as practice, so that the student cease to be treated as a receiver of ready knowledge and become himself the constructor of such ideas. According to Paulo Miceli, this

"can begin with what would be the reversal of a puzzle: the ready and finished event, which always composes an image that aspires to encompass the totality, must be decomposed to denounce viewers to the arbitrariness of their construct, as if one were showing the audience to the invisible threads that support the tricks of the illusionist - as supernatural as any of us" (2011, p. 45).

In a society in which the advancement of information technologies is inexorable, it is up to the educators to know and apply in their practice methodologies that allow the student to elaborate their knowledge. This does not mean that the teacher becomes expendable; on the contrary, its performance is of fundamental importance, but not as absolute holder of knowledge, but rather as mediator in this process of teaching and learning. In this process of mediation, many tools have been developed and applied effectively, showing that change is possible without the need for an absolute rupture, which could lead to the confrontation of the teachers with the new technologies and, therefore, put them away from this required transformation. The use of the *WebQuest* tool has become, more and more, an allied to the teachers in their classes and of course, in the history classes it could not be different, even going in the direction to allow the supervised autonomy of the students. To understand it in its importance and scope, it is necessary to understand that it forms part of the set known as active teaching-learning methodologies.

### **The active teaching-learning methodologies**

We're living right now in a time of extreme technological development. The school of today requires changes in the posture of those involved in the teaching and learning process in order to favor the quality of the classes, as well as the teaching

strategies, which support the reflection and criticism development of both the teacher and the student. The changes in the way of teaching and learning started happening since Information and Communication Technologies (ICT) began to integrate the activities in the classrooms. The technologies have allowed new enchantment in the school, opening their networks for students to interact and exchange experiences with other students from different places, countries or different realities.

"Students and teachers find numerous electronic libraries, online magazines, with many texts, images and sounds, which make it easier to prepare classes, do research and have attractive materials for presentation. The teacher may be closer to the student. You can receive messages with questions, you can pass on additional information to certain students. You can tailor your class to the pace of each student. The teaching-learning process can thus gain dynamism, innovation and unusual communication power". (Moran, 1995, p.25)

In this context it is necessary to situate some questions related to the objectives of the new technologies in the educational context. According to Barreto (2002), new technologies are those that are not confused with "old" ones: blackboard, notebook, pencil, pen, textbooks, etc. Such new technologies are information and communication technologies (ICT), in a formulation that demarcates their belonging to non-educational areas, in the sense of produced in the context of other social relations for other purposes.

The use of resources related to new information and communication technologies (ICT), such as simulators, virtual reality, mobile devices and even the simple use of cyberspace, has established itself as a new moment in the educational process. The flow and speed of network interactions and the collaborative purpose of information show a growing need for building new educational structures. Students no longer want to be passive in front of a television for example; his acting happens instantly via *Twitter* or sharing in networks like story of *Instagram*, *Facebook* or *Snapchat*. How to deal with this student in the classroom? According to Kenski (2012),

"The linear articulation of the classroom, in which the teacher only speaks, and then responds to the students' questions, does not always produce expected results. The students, especially the younger ones, scatter and start zapping in class. Their attention oscillates between the teacher's speech, the behavior of colleagues, the noises; they travel in thoughts" (p. 54)

According to Lévy (2007, p. 4), new ways of thinking and living are being elaborated in the world of telecommunications and information technology and with the range of technological devices and options to be worked in the classroom, the pedagogical and methodological practice of the teacher has to reinvent itself, becoming a constant awakening of new interests. It is no longer enough to change the chalk by the electronic board, the PowerPoint slides by the mirroring of digital didactic sequences, it is necessary to go beyond the universe of the classroom, to cross the walls of the school and to analyze, to punctuate the challenges, to discover the advantages and disadvantages of use of mobile technologies in virtual learning environments, since they are planned or incorporated in order to facilitate, support and extend the process of teaching learning inside and outside the school environment. In this way, the teacher becomes the moderator of the knowledge that the student will find in the different networks for pedagogical purposes.

### **WebQuest as a teaching-learning proposal**

*WebQuest* is in line with proposals that have collaborative learning as a principle, since it is characterized by the active participation of the student in the learning process; by the mediation by teachers; by the collective construction of knowledge, the exchange between peers, the students' practical activities, their reflections, their debates and questions; by the interactivity between the different actors that act in the construction of knowledge; stimulation of expression and communication processes; development and evaluation of activities; the development of student autonomy in the teaching-learning process; the valuing of freedom with responsibility; commitment to authorship; by the valorization of the process and not of the product. According to Dodge (1995), the *WebQuests* are based on the conviction that we learn more and better with others, not individually. More significant learning is the result of acts of cooperation.

In addition, surfing the Internet is accessing a universe of information; is to favor the integration of interactive collaboration groups at any time or place - a factor that makes it different from any other technological innovation that has emerged in recent times and that has been leveraging Distance Education. Silva (2000) points out that the internet becomes a valuable repository for the search of information if used in the construction of knowledge, generating a rich interactive and motivating learning environment. In the same way, it can also be a distracting element of data collection without relevance or that do not add pedagogical quality to the designated use.

For this purpose, a methodological intervention of using Webquest in a History class is presented here. The objectives of this study are to present to High School students the use of active methodologies during History class focusing on the content about the transference of the Portuguese royal family to Brazil in 1808 and the consequences of D. João VI's government for the future of the country. In the context of historical learning about Brazil, using *Webquest* as a technological tool, it was sought to make the student understand the importance of the transfer of the Portuguese royal family as a decisive event for the independence of the country and its construction as a free nation.

According to Rocha (2007), the creation of the concept of Webquest arose from the need to make learners active agents of the teaching-learning process, removing from the teacher the image of the only source of knowledge in the classroom. In this way, Webquest has a structure that includes seven topics, defined by Abar and Barbosa (2008, p.21-35):

*Introduction:* briefly presents the subject and proposes questions that will base the evaluation process. It is the moment to arouse the students' curiosity in relation to the proposed theme.

*Task:* The task triggers a series of actions, about what to do. One should clearly propose the development of a creative product that will excite, motivate, and challenge students.

*Process:* describes how the task will be developed by the students and guides them in the information that needs to be present in the Process and in the Resources. The process describes step-by-step the activity dynamics, and the resources are information that allows you to complete the task.

*Resources:* in this section, the teacher provides students with the materials, previously selected on the internet, which can guide their study process. It is the moment of greater action of the educator, because it is up to him to choose which are the reliable sources that will guide the student through their work.

*Evaluation:* It must be presented to students with clarity how the outcome of the Task will be assessed and what factors will be considered indicative that it has been successfully completed. These criteria should be in accordance with your goals.

*Conclusion:* The conclusion sums up the purpose of what will be learned and signals how the student can begin to study the subject. It should be an invitation to learn more.

*Credits:* references to the authors of Webquest, to the school where it was elaborated, education level or age group to whom it is intended, the making or updating and other information that may be useful to those who are using it.

According to the authors, the structure proposed above validates the proposal of an activity which has the characteristics of research in which, first, the student will become aware of the subject matter; then the objectives are defined; the plan of the actions that must be executed is made; and present the resources and sources necessary to carry out the actions, and finally present an object of study that will subsidize the evaluation process.

The structure of the Webquest used for the History class was discussed among the authors so that the students could follow according to the evaluative process that would be established there, since it was an activity to which the students must have access to Internet sites, previously designated by the authors to, from this point on, be able to execute it autonomously. The following is the model developed for this methodological proposal for the History class.

### **Applying the *Webquest***

The subject chosen was the transfer of the Portuguese royal family to Brazil in 1808 and the consequences of D. João VI's government for the future of the country. As Laurentino Gomes points out, such an event

"Occurred in one of the most exciting and revolutionary moments in Brazil and Portugal, where groups of such diverse interests as monarchists, republicans, federalists, separatists, abolitionists, traffickers and slave masters were opposed in a struggle for power that was to change radically the history of these two countries " (2007, p.20).

Among the various changes that are pointed out by the author, it may be noted that the government of D. João VI was responsible for breaking the Colonial Pact, by determining in January 1808, upon arrival in the country, the Opening of the Ports to the Friendly Nations. By allowing Brazil to trade with any nation that was not considered an enemy, since the old metropolis was occupied by Napoleon Bonaparte's forces, the king ended the most characteristic measure of the entire Colonial System, namely, the restriction of trade.

It can also be argued that this transfer was responsible for the creation of an urban and administrative infrastructure that the country did not have until then, given its colony position. Due to the need to organize and administer the Portuguese Empire, whose headquarters were in Rio de Janeiro, several government agencies and departments were created, among them the Royal Printing. This agency was responsible for the rupture with the lack of printed letters in Brazil, giving rise even to journalism in the country, a channel of communication through which there would be numerous political discussions.

But not only of creations and positive aspects has been marked the administration of D. João in America. In 1817, a great revolt, caused by poverty, droughts and high taxes, took place in the province of Pernambuco, questioning the government of Rio de Janeiro and seeking separation from Brazil. This *Revolução Pernambucana* was the most serious protest movement to the power of the king installed in the old colony until 1820, when, in Portugal, the *Revolução do Porto* began. This movement, fueled by Portuguese dissatisfaction with the absence of the king and his insistence on not returning to the country, even after the determinations of the Congress of Vienna, forced the monarch to return under penalty of losing his throne. In addition, the king was obliged to swear a constitution which was drawn up by these deputies, meeting in Lisbon, and who wished to limit his power so that other situations such as this did not happen again. Finally, this Revolution also sought to annul the advances that had been won in Brazil, with the intention of recolonizing the country, subjecting it again to the exploration that had characterized the last three centuries. It is from this perspective that in 1822 the movement led by D. Pedro led Brazil to gain its independence and become a free nation.

This brief introduction, regarding the subject addressed by the students in contact with *WebQuest*, is necessary for the understanding of the importance taken by such historical event in the development of the country. The history of Brazil at the beginning of the nineteenth century is the history of the achievements of D. João VI's government or its consequences, and the country's political emancipation was deeply linked to this event. Therefore, it is essential for students, when studying the emergence of Brazil as an independent nation, to understand this event as part of a larger process than that which occurred in 1822.

Based on the perception of such importance, some topics were selected to be studied by students. Firstly, we sought to situate the event of the transfer of the Portuguese royal family to Brazil within the European context of the late Eighteenth and early Nineteenth century, when the advance of the Napoleonic troops across Europe forced such a change. For this, a video, approximately two minutes, was selected on *YouTube* and staged by well known actors to the Brazilian public. This video explained the performance of Napoleon Bonaparte within Europe and why the Portuguese court moved to Brazil. This content was complemented with the reading of an article published by a magazine specialized in producing contents regarding History for the public unfamiliar with historical researches.

Secondly, a collection of images, available in an important news portal, was presented to the students, showing paintings depicting the main characters involved in such an event. The aim was to make concrete the figures that the students only heard or read about. Then, two other links led the students to have an overview of the process of installing the royal family in Brazil, showing the transformations brought by it. In this sense, two other links still guided the student by reading about the Opening of the Ports and the emergence of the press, points of outstanding relevance to subsequent events.

The students were then able to read about the protest movement that developed in Pernambuco, as well as about the *Revolução do Porto*, which constituted two more elements present in the resources available to students. Finally, the last link took the students to a set of four short videos, produced by Laurentino Gomes, which present an overview of such changes and their consequences for the independence of the country.

All of these materials whose links were made available through *WebQuest* provided students with a very broad view of the process we wanted to present. In addition, students were also instructed to use their textbooks if they felt it necessary to supplement or clarify any question, just as research on other internet sites was also encouraged. For this research, the time of one class (70 minutes) was made available, and students could finish these readings at home. In the possession of such information, students should then produce other materials that would translate into their evaluation. Two were the productions requested from students: first, students should construct, in their notebooks, a conceptual map in their notebooks about the transfer of the Portuguese royal family and the government of D. João VI in Brazil. This strategy was used so that, through the materials consulted, the students could construct a diagram in which, by relating the concepts, they could also hierarchize the ideas and organize the studied content. This first assessment was proposed to students to be held collaboratively, although each student should have his own conceptual map in his notebook. This was assessed by the teacher through a resumption with the students and construction of the conceptual map in the board, from the information that was provided by the students.

Secondly, students were asked to produce, within a week, a video, lasting between five and eight minutes, illustrating the studied subject. Unlike the conceptual map, which would be in the students' possession and would serve for their particular consultation and study, the video would allow the teacher to evaluate the understanding that the students obtained at the end of this process. Students were instructed to freely produce the videos, using their creativity to expose the process that had been studied. In the following week, the videos were presented in the classroom, for the exhibition of the whole class and the authors involved in this work. Various strategies were used by the students, such as the presentation in the form of television news, stop-motion video or even in the form of interviews. The videos showed that, after reading, drawing up the concept map and taking it back in class, the students had appropriated such content, building in a mediated way the desired knowledge about such subject.

Lastly, students were offered a self-assessment, which sought to understand aspects such as: if students consider the Internet as a source of information and knowledge; if they understand the importance of using *WebQuest* in the classroom; if they believe that the knowledge building should start from the student; if they feel comfortable in relation to collaborative work and if they believe that the teacher should act as mediator in the teaching-learning process. These questions were presented to be evaluated according to the following gradations: "I fully agree", "I partially agree", "I cannot opine", "I partially disagree" and "I strongly disagree". One last question left some blank space for students to freely comment on their practice or use of the Internet as a source of research. The form was presented to students without the need for individual identification, which would allow them greater freedom when formulating observations about the use of the tool or the technologies in general. The data were collected using an online form, using Google Form, and the result of this self-assessment, as well as other considerations regarding the whole process are presented in the following section.

### Final Considerations

The *WebQuest* whose application is discussed in this work was developed with a group of 18 students from the second year of High School of a private school in the city of Londrina (PR). 100% of the students participated in the proposal presented for the history class and answered the self assessment questionnaire that subsidizes the analysis and discussion of the validation of the tool as an instrument of the teaching-learning process. Once the data were gathered, we came to results that corroborate the thesis of the need for new methodologies that bring the student to an effective participation in their learning, confirming that *WebQuest* as a technological tool offers the students the opportunity to be protagonists of their learning, enabling the development of initiative and autonomy.

In the first question asked in this self-assessment, when asked whether they considered the Internet to be a relevant source of information and knowledge, 66,7% indicated the answer "I fully agree", while another 33,3% stated that "I agree partially." This can be understood from answers presented by the students themselves in the last section, when, among 10 answers in this particular item, 7 pointed out that the internet can be a great ally in the teaching and learning process, but that there must be, at the same time, great care in selecting reliable sources for this study. The participants of the research, adherents to the technologies that today invade reality, realize that these can and should be used to realize or reinforce their learning.

In the second question, when asked if they considered *WebQuest* as an important tool for classroom use, 77,8% of the students answered that they agreed partially, 16,7% showed that they fully agreed, while only 5,5% couldn't opine. The fact that 94,5% agree, even if partially can be analyzed from the perspective that the use of this resource should be seen as one more element in the process of teaching and learning, since multiple are the forms of learning, via active methodologies and the insistence on only one way of elaborating this process may not encompass the multiplicity of learning styles presented by students.

In the third question, students should respond if they believed that the construction of knowledge should begin with the learner. 55,6% of the students agreed partially with this idea, 33,3% fully agreed with this, while 11,1% stated that they did not know how to express their opinion. It is perceived, through this question, that the students' posture meets the new pedagogical perspectives that place the learner as protagonist in their learning. Although still somewhat insecure, students realize that it is their responsibility to seek such a construction, since meaningful learning will occur as soon as they engage in such a process.

In the fourth question the students were asked if they felt comfortable about doing collaborative work. 55,6% of the students said they fully agree, 33,3% said they partially agree, 5,6% partially disagreed and 5,6% totally disagreed. At this point, it should be realized that a traditional perspective, in which each student works individually in the production of his knowledge, no longer suits the students' desire, since they demonstrate that working in a collaborative way is in their interest and that

they do this without any problem. The fact that 11.2% of the students disagree about this perspective, can raise a hypothesis about aspects of personality or even relationships with the groups with which they carry out their work. However, this can and should be taken into account when planning the teaching process, since they must also be affected by educational actions.

In the last question, when asked whether the teacher should act as mediator of knowledge, 61.1% of the students said they fully agree, 33.3% partially agreed and 5.6% partially disagreed. The answer to this question reinforces the notion that learners understand the teacher as a fundamental figure in the process of teaching and learning, but do not perceive the educator as the absolute holder of knowledge. The fact that they consider it as a mediator points to the importance of the educator to decentralize their actions, seeking alternatives that contemplate the role of students in their learning.

From the answers presented in the instrument that analyzes and discusses the proposal of an innovative practice, as an active methodology, it is noticed that the students yearn for changes in the teaching and learning process. They feel the will to work in a collaborative way, using information and communication technologies (ICT) as allies to reinforce this process. More than this, they realize that it is fundamental that they are actively brought to participate in the construction of their own knowledge, because in this way this learning becomes significant.

The student, in an interactive teaching approach, presents greater autonomy and a greater degree of responsibility. With tasks to be performed, it is easier to expose, since there will always be time and space for the presentation of your ideas, being requested by the teacher and his colleagues - to position themselves, to expose their thinking and to take sides. Teaching activities with this level of participation can be carried out in environments that foster the interaction, collaboration and evaluation of students and teachers.

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## Moral Reasoning Among Croatian Students of Different Academic Orientations

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### Abstract

Previous studies demonstrated that different academic contexts could have different effects on moral development, i.e. in most cases formal education enhances moral reasoning, but sometime erodes it (for example for medical students). The aim of this study was to examine differences in moral reasoning among students of different academic disciplines (health care, law, social sciences and humanities). In research participated 386 students ( $M_{age}=23,12$ ): 154 law students, 55 nursing students, 123 other social sciences students, a 53 humanities students. Participants took Test of Moral Reasoning (TMR) (Proroković, 2016) which measures index of moral reasoning (in range from 0 to 1), and idealistic orientations (humanistic and conservative). The results showed that there was no difference in the moral reasoning index among students of different academic orientations. Furthermore, students of different academic disciplines differed in the humanistic orientation in a way that students of social studies were more humanistically oriented than law students. Some of the possible explanations for the lack of differences with regard to academic orientations is that overall stimulating environment that college provides is perhaps more important for moral reasoning development than specific academic contexts. Findings of this study are consistent with the findings of some of the previous studies.

**Keywords:** moral reasoning, idealistic orientation, academic orientation, students.

### Introduction

According to Kohlberg's theory of morality, which represents the dominant theory of moral development and, as such, is the most widely tested theory in this domain, moral development involves two main processes. One is acquisition of positive attitudes toward moral norms and principles and the other one is development of competencies required to deliver consistent and differentiating judgments related to moral norms and principles (Lind, 1986). These competencies, which in fact represents moral reasoning, Kohlberg defined as "the capacity to make decisions and judgments which are moral (i.e., based on internal principles) and to act in accordance with such judgments" (Kohlberg, 1964, p. 425, as cited in Lind, 2000). The question is which of two mentioned processes are more relevant for moral behavior? Lind notes that the adoption and understanding of moral rules is inferior as it does not guarantee that a person will act in accordance with them, while measures of moral reasoning abilities are correlated more significantly with moral behavior (Lind, 1986).

A lot of longitudinal and cross sectional studies focused on relation between moral reasoning and education. In King and Mayhew's (2002) review article based upon 172 studies it was found that only in two studies was not confirmed relation between moral reasoning and education. All other studies affirmed that higher education makes a substantial contribution in moral reasoning (King & Mayhew, 2002). Pascarella & Terenzini (2005, as cited in Hren, 2008), concluded that the progress of postconventional moral reasoning during college attendance, is greater than that which could only be attributed to maturity, neither such progress could be explained with the initial differences in moral reasoning, intelligence or social status between students and non-students. Rest (1986, as cited in Narvaez, 1993) and Lind (2015) also confirmed that education is more significant variable than age. Some cross-sectional studies assessed that 50% of variance in moral reasoning can be explained by formal education (Thoma, 1986) while longitudinal studies reported that 38% of variance can be attributed to education (Rest & Deemer, 1986, as cited in Hren, 2008). There are many possible explanations of the influence of the faculty: the general environment of faculties and universities that encourages exchange of ideas, exposure to different perspectives, seeking for truth and careful reasoning as main academic values, fostering integrity and personal

responsibility (King & Mayhew, 2002). As these authors note it is justifiable to suppose that different context i.e. university climate, which can be partly influenced by type of academic orientation, can have different effect on promoting moral development. In some academic environments students are more encouraged to deal with moral dilemmas whereupon are exposed to practice higher, postconventional, moral reasoning. As a result those kind of students are expected to be more effective in promoting postconventional moral reasoning than their peers who did not have such opportunities and whose environment did not include, or included in a lesser extent, prosocial behavior and attitudes (King & Mayhew, 2002). According to Rest and Narvaez (1994), faculties involving inquiries, appeals, and openness to new evidence and arguments positively affect moral development, whereas faculties that are not open to questioning and examining and which are too career-oriented and respect conservative values inhibit moral development.

Several studies have attempted to measure differences in moral reasoning considering academic disciplines (Snodgrass & Behling, 1996; St Pierre et al., 1990; Bidwell & Vreeland, 1963, as cited in King & Mayhew, 2002), and their results are contradictory. For example, St. Pierre et al. (1990, as cited in King & Mayhew, 2002) found that accounting students as well as students in other business disciplines (such as finance, management, marketing) had lower levels of postconventional moral reasoning in comparison to psychology, math and social work students. On the other hand, Snodgrass and Behling (1996; as cited in King & Mayhew, 2002) did not found differences in the moral reasoning between business and non-business students (arts and humanities, social sciences and natural sciences). Medical students represent specific population. In most studies that deal with them, there was no progress in moral judgment during faculty time (Morton, 1996; Self, Schrader, Baldwin & Wolinsky, 1993, as cited in Hren, 2008; Patenaude, Niyonsenga, & Fafard, 2003; Self & Baldwin, 1994). According to Patenaude, Niyonsenga, & Fafard (2003), medical students do not progress in moral judgment but return to instrumental, relativistic arguments after three years of medical training. Hren (2008) was observing moral reasoning at medical and electrical engineering students in Croatia. Contrary to expectations and results from literature, he found no progress of moral reasoning in the function of study length at the students of electrical engineering. Medical students had initial progress of moral reasoning up to third year of study, followed by stagnation and decline towards end of study. Based on inconsistency of result obtained on Croatian participants and most of the results from previous researches, the aim of this research was to examine does the moral reasoning changes with length of study at Croatian students of different academic orientations. Additionally, we wanted to see does students of different fields of science differed in moral reasoning due to the differences in level of stimulation of the environment and the specificity of curriculum. Research included students of social sciences, humanities studies, nursing and the law study. The law students were excluded from the category of social sciences where they belong to, due to the specificity of law study; e.g. law study or/and law practice may bring individuals to moral dilemmas which have to be solved in accordance with law rules, which may be contrary to their moral viewpoints. Ultimately, this can result with moral reasoning stagnation or regression. Furthermore, instead of medical students, that are commonly used sample in the studies of moral reasoning, nursing students were included in this research, with the intention to check does similar effect of moral reasoning stagnation/regression occurs in other health care students.

### **Participants**

386 students from different universities in Croatia participated in this study, 302 women of average age 23,14 years (sd = 3.19) and 83 males of average age 23.12 (sd = 3.05). Regarding study year, 38 participants were first year students, 32 second year, 138 third year, 119 fourth year and 57 fifth year students. Related to the study orientations, 154 participants were students of law, 55 students of nursing, 123 students of social sciences (psychology, sociology, economy, anthropology and communication sciences) and 53 students of humanities (philosophy, archeology and history).

### **Instruments**

Test of Moral Reasoning (TMR; Proroković, 2016), is an adapted version of the Moral Judgement Test (MJT; Lind, 2000). It consists of two moral dilemmas, described in detail, in which the individual in the story makes a certain decision. The subject firstly has to assess the extent to which he or she agrees with the decision made by the story character. The decision is followed by twelve arguments. Six of them are in favour (*pro*), and other six against (*contra*) the character decision. These arguments represent Kohlberg's stages of moral development. The subject's task is to assess, on a six-point scale (without the option of a neutral response), the extent to which each argument is (un)acceptable. As a measure of the level of moral reasoning, the so-called Index of Moral Reasoning (IMR) can be calculated. IMR reflects the deviations from the 'optimal profile'. The optimal profile is based on the hypothesis that a person at the highest level of moral reasoning is one who assesses the argument which represents the sixth and highest stage of moral reasoning as most important, assesses the argument that represents the fifth stage as one degree less acceptable, and so on to the argument which represents the first and lowest stage of moral reasoning. IMR is a parameter that varies within the range of 0 to 1, where a lower score

indicates a lower level, and a higher score a higher level of moral reasoning. The IMR shows a normal distribution, which is leptokurtic to a low extent. The results of tests to date (Proroković, 2016) have shown good metric characteristics for this measurement instrument and that the IMR is a valid indicator (with both criterion and construct validity) of the level of moral reasoning.

Furthermore, this test also allows getting two very rough measures: humanistic and so-called conservative orientation. These measures can be calculated from responses on *pro* and *contra* arguments. Humanistic orientation (HO) represents the average of the answers on *pro* arguments arguments of the first dilemma and *contra* arguments of the second dilemma. The conservative orientation (KO) is based on the average of the answers to the *contra* arguments of the first dilemma and the *pro* arguments of second dilemma. These features are novel, that is, humanistic and conservative orientation are not an integral part of the previous instruments of moral judgement, including one of the most widely used tests of this kind, Lindt's Moral Judgement Test.

### Procedure

The research was anonymous and online. The instruction and link to the questionnaire were published on official and Facebook pages of the student's groups of each individual study. In case of ambiguity or additional questions students could contact the researcher at the e-mail address mentioned in the instructions.

### Results

Table 1. Descriptive data for the index of moral reasoning (IMR), humanistic (Ho) and conservative (Co) orientation

		IMR	Ho	Co	
Study orientations	Law (n=154)	<i>M</i>	0.499	-0.034	-0.119
		<i>Sd</i>	0.089	1.134	0.967
		<i>Lill.</i>	>.20	>.20	<.10
		<i>Skew.(st.err)</i>	0.08(.19)	0.04(.19)	-0.30(.19)
		<i>Kurt.(st.err)</i>	0.03(.38)	0.19(.38)	-0.05(.38)
	Social sciences (n=122)	<i>M</i>	0.495	0.423	-0.290
		<i>Sd</i>	0.081	0.957	1.097
		<i>Lill.</i>	<.10	<.05*	>.20
		<i>Skew.(st.err)</i>	-0.28(.22)	-0.46(.22)	0.20(.22)
		<i>Kurt.(st.err)</i>	-0.18(.44)	0.04(.44)	-0.59(.44)
	Humanistic sciences (n=50)	<i>M</i>	0.481	0.235	0.023
		<i>Sd</i>	0.077	1.042	1.234
		<i>Lill.</i>	>.20	<.10	>.20
		<i>Skew.(st.err)</i>	0.05(.34)	-0.12(.34)	-0.02(.34)
		<i>Kurt.(st.err)</i>	0.12(.66)	0.99(.66)	-0.61(.66)
	Nursing study (n=53)	<i>M</i>	0.473	0.199	0.120
<i>Sd</i>		0.069	0.905	0.783	
<i>Lill.</i>		>.20	<.10	<.10	
<i>Skew.(st.err)</i>		0.33(.33)	0.31(.34)	-0.46(.33)	
	<i>Kurt.(st.err)</i>	0.47(.65)	0.12(.64)	0.02(.64)	
Year of study	First (n=38)	<i>M</i>	0.495	0.212	-0.203
		<i>Sd</i>	0.076	1.159	1.094
		<i>Lill.</i>	<.20	>.20	>.20
		<i>Skew.(st.err)</i>	0.32(.38)	1.25(.38)	-0.42(.38)
		<i>Kurt.(st.err)</i>	1.09(.75)	0.67(.75)	-0.39(.75)
	Second (n=32)	<i>M</i>	0.518	-0.125	-0.127
		<i>Sd</i>	0.089	1.276	0.911
		<i>Lill.</i>	>.20	>.20	>.20
		<i>Skew.(st.err)</i>	0.52(.41)	-0.11(.41)	0.22(.41)
		<i>Kurt.(st.err)</i>	0.68(.81)	-0.79(.81)	-0.86(.81)
	Third (n=133)	<i>M</i>	0.479	0.326	-0.026
		<i>Sd</i>	0.076	0.985	0.996
<i>Lill.</i>		>.20	<.10	<.05*	
<i>Skew.(st.err)</i>		-0.17(.21)	0.05(.21)	-0.38(.21)	

	<i>Kurt.(st.err)</i>	-0.02(.42)	0.25 (.42)	-0.43(.42)
Fourth (n=118)	<i>M</i>	0.495	0.037	-0.162
	<i>Sd</i>	0.082	0.913	1.051
	<i>Lill.</i>	<.10	<0.01*	>.20
	<i>Skew.(st.err)</i>	0.02(.22)	-0.43(.22)	0.10(.22)
	<i>Kurt.(st.err)</i>	-0.29(.44)	-0.33(.44)	-0.35(.44)
Fifth (n=57)	<i>M</i>	0.505	0.262	-0.192
	<i>Sd</i>	0.094	1.153	1.078
	<i>Lill.</i>	<.20	>.20	>.20
	<i>Skew.(st.err)</i>	-0.30(.31)	-0.34(.31)	0.32(.31)
	<i>Kurt.(st.err)</i>	-0.38(.62)	0.54(.62)	0.44(.62)

IMR-index of moral reasoning; Lill-Lilliefors test; Ho-humanistic orientation; Co-conservative orientation

Homogeneities of variances were checked, in all situations Leven's test confirmed that the variance of the groups did not differ significantly, so the analysis of differences was carried out by analysis of variances.

First analysis included examining effect of length of study (year of study) on IMR. There was no significant difference in IMR between students of different years of study, neither when analysis was conducted on whole sample ( $F_{(4,368)}=1,36$ ;  $p>0,05$ ), or when was conducted for every group separately (social sciences  $F_{(3,114)}=2,43$ ;  $p>0,05$ ; law  $F_{(4,148)}=0,59$ ;  $p>0,05$ ; nursing study  $F_{(4,46)}=1,59$ ;  $p>0,05$ ; humanities study  $F_{(4,45)}=0,26$ ,  $p>0,05$ ). In addition, there was no significant correlation between age and IMR ( $r_{(371)} = -0.04$ ;  $p>0.05$ ) or years of study and IMR ( $r_{(371)} = 0.02$ ;  $p>0.05$ ).

Next ANOVA with different academic orientations as independent variable and IMR as dependent variable showed that there was no difference in the level of moral reasoning  $F_{(3,372)}=1,60$ ,  $p>0,05$ .

In addition, we calculated differences in conservative and humanistic orientation between students of different studies orientations and different years of study. Although this issue wasn't mentioned in our aim and research problems we calculated this analysis due to the fact that Proroković (2016) just recently described this parameters. Since this is one of the first researches in which test of Moral Reasoning (Proroković, 2016) is used we wanted to see whether this measures of orientations discriminate our groups.

Analyses of differences showed that students of different years of study didn't differed neither in conservative ideological orientation ( $F_{(4,372)}=0,46$ ;  $p>0,05$ ) nor humanistic ideological orientation ( $F_{(4,373)}=2,01$ ;  $p>0,05$ ). Furthermore, in the level of conservative ideological orientation students of different academic orientations also didn't differ ( $F_{(3,374)}=2,39$ ;  $p>0,05$ ), but we found significant difference in the level of humanistic ideological orientation ( $F_{(3,375)}=4,53$ ;  $p<0,05$ ). The law students had a lower level of humanistic orientation than other social sciences students (Table 1), between other groups there were no differences.

## Discussion:

The aim of this research was to determine whether moral reasoning changes during the study, and whether it differs between students of diverse academic orientations. At the beginning it has to be mentioned that this research is cross-sectional, which substantially limits its conclusions. The motivation for this research authors found in previous one conducted on Croatian students who showed no progress in moral reasoning at electrical-engineer studies during faculty time while medical students had a specific pattern of changes (specific changes for medical students are not in focus of this paper, for more information see Hren, 2008). Our results mostly comply with results of Hren (2008) since there was no difference in the level of moral reasoning between student of different ages of study and this effect was stable for every separate group of students (different academics orientations). This is quite surprising result since most authors found moderate to high correlations between moral development and level of education (e.g. Kholberg, 1986; Rest, 1986, as cited in King & Mayhew, 2002. But, Lind (2015) wrote that in recent times higher education has a smaller effect on moral development. He reported that typical increase from first to fifth year of study is about 4 points (of C-score), which is, in best case, a modest impact, that is relatively uncoordinated with our expectations related to effect of higher education (Lind, 2000a, Schillinger, 2006, as cited in Lind, 2015). Why there is no moral reasoning development in Croatian students during their study? Hren (2008) had an explanation for medical students, due to the specificity of clinical practice, but when it comes to electero-engineere students he assumed that highly technically and procedurally saturated curriculum, without contents including moral dilemmas or moral issues, partly could attributed to this result. But, in our research were included social, humanistic and health care science students whose curriculum is quit saturated with specific ethical questions and

dilemmas. There is two possible explanations for our results. First explanation could be that Croatian faculties do not implement adequate educational procedures to encourage moral development. Second explanation can be based on a fact that Hren (2008) found the significant difference between control, non-students group and first year students in level of moral reasoning. He pointed out that most of previous researches on this topic were conducted on Anglo-Saxon's samples of students. Croatian high school educational system is much broader and more comprehensive than American. As a result of that it is possible that moral development encouraged by education for Croatian students already happened during their high school education, and that American students get more stimulating environment for moral reasoning development during study for the first time. Anyway, future researches are needed to test this assumption.

Not just there was no progression of moral reasoning with length of study, but moral reasoning of all Croatian students (regardless of academic orientation) was relatively the same. This is in line with some previous researches that did not found the difference between the various academic disciplines. For example, Snodgrass and Behling (1996; as cited in King & Mayhew, 2002) found no significant differences in moral reasoning between business and non-business students. Rest and Narvaez (1991) said that the effect of the faculty education on moral development does not lie on the curriculum and seems not to follow the academic discipline. The influence of the faculty on the development of moral reasoning is not primarily mediated through specific curricular activities or through the teaching of specific academic content. Out-of-school activities can be equally important as well as general stimulation that is enabled through study.

When it comes to two new measures derived from TMR, we found difference in the level of humanistic orientation between law students and other social science's student. Although a significant difference only occurred in comparison to social sciences student, probably due to the differences in sample sizes, in Table 1 we can see that law student actually had lowest level of humanistic orientation in relation to all other groups of student. This probably can be attributed to curricular and co-curricular activities on law study which teach students to primary follow the rules and laws, while person's specific needs and circumstances are less important. Anyway, as it was said before, this is a new construct and additional researches are needed to develop appropriate interpretation of ideological orientations from this instrument.

This study has limitations regarding their cross-sectional design, differences in sample sizes, as well as inequality number of males in females included in sample. Future researches should overcome these limitations, as well as they should include other studies like technical faculties. In our research were included only studies that implicate some courses and activities based on ethical issues and courses that could facilitate moral reasoning development, so we did not found any moral reasoning progress. Collier (1993, as cited in Hren, 2008) quotes four conditions that institutions must meet to expect the development of moral reasoning: (1) there must be a climate of mutual trust and cooperation amongst persons working in the institution; (2) everyday life of the institution should be based on the principles of honesty, legitimacy and courting solving moral issues; (3) authority should protect the minority from conformation pressures, but also protect majority from pressures of innovations; (4) teachers to should be open to students, as well as respect their openness.

Unfortunately, according to our subjective opinion, these criteria are on Croatian faculties are met only at moderate level, and when it comes to Croatian society in general, situation is even worse. Results of this research suggest that Croatian educational system doesn't encourage moral development through study which could have a long term consequences. In literature can be found many interventions that are effective in moral reasoning increment (e.g. Lind, 2015; Goldie, Schwartz, McConnachie, & Morrison, 2002; Holm et al., 1995;) and that can easily be integrated in regular curriculum in order to improve situation.

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## Attitudes Toward Multiculturalism and Assimilation and Contact with Members of Outgroup

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### Abstract

Multicultural societies face the challenge of advancing intergroup relations. The group status in the society determines the presence of attitudes as well as mutual intergroup relations. The outgroup contact is one of the opportunities that assists the advancement of relations in the society. The goal of this study is to examine the differences of attitudes toward multiculturalism and assimilation in the majority and minority groups, and to which level we can predict the attitudes toward multiculturalism and assimilation based on the ethnic identity and contact with outgroup members. In this research, 361 youngsters are included. They are eighth and ninth grade students from five elementary schools in the city of Tetova, R. Macedonia. Of them, 166 study in Macedonian language, 195 in Albanian. To see the difference between the majority and minority group regarding the multicultural and assimilation attitude, t-test was used; for the prediction of intergroup attitudes, we used regressive analysis. The findings show that the minority group favors more multiculturalism while the majority group favors assimilation. As strong predictors of intergroup attitude, except ethnic identity, ethnic identification and outgroup contact appear as well. In order to advance the intergroup attitudes and relations as well as develop a multicultural society, the presence of outgroup members contact is important.

**Keywords:** multiculturalism, assimilation, ethnic identity, outgroup contact

### Introduction

Countries with ethnic and cultural diversity are often challenged by intergroup relations. Psychologists provide models of intergroup relations which help societies with ethnic and cultural diversity fulfill the needs and interests of different groups. All of this serves for the purpose of advancing the relations and wellbeing of all society members. Berry (2011) offers the model that includes acculturation strategies and is based on the level of original culture maintenance and readiness to participate in contact with outgroup. According to him, when minority group members refuse to maintain their cultural identity and have a tendency to contact on daily basis with members of the other culture, it is known as the strategy of assimilation. When individuals show interest in maintaining their cultural identity but simultaneously conduct daily interactions with outgroup, it is known as integration. When integration is a feature of the society and it includes all ethnic groups then it is about multiculturalism.

Verkuyten (2004), defines multiculturalism as a provider of opportunity for equal participation of all groups in the society. Equality and discrimination prevention, stimulation of tolerance and respect toward outgroup are the basic tenets describing multiculturalism in Netherland (Verkuyten, 2004). Since ethnic groups with different social status have different goals, it is expected that preferences towards multiculturalism and assimilation will also be different, depending on the group status. Research studies confirm exactly the same. Minority group members express stronger support to multiculturalism than majority group members (Verkuyten, 2005; Verkuyten & Martinovic, 2006), whereas majority group members favor assimilation or adapting to the dominant culture (Verkuyten & Martinovic, 2006; Ajduković & Čorkalo, 2008). Furthermore, in-group identification moderates multiculturalism impact. The more minorities support multiculturalism, the more they express their identification to ingroup. As for the majority group members, the more they express support to multiculturalism, the less they express identification to ingroup and express more positive attitude towards outgroup (Verkuyten, 2005). Majority group members express less positive attitude towards outgroup than members of minority groups and also express a lower level of ethnic identification (Verkuyten, 2005; Ajduković & Čorkalo, 2008).

Intergroup Contact Theory (Alport, 1954) offers strategies to facilitate and reduce intergroup tensions and attitudes. According to this theory, the possibility of contact with members of different groups could stimulate more positive intergroup attitudes, respectively reduce prejudice and increase tolerance (Schlueter & Scheepers, 2009; Brown et al., 2007; Verkuyten, 2009). The research conducted with pedagogical students in Macedonia who (in mixed groups) have participated in training on multiculturalism, respectively, who have participated three or more times in such training, express more positive attitudes toward the outgroup than students who have not taken part or have participated less than three times (Osmani Ballazhi et al., 2014). Research shows that the number of friends from outgroup is positively related to attitudes towards multiculturalism (Verkuyten & Martinovic, 2006), and the more frequent the contact with outgroup members is, the more positive the attitudes towards the outgroup (Osmani Ballazhi et al., 2016). Čorkalo & Ajduković (2008) argue that individuals who have more outgroup contact show greater tolerance towards outgroups and more positive attitudes towards cultural diversity, endorsement of multiculturalism. As for majority group members, the more they express they have outgroup member contact, the more they support multiculturalism (Verkuyten & Martinovic, 2006). Intergroup contact reduces prejudice, nonetheless, it is even more effective when the contact contains a close relationship, a high quality intergroup relationship, as is friendship (Pettigrew & Tropp, 2011). The findings of other research are in line with the abovementioned and indicate that individuals who have close contact including home visits to outgroup members express more positive intergroup attitudes than the ones who do not make such visits with outgroup members (Osmani Ballazhi et al., 2016). The more structural discrimination is perceived the more the support to multiculturalism is expressed in both, minority and majority groups. This is an indicator that multiculturalism is not only support to cultural diversity but it represents support to equal opportunities (Verkuyten & Martinovic, 2006).

The goal of this study is to analyze the differences of attitudes toward multiculturalism and assimilation in majority groups (Macedonians) and minority (Albanians) as well as to which extent the intergroup attitudes can be predicted, based on ethnic identity and outgroup contact.

## **Method**

### **2.1 Sample and procedure**

There are 361 pupils of eighth and ninth grade included in the research. They all follow lessons in one language in the city of Tetova, either Macedonian or Albanian. From the total number of the included subjects in the research, 166 learn in Macedonian and 195 in Albanian language. The research is conducted from February to April 2017. The subjects filled out the questionnaire in their native language, during lessons in classrooms. The duration of filling out the questionnaire was 40 minutes.

### **2.2 Measuring instruments**

The tolerance towards ethnic diversity/attitude towards multiculturalism scale is used to measure attitudes towards multiculturalism (Čorkalo Biruški & Ajduković, 2008). The scale consists of nine items and has shown good reliability in previous measurements ( $\alpha = 0.66 - 0.79$ , Biruški Čorkalo & Ajduković, 2012). It has shown a good reliability in this research as well ( $\alpha = 0.80$ ). The subjects were asked to express on how much they agree to each item in a scale from 1 (totally disagree) to 4 (completely agree). The highest result achieved in the scale indicates higher tolerance of the subjects towards multiculturalism. Example item: „Ethnic minorities enrich the culture of every nation“. The attitudes towards assimilation are measured by three items (Čorkalo Biruški & Ajduković, 2008). The subjects had four options, starting from 1 (totally disagree) to 4 (completely agree) for each item. Example item: "The majority should determine the outline of education in a country. The scale reliability is satisfactory ( $\alpha = 0.73$ ). National identity is measured by national identity scale (NAIT) (Čorkalo & Kamenov, 2003), by 27 items. The subjects expressed on how much they agree to each item, starting from 1 (totally disagree) to 5 (completely agree). An item example is: „I consider that I am aware of my national identification“. The direct contact to outgroup members is measured through the item: „My personal contact with Albanians/Macedonians: I know they live in my city but I have no contact with them; I only have intermittent contact; I have acquaintances (I know them or greet on the street but we don't socialize); I have Macedonian/Albanian friends“. The subjects were asked to choose one of the given answers, 1 (lack of contact) to 4 (friendly contact). The frequency of outgroup contact is measured through the item: "How often do they contact with outgroup members in the following ways: greeting, texting, participating in joint physical activities, spend free time together and home visits to outgroup members". The subjects answered on how often they contact through the five offered options, starting from 1 (never) to 5 (every day).

### 2.3 Research findings

T-test is used to examine if there is difference in the attitudes toward multiculturalism between Albanian and Macedonian young people. The findings indicate that there is statistically significant difference in attitude toward multiculturalism between the two groups i.e. Albanian (M=29.59, SD=4.36) and Macedonian (M=27.27, SD=5.07),  $t(340)=7.4$ ,  $p<0.01$ . Specifically, unlike young Macedonians, Albanian youth expresses that they have a more favorable attitude towards multiculturalism. A statistically significant difference between young Albanians (M = 5.38, SD = 1.96) and Macedonians (M = 8.89, SD = 2.15),  $t(345) = 3.6$ ,  $p < 0.01$  have the attitudes towards assimilation. Young Macedonians express they favor more assimilation than the Albanian youth. Regarding the outgroup member contact, the data indicate that there is no statistically significant difference between Albanian (M = 2.55, SD = 1.06) and Macedonian youth (M = 2.71, SD = 0.95),  $t(353) 6.8$ ,  $p > 0.05$ . (Table 1.). There are no differences on all variables, multiculturalism, assimilation or contact, either by age groups. The eighth and ninth grade students who learn in Albanian as well as the ones learning in Macedonian language do not differ when favoring multiculturalism, assimilation or outgroup member contact is concerned. Furthermore, regarding the gender, girls and boys who learn in Macedonian language do not differ in favoring multiculturalism, assimilation or outgroup member contact. Regarding young people, respectively, young girls and boys who learn in Albanian, the only difference lies in favoring multiculturalism, namely, girls (M=30.27, SD=4.70) comparing to boys who learn in Albanian (M=28.98, SD=3.99)  $t(187)=.01$ ,  $p<0.05$ , expressing they favor more multiculturalism. There are no differences in favoring assimilation and outgroup contact between girls and boys who learn in Albanian (table 2).

There are no differences between Albanian and Macedonian young people related to the frequency of texting, spending time together and home visits to each other. However, regarding the frequency of outgroup member contact, there is a weak but statistically significant difference related to the frequency of greeting each other as well as participating in joint physical activities, between the Albanian and Macedonian youngsters. Unlike Albanian young people (M=3.15, SD=1.27), Macedonians (M=3.54, SD=1.22),  $t(215)=.88$ ,  $p<0.05$ , declare that they greet Albanian youngsters more often. In addition, young Macedonians (M = 2.72, SD = 1.24), compared to young Albanians (M = 2.33, SD = 1.26),  $t(214) = 20$ ,  $p < 0.05$  declare they participate more often in joint physical activities (table 3).

Table 1. Results of t-test and descriptive statistics for attitudes toward outgroup and contact with outgroup by ethnicity

ethnicity	Macedonian		Albanian		t	df
	M	SD	M	SD		
	Attitude toward multiculturalism	27.27	5.07	29.59		
Attitude toward assimilation	8.89	2.15	5.38	1.96	3.6**	345
Contact with outgroup	2.71	0.95	2.55	1.06	6.8*	353

Table 2. Results of t-test and descriptive statistics for attitudes toward outgroup and contact with outgroup by ethnicity and sex

ethnicity	Macedonian						Albanian					
	male			female			male			female		
	M	SD	t	M	SD	df	M	SD	t	M	SD	df
	Attitude toward multiculturalism	26.95	5.22	1.19	27.78	4.93	145	28.98	3.99	.01*	30.27	4.70
Attitude toward assimilation	9.19	2.26	1.50	8.67	2.02	153	5.37	1.99	.07	5.43	1.94	184
Contact with outgroup	2.58	.96	.90	2.81	.94	159	2.52	1.09	.44	2.58	1.05	186

Table 3. Results of t-test and descriptive statistics for contact with outgroup by ethnicity

ethnicity	Macedonian		Albanian		t	df
	M	SD	M	SD		
greeting	3.54	1.22	3.15	1.27	.88*	215
texting	2.25	1.23	2.23	1.35	1.30	216

participating in physical activities	2.72	1.24	2.33	1.26	.20*	214
spending free time	1.89	1.04	1.87	1.23	2.12	214
home visiting	1.52	.93	1.61	1.03	1.81	213

## Prediction

Multi regression analysis is used to predict the attitudes towards outgroup. Regarding the majority group, the attitudes towards assimilation are predicted by the direct contact, contact frequency (greeting, texting, participating in joint physical activities, spending free time together and home visits) and ethnic identity. In table 4 and table 5 the correlation between variables in majority and minority groups is presented.

The data point out that ethnic identity, as well as contact frequency (home visits to outgroup members), represent a significant quantity of attitudes toward assimilation ( $R=0.34$ ;  $R^2=0.24$ ;  $F(8.51)=3.32$ ,  $p<0.05$ ). The model explains 24% of the criterion variance. Ethnic identity mostly contributes in explaining attitudes towards assimilation. From the outgroup member contact, only home visits to outgroup members, appear as a predictor of the attitudes towards assimilation for the majority group. Other types of contact frequency like greeting, texting, participating in joint physical activities and free time spent with outgroup member, do not appear as predictors of attitude towards assimilation in this model.

Table 4. Coefficient correlation between variables in the majority group

	1	2	3	4	5	6	7	8	9
1. multiculturalism									
2. assimilation	.096								
3. direct contact	.840	-.256*							
4. number of acquaintances from outgroup	.156	-.068	.237*						
5. greeting	.173	-.207*	.291**	.241*					
6. texting with	-.016	-.078	.203*	.064	.277**				
7. participate in joint physical activities	.120	-.040	.255**	.031	.415**	.357**			
8. spend free time	.101	-.296**	.278**	.111	.379**	.588**	.401**		
9. home visiting	.038	-.317**	.179	-.011	.356**	.459**	.321**	.738**	
10. identity (NAIT)	.126	.168	-.028	-.286*	.182	-.015	-.018	-.027	-.033

Table 5. Coefficient correlation between variables in the minority group

	1	2	3	4	5	6	7	8	9
1. multiculturalism									
2. assimilation	.189**								
3. direct contact	.095	.082							
4. number of acquaintances from outgroup	.004	.010	-.008						
5. greeting	-.007	-.031	.195*	.297*					
6. texting with	-.031	.101	.322**	.062	.474**				
7. participate in joint physical activities	-.265**	.007	.417**	.308**	.489**	.416**			
8. spend free time	-.199*	.091	.483**	.284*	.464**	.589**	.716**		
9. home visiting	-.227*	.084	.429**	.311**	.420**	.578**	.608**	.739**	
10. identity (NAIT)	.337**	-.009	-.196*	.062	-.021	-.077	-.106	-.219*	-.264**

## Discussion

The goal of this study is to analyze the differences of attitudes toward multiculturalism and assimilation in majority groups (Macedonians) and minority (Albanians) as well as to which extent the intergroup attitudes can be predicted, based on ethnic identity and outgroup contact. The data show that there is statistically significant difference on intergroup attitudes between the members of majority group, Macedonians, and members of minority group, Albanians. More specifically, young Albanians (minority) expressed that they favor more multiculturalism compared to young Macedonians (majority). Young people of both groups differ in expressing their attitude towards assimilation. Unlike young Albanians, young Macedonians express that they favor more assimilation. The results are in compliance with findings of other research studies (Verkuyten & Martinovic, 2006; Verkuyten, 2005; Ajduković & Čorkalo, 2008). Members of minority groups perceive multiculturalism as an opportunity to maintain their identity. In this regard, they stress that they favor more multiculturalism, while the majority perceives the same as a risk to their identity and therefore it results as less favored. Members of majority favor more attitudes towards assimilation. In the other hand, for the minority group assimilation implies merging or waiving their culture and identity which makes them express reserve or not favor assimilation. This study found no differences in contact with the outgroup among the Albanian and Macedonian youth. This data is not within the framework of other research that show that minority group members express they have more contact with outgroup members (Verkuyten, 2009). However, it can also be explained in social context of the participants (Osmani Ballazhi et al., 2016). The subjects included in this research learn in mono-ethnic schools that do not offer "meeting" opportunities with outgroup members which would contribute to contacts regardless of ethnicity. Nevertheless, the data show differences regarding the contact frequency. Unlike young Albanians, Macedonians express that they greet more often as well as that they participate more often in physical activities with Albanians. The data also show that the ethnic identity intensity as well as home visits with outgroup members are two factors that explain the attitudes of young Macedonians towards assimilation. The prediction of attitudes towards assimilation in majority group, from the ethnic identity and contact – home visits, is within the frames of the contact theory, which highlights that the quality of friendship with outgroup members has effects on prejudice towards outgroup. Other research conducted in Macedonia also show results that the quality of the outgroup member contact contributes to intergroup relations (Osmani Ballazhi et al., 2014). In other words, it is important to create outgroup contact opportunities between citizens, especially youngsters in the Republic of Macedonia which will result in friendships among different ethnic group members. These friendships will further lead to reduction, respectively decrease of favoring assimilation and contribute to the development of a multiethnic society.

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## Analogical Rationality in Social Sciences

Carlos-Adolfo Rengifo-Castañeda

### Abstract

This research article proposes a conception of analogical rationality, which operates in the social sciences as well as in the natural sciences, according to "epistemic, ontological and pragmatic" conditions. According to this, in this paper it is intended: First, to account for analogical rationality according to epistemic, ontological and pragmatic conditions, contrasting with this, the classical conception of rationality. And second, on the basis of the above, to enable by analogical rationality a status of scientificity for the social sciences by justifying rational beliefs and decisions, according to this tripartite condition

**Keywords:** Epistemology, rationality, science, epistemic and pragmatic

### Introduction

For the purposes of understanding what is proposed here as a analogical rationality, and on the basis of the heading with respect to the notion of analogy and its importance in the cognitive processes, as well as in the criteria relating to the choice and rational evaluations, it is necessary in this article from a methodological perspective, the following aspects: Firstly, to give a brief account of the concept of analogy that characterizes this conception of rationality. Secondly: to expose what such analogical rationality is in the epistemic, ontological and pragmatic conditions, from the ideas of Evandro Agazzi. Finally, to conclude that the rationality in the social sciences - as in any other science, operates in a different way, but even in the differences, this procedure is carried out in a similar and proportional way, in other words, analogical, according to particular and specific conditions, in accordance with the ontological regions of each science and its criteria of *rigor* and *objectivity*.

Regarding the notion of analogy, it can be noted that it is present in a huge part of the history of the West philosophy, a scenario in which exists various meanings that, in a certain way, place it in the problems related to knowledge in general. Thus, the analogy permeates different fields of knowledge "even more the social and the social and human sciences" (Beuchot, Hermeneutics, analogy and symbol, 2004, p. 15) allowing the purposes of this proposal, "an analogicality from reality and knowledge, but according to the grade and differences, in accordance to the fields and orders that are performed" (Beuchot 2004, p. 15) and recognizing for this purpose, the different action modes of each science under the- *rigor* and *objectivity*- but structured in a similar and proportional way.

It has been said about this notion of analogy in the history of western philosophy that is everything what is preached about the substances or accidents in a similar way, not identical, distancing them, on the one hand, from the univocity and on the other hand, from the equivocal aspect. About the univocity, so as it was mentioned, it is the one that says things in a way only guided for this reason, probably, because of arbitrariness and reductionism -this is the case, the classical rationality itself. And being away from the equivocal, since the meaning is one that deals with misleading claims about the substances among them, but in a different or contrary way to what they are. It is then with the analogy, as Augusto C. Cárdenas cited by Beuchot and Santamaria "a way of intermediate meaning between the unambiguity and the equivocal (Cárdenas 23)" (Beuchot & Santamaria-Velasco, 2015, pág. 326)

This relationship - in accordance with the analogy<sup>4</sup>-, using the criteria of similarity between one thing in proportion to another, allowing to consider, finally, that the conception of analogical rationality sets the proportional similarity in the way the rationality proceeds in a science, similarly to the other science - even, being different sciences with different or similar objects. How Ferrater Mora says, the analogy consists in "the attribution of the same predicates to various objects, but this attribution should not be understood as a clear determination of these objects, but as the expression of accordance, likeness or correlation established between them" (Ferrater Mora, 2000, pág. 100)

## **The analogical rationality according to, epistemic ontological and pragmatic conditions.**

### **The analogical rationality**

"The analogy is the machine through which the cognitive values

Related to issues of importance and reasonableness

They are also recruited to our criteria of acceptability"

(Rescher, the struggle of the systems, 1995)

### **The epistemic conditions:**

The problem of scientific rationality in the epistemic conditions leads to this proposal by the cognitive aspect of science, that is to say, the issue of the truth, and specifically by the criteria of *rigor* and *objectivity* that "can be summarized under the term of *rationality*" (Agazzi E. , 1996, p. 202), according to a particular body of knowledge.

These epistemic conditions in the analogical rationality context serve as intellectual and cognitive orientations, which are required in the epistemic process of all science. However, these conditions do not have any a priori or universal doctrinal claim regarding to the sciences; but, on the contrary, its character is clearly contingent, pragmatic, contextual, and limited to the ontological regions of each particular science, in accordance with the criteria of *rigor* and *objectivity* inherent in a certain science.

Nevertheless, in relation to the criteria of *rigor* in the scientific knowledge, it is intended to give an account that it is about a journey of justification for all those epistemic and unique statements, given to the interior of a knowledge body, and from which it faces a set of problems. With this, it aims an attempt to give good reasons about what is preached according to a method established by a scientific system; a subject of great relevance, since it leads to the recognize that "each science has [...] an own way of characterizing the rigor requirements. This is true, above all, because it pertains the establishment of the checking the criteria of the data" (Agazzi E. , 1996, p. 36). This *rigor* will be defined as the set of methodologies stipulated by each science, either natural or social, in its attempt to determine the *how* to give an account of the facts and data in scientific research in an appropriate way.

For example, in the social sciences, according to a historical approach, the methodology which will give account of the *rigor* of the science will determine "the criteria to search for sources, to evaluate its authenticity, to establish the dating, to proceed to comparative tests of its contents, to interpret them within the context of its origin, etc." (Agazzi E. , 2014, pp. 3-4)

In this way, as it has already been mentioned, nor the psychology, sociology, anthropology, archeology, history, or any other science in particular - to mention a few-, uniquely share the same criteria for securing the data or the establishment of logical mappings between their assumptions and propositions. However, they share in proportion of its concerns in relation to an own *rigor* criteria.

This begins to corroborate the viability of the analogical rationality noting that each science, either social or human, is immersed in specific, particular, unique and different conditions, in a way to describe the requirement of the *scientific* rigor and its judgment elements in relation to the objects -social facts- that are intended to justify, and are cropped off the state of issues from the social reality. In addition, such conditions, as will be explained later, determine the requirement of scientific objectivity in accordance with their objects - according to analogical reference.

### **Ontological Conditions:**

In order to continue developing this proposal for a analogical rationality in relation to the ontological conditions expressed through regional ontologies of each science in particular, it is necessary in the first place, to give an account of the requirement of *objectivity* in science; secondly, to describe the relationship between things and objects in science and finally, in the third place, to comment the problem of the reality in the sciences in a general way.

*Objectivity* according to Agazzi is understood in two ways. (I) the *objectivity*, as a consequence of the *intersubjective agreement* (objectivity *weak*). This agreement - for example, is necessary for the processes of understanding and explanation in the social sciences. It is only enough, according to this consideration, that knowledge can be valid for all as a subjective type invariance (Agazzi E. , 1978, p. 406). (II) The *objectivity* and the determination of the objects, in other

words, the description of which is inherent to the object (objectivity *strong*) (ontological aspect of knowledge) the moment in which the ontological reference enters into dialog with criteria of referentiality and operationality of the objects. This issue of the *objectivity* of great importance for Agazzi has been developed in a comprehensive manner and sufficient, in his book *Scientific objectivity and Its Contexts* (2014), he exposes his conception of the things, the objects, the reality and the truth in science among other issues of great relevance to its epistemological conception.

However, in order to develop the requirement of *objectivity* and its incidence in the social sciences, it is necessary to make a clear distinction between the *things* that are part of the reality (ontology), and the *objects*, for example, of a social nature determined by each social science, according to some of their specificities (ontological regions).

In this order of ideas, it is suggested that, on the one hand, they are everything to which on a daily basis makes reference to the human consciousness, while the objects, on the other hand, without abandoning their initial entity of being things, become objects according to the ontological, epistemic and pragmatic conditions that determine the *point of view* of each science - whether natural or social-, and their specific operational criteria. With this, it is suggested that the "'things' are approached and described in different sciences by means of different objectifications that express the viewpoints or the 'wholes' of single sciences" (Agazzi E. , *Scientific objectivity and Its Contexts*, 2014, p. 146).

This problem of the Objectivity in accordance with the things, can only be achieved according to the *gestalten* perspectivism; promoting in this way, the cognitive process of science in the context of the partiality of the truth, as explained in the following quote:

[...] This takes place through the application of operational criteria of objectification to 'things.' But this is not the logically primitive fact, since these criteria are devised only within a particular Gestalt, in which several concepts are organised into a unity. Sometimes this Gestalt is of a low level and is almost entirely constituted by empirical and sensory features; but in almost all the sciences much more complex Gestalten are introduced by virtue of an intellectual synthesis. In the case of these more complex constructions, some of the features entering the Gestalt must be equipped with operational conditions for testing. Only if these requirements are satisfied can a general perspective on things, a conceptual space, be promoted to the level of being the domain of discourse of a particular science, and make it practically possible for 'things' to enter the domain of objects of science, and actually be investigated by it. (Agazzi E. , 2014, p. 146)

As it was mentioned above, each social science determines the state of things within the whole of the social reality, their social objects capable of being known as his own *point of view*, through "a certain number of *predicates* (or the names of properties, relations, functions) that constitute the conceptual background of that particular science" (Agazzi E. , 1996, p. 41), That is to say, according to various epistemic conditions in accordance with ontological conditions enabled by operational and referential criteria.

These tools determine those "regional ontologies" with regard to which the concept of truth is "relativized", in the sense that the truth of a proposition is relative to its intended "referential domain". In this way the relation between thinking and being becomes the more precise relation between thoughts (the concrete contents of acts of thinking) and ontologies (that is, the delimited aspects of reality that are actually intended by an act of thinking). (Agazzi E. , 2011, p. 29)

These particular points of view, for example, about the social reality, make things *the objects* capable of being known, that is to say, its ontological referents in accordance to a framework of epistemic and operational criteria, like an analogical expression of rationality in each particular science. It is, therefore, a set of tools that allows to operationalize the various ontological regions:

It reflects the idea that knowledge always is knowledge of something and scientific knowledge essentially consists in reducing this general scope of knowledge to a much more restricted and delimited field, the field of the specific objects of the single disciplines. In other words, whereas intersubjectivity focuses on the epistemological aspect of knowledge, this hint at reference focuses on the ontological aspect of knowledge. (Agazzi, *Scientific Realism Within Perspectivism* and *Within Scientific Realism*, 2016, p. 360)

Based on the above, to make easier to understand how the knowledge of objects in the social sciences, which have been cut out of the *totality* of things that shape the reality (social), after applying a set of referentiality and operationality criteria, which ultimately provide *objectivity* in social science.

### Pragmatic Conditions:

Considering a conception of analogical rationality based also in pragmatic terms requires in accordance with the budgeted in this article, the following aspects: *i)*, to recognize clearly from a contextual perspective the relevance of the intersubjective agreements (*weak objectivity*). *ii)*, to observe the intersubjective agreement, on the basis of certain operational and *use* criteria (*strong objectivity*). All of this to finally settle the notion of scientific objectivity in the social sciences.

*I)* To recognize the intersubjective agreements in relation to the scientific objectivity implies necessarily that such agreements are carried out on the basis of the *plurality* of the observations achieved by subjects; being this aspect very important as Agazzi said, since this agreement exceeds the determination of objects made by an individual, knowing a real object and objectively exists "to more than one subject or for the same subject in different situations" (Agazzi E. , 1978, p. 410). Thus, recognizing this intersubjectivity as one of the criteria that allow you to ratify that rationality operates in pragmatic terms, indicates how these subjects according to their experience, interest and context, they agree to justify their beliefs, as well as to choose or act rationally. With respect to this agreement, Agazzi asserts:

Aquí es preciso no confundir este hecho con una afirmación del convencionalismo: no se trata de que, en un cierto momento, los científicos *se pongan de acuerdo* para hacer o decir ciertas cosas, para usar o rechazar ciertos instrumentos; sino que, mucho más simplemente, tal acuerdo se produce de hecho de un modo que no podría ser predeterminado *a priori*. Quien se sorprenda de esto no reflexiona suficientemente sobre la circunstancia de que la ciencia (y en general, todo conocimiento) no surge en el vacío, sino que procede siempre de un conocimiento precedente, utilizando lo que ya está disponible. Considerando estos hechos debemos decir que aquella *contingencia de la objetivación científica*, de la que hemos hablado hasta ahora, presenta los caracteres de la que, en forma más significativa, podríamos llamar su *determinación histórica*" (Agazzi E. , 1996, pág. 44)"

However, such presence of subjectivity in the analogical rationality installs the cognitive process of science as a human activity, and therefore, completely axiological; "the existence of values and its determination appear as an essential feature in the *explanation* of the actions and human institutions" (Agazzi E. , The good, the bad and the science, 1996, p. 169). These statements clearly show certain attributes of contextual, inherent in the pragmatic condition of this conception of rationality, and in which the reference to the values permeates all human operations. About this, Agazzi affirms that it can even be said that human activities:

Muy a menudo se explican, en sus *últimas* razones, mediante la presencia de valores. La prudente limitación expresada por nuestro «muy a menudo» traduce simplemente el reconocimiento de la posibilidad de operaciones y de prestaciones humanas que son realizadas exclusivamente en vista de un objetivo pragmático, y que no obstante son «humanas». (Agazzi E. , 1996, pág. 176)

*ii)* Nonetheless, concerning the intersubjective agreements with respect to the scientific objectivity, what is being proposed here such agreements equally require of self-determination processes that are inherent to the objects, making possible, on the one hand, methodologically, that the experiments were *repeated*. This repeatability according to the agazzianos approaches turns out to be a necessary condition "for *verification*, authentic heart of all the scientific methodology". (Agazzi E. , 1978, p. 415). Thus, overcoming any possible subjectivity. Moreover, on the other hand, leading to the claim and/or data on the subject of social facts that are *controlled*, according to the operational criteria of observation and verification of each specific science (*strong objectivity*).

This determination of the objects is possibly made through operational and referentiality criteria, which allows *the fact* not only by cutting the objects in a state of things of reality, but also making possible to reach the truth concerning the regional ontologies of each science in particular. How Agazzi says:

Indeed, the operational criteria of truth that we have presented are at the same time criteria of reference in the sense of determining the domain of objects of a given science, and this is precisely the regional ontology it is expected to explore and to which belong also the 'unobservable' entities postulated by its theories. (Agazzi E. , Scientific Realism Within Perspectivism Perspectivism and Within Scientific Realism, 2016, p. 360)

In this regard, it is pointed out that such operational criteria of objectification and ontological referential never deals with the whole of reality, but with a field exclusively focused and specific *objects* within the state of things in the *whole* of reality, making reference to the ontological aspect of knowledge, and as it had already been exposed before, from the ontological conditions-, since the adoption of a given set of such criteria 'clips out' some particular object, while the

adoption of a different set of criteria 'clips out'. A different object, both from one and the same individual 'thing' (Agazzi E. , 2014, p. 89). This Ontological relativity recognizes that a particular science never deals, as it was mentioned, according to the philosopher Bergamo, "the domain name of the 'reality', but rather, within this, designates the scope of specific 'objects' through some 'predicates', which can be considered as representative of his point of view about the reality" (Agazzi E. , 2000, p. 54) establishing that such predicates come from a particular science and giving his legitimacy character as well.

### Conclusions

As a result, this debate on the rationality in the sciences in general, with special attention to the social science, is then installed as a philosophical current and necessary exercise, which seeks to understand and explain how it expresses the human faculty of "reason". Thus, that "reason" allows the social sciences give *an account* or methodically approach to the problem of truth, and what is the way in which the rationality or "certain types of rationality" work (Agazzi E. , 2004, p. 245) in accordance to the various social sciences. That is to say, the recognition of all those "criteria of *rationality* adopted within each scientific discipline" (Agazzi E. , 1996, p. 45).

Also, since this proposal of analogical rationality argument that is unviable for scientific practice, as it was intended to make the classical rationality- to determine unequivocally, a set of rules or algorithms whose principle is *a priori*, evident by itself and not necessarily shared in the process of rational choice to avoid human contingencies. For this reason, through this written and in contrast to the claim of the classical nature of rationality, it is proposed to conceive the ontological, epistemic, pragmatic conditions in a similar and proportional manner, in other words, analogical for science in general, as determining factors in the justification process of beliefs and rational choices. This proposal focuses the attention of the rationality in the individuals, intersubjectivity, the context, the values, the scientific communities and the epistemic purposes and interests verified by criteria of rigor and objectivity, in accordance with the specific or regional ontologies inherent to each social science.

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## Special Forces and the Contrast Between Conventional Warfare and Irregular Warfare

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### Abstract

From the elements of operational environment and the microclimates produced by, there is the need for a form of war that is the most favorite and the most appropriate choice, very different from modern conventional war. There are several dimensions which clearly explain the difference between the conventional and the unconventional war. Before analyzing these dimensions, it is necessary to define the terms "conventional war" and "unconventional war". Special operations are often carried out in conjunction with conventional operations as part of a sustained political-military campaign. Some special operations are spectacular direct actions that have attracted wide attention, but many others are long term ones. They are an indirect attempt that in most cases is not made known to public. Regardless of what form is performed any special operation is carried out to solve a specific problem in operational or strategic level, as economically as possible, which are difficult or impossible to be performed only by conventional forces.

**Keywords:** Conventional warfare, irregular warfare, Special Forces, special operations.

### Introduction

Conventional warfare is a form of warfare conducted by using conventional weapons and conventional tactics between two or more states in an open confrontation. The forces on each side are well-defined, and fight using weapons that primarily target the opponent's military.<sup>1</sup>

Irregular Warfare is a violent struggle among state and non-state actors for legitimacy and influence over the relevant populations. IW favors indirect and asymmetric approaches, though it may employ the full range of military and other capabilities, in order to erode an adversary's power, influence, and will. Irregular warfare in its entirety is a prolonged armed conflict.<sup>2</sup> Figure 1 demonstrates the main difference between conventional warfare and irregular warfare.<sup>3</sup>

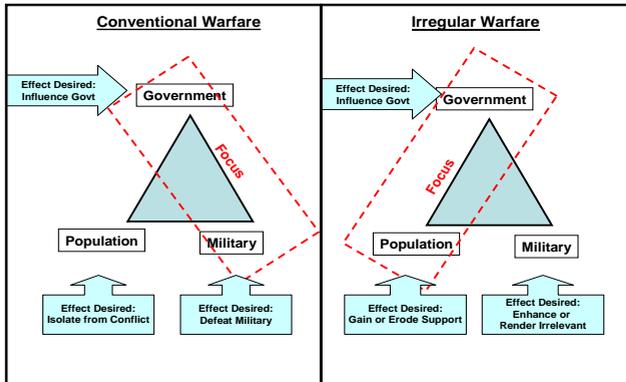
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<sup>1</sup> Ibid, p. 11

<sup>2</sup> United States Department of Defense, *Irregular Warfare (IW)*, Version 1.0, 2007, p 10.

<sup>3</sup> Ibid, p.10

## Contrasting Conventional & Irregular Warfare



**Figure 1: Contrasting Conventional and Irregular Warfare**

As it can be seen from the left side of Figure 1 above, conventional or “traditional” warfare is a form of warfare between states that employs direct military confrontation to defeat an adversary’s armed forces, destroy an adversary’s war-making capacity, or seize or retain territory in order to force a change in an adversary’s government or policies. The focus of conventional military operations is normally an adversary’s armed forces with the objective of influencing the adversary’s government.<sup>1</sup>

Irregular warfare focuses on the control or influence of populations and not on destroying an adversary’s forces or controlling an adversary’s territory. IW is a struggle for control or influence over, and the support of, a relevant population in the area of operations. In other words the parties in the conflict seek to undermine their adversaries’ legitimacy and credibility, and have control over the population.

The dimensions that clearly show the contrast between conventional warfare and irregular warfare are as follows:

### Organization

Based on the history of previous wars, especially World War I and World War II, we can say that these two wars are pure examples of conventional forces and conventional warfare. The armed forces of the countries involved in these two wars were well-organized and operated in clear operational lines.

Non-regular forces, guerrilla forces or, in the case of Afghanistan, tribal forces have a dispersed and non-focused organization, the lines of operations are unorganized and unclear, and do not engage on the strategic level. These irregular forces are formed on a tribal or clan basis, with the same ideological ties, and are limited to a specific geographic location and are under the structure of a traditional leadership. The Taliban in Afghanistan and Pakistan is a typical example of non-regular or an unconventional force.

### Military technology

In developed countries, the idea is that advanced technology is a key factor that plays an important role in the struggle to reach the advantage of winning it. This is true of conventional warfare, where opponents face each other with the same combat power. As far as the unconventional war is concerned, it involves the exploitation of any source: the purchase of black market combat equipment, theft of material goods in the operating area, various looting or local products. Irregular forces are specialized in conducting ambushes, raids, where they use weapons such as grenade launchers, Kalashnikovs, machine guns, mortars and improvised mines. Some irregular forces that have a better organization may have ships as in the case of Tamil Tigers during the conflict in Sri Lanka. While the Taliban were running Afghanistan, they had planes, helicopters, tanks and field artillery. Consequently, since non-regular forces do not possess the same

<sup>1</sup> William Driver, Bruce E. DeFeyer, *The Theory of Unconventional Warfare: Win, Lose and Draw*. Naval Postgraduate School, Monterey, California, 2008, p.20-28.

combat technology of conventional forces, then to defeat this advanced technology, irregular forces use unconventional tactics.

### **Logistics**

Conventional forces when deployed in different operational zones take with them the entire logistic system that is needed to carry out operations. Mechanized forces or units consume large amounts of oil, ammunition, and repair and maintenance parts. This kind of system limits the mobility and operational flexibility, creating some weaknesses that can be used to the advantage of the enemy.<sup>1</sup>

Non-regular forces are less dependent on the logistical support factor. Their needs for food, weapons and ammunition are simpler and do not need to move in large distances. These forces have support from the local population. Most of the armaments are easily transported and at the same time these forces have the ability to repair the armament or the machinery they have without the need of a support element. In this respect, non-regular forces do not have logistical weaknesses that can be attacked by the enemy, such as road or rail transport systems, bridges or arms production plants.<sup>2</sup>

### **Command and Control**

Conventional war, basically, is the war of a state with another state. Being such a war, it needs a centrally centralized and misleading central direction to provide the necessary organization and manage military, technological, and human resources. Very advanced communication systems for command-control of deployed forces are essential.

Irregular war or tribal wars are small scale wars that are run by local leaders and in most cases for personal purposes. It is difficult to analyze these reasons because their goals, tactics and strategies are based on unclear factors that do not depend on each other. The ubiquitous loops use communication methods such as cellular phones, walkie-talkies and couriers. For non-regular forces only the gunshot could serve as a signal to be organized, and in most cases it is as effective as the modern command-control systems.<sup>3</sup>

### **Doctrine**

One of the foundations of a modern conventional army is the development of a clear doctrine of strategic, operational and tactical levels of warfare. The doctrine will determine what they will fight, how they will be supplied, how they will be organized and deployed, and how they will fight.

Non-regular forces do not have a developed doctrine. This force is taught to fight in the familiar terrain that owns it. Have excellent knowledge of the terrain of personal armament and fit in every situation at tactical level. Non-existence of a doctrine of non-regular forces makes it very difficult for conventional forces to understand how irregular forces operate. These forces are underestimated, causing huge losses in military forces and equipment. It is too costly to learn how to fight non-regular forces through personal experience.<sup>4</sup>

### **Decisive battle**

Conventional warfare requires the opponent to be defeated quickly in a confrontational battle. This kind of war is for those world powers that have enough resources to invest in combat technology and armed forces to win the war in a decisive and fast way.

In irregular warfare, non-regular forces avoid operations that are long and intense. They fight using the concept of a sudden attack and immediate withdrawal from the battlefield. The terrain, culture, and the weapons they possess are factors that force non-regular forces to act in such a way. In an isolated or local conflict, operational or strategic mobility is of little importance compared to tactical mobility.

### **Soldiers and Fighters**

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<sup>1</sup> Ibid, p.29-31.

<sup>2</sup> United States Department of Defense, *Irregular Warfare (IW)*, Version 1.0, 2007, p.20-25.

<sup>3</sup> Ibid, p.12

<sup>4</sup> Robert G. Spulak, *A Theory of Special Operations: The Origins, Qualities and Use of SOF*, 2007, p.10.

Soldiers and fighters are two different things. Modern armies use a modern and contemporary process of training and indoctrination that prepares disciplined and professional regular military units. Today's modern soldier is a product of this system that takes the individual from civilian life and transforms him into a disciplined and ready-made professional who is expected to perform tasks assigned by the superior and all the chain of command, who act for fulfilling the objectives of the government and their country.

The fighter in comparison with the soldier does not break out of civil society. He is in civil society in the role of a fighter. His skills and weapons are found from the tribe or group he is part of. His knowledge of war and fighting is limited by the knowledge that the tribe or group he is part of. He operates in an irregular organization and in a more relaxed disciplinary system. The fighter lives near the area where he operates and with the people in that area. In the same circumstances and conditions this fighter can be as effective as a modern soldier.

Shortly, we can say that the complexity of today's and future operational environment will be the foundation for global efforts to address the challenges of regional ideologies and policies. Faced with conventional forces, NATO adversaries will be forced to use non-traditional capacities to achieve their strategic objectives. As an example, we can mention the possibilities that Al-Qaeda or other terrorist groups can use a weapons of mass destruction (WMD) over the civilian population of NATO member states. These opposing forces will continue to use unconventional war against NATO forces until the moment that NATO forces and its allies are able to carry out unconventional warfare the same as conventional warfare.

### **How do classical and special operations differ from one another?**

Special operations are often carried out in conjunction with conventional military operations as part of a stable political-military campaign. Some special operations are direct actions that have attracted a lot of attention but many are long-term and not direct and have never been made known. Depending on what form any special operation is performed, it is conducted to solve in a specific operational or strategic problems that are difficult or impossible to achieve solely with conventional forces.<sup>1</sup>

Given their unconventional nature, special operations are directly related to other forms of combat such as terrorism, guerrilla warfare, and insurgency. However Special Forces (SF) are well trained in fighting such forms of warfare using tactics, techniques, equipment, logistic and tactical action to defeat terrorists, guerrillas, and insurgency who undertake unconventional tactics. SFs try to deny unconventional opponents of some of the tactical advantages they possess by denying maneuverability, resources, surprise and initiative. In other cases, the SF can organize and develop guerrillas or insurgencies to overthrow adversary states that base their tactics on conventional methods. Against these opposing states, SF uses tactics such as interrupting supply lines, training guerrilla forces, or rebel forces. Shortly, special operations are operations at a small scale at tactic level performed by companies, teams or sub-teams of Special Forces. Special Operations are characterized by unconventional and often non-direct tactics, while regular military operations are characterized by conventional tactics.

To summarize the above, special operations differ from conventional force operations based on three criteria: <sup>2</sup>

Economy of force

Different considerations for the calculation of political and operational risk

Equipment, organization and training totally different from that of conventional forces.

### **Characteristics and qualities of Special Forces.**

The "special" qualities of these forces are a product of the organization, training, equipment and most important of the selection to be part of Special Forces. All of these factors are discussed below and are these factors that enable the creation of a flexible force that uses unconventional tactics to solve difficult and dangerous problems.

### **Economy of Force and Risk**

In special operations the principle of the "economy of force" is strictly applied. With a small number of special operators there can often be achieved far greater results than conventional military operations. For example in 1977, the Special

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<sup>1</sup> Chris Chant, GSG9Special Forces, UK2012, p.58.

<sup>2</sup> Joint Pub 3-05, 17 April 1998, p.4

Operators of the West Germany (GSG9 - Border Force Group 9) were able to release 90 hostages from a plane abducted by Islamic terrorists in Mogadishu, Somalia, only with one operator loss on their part.<sup>1</sup>

If such an attempt were to be carried out by conventional military forces, it would be impossible both politically and diplomatically and by the enormous potential to lead to high losses in military forces and hostages. Given that SF has a high return on investment made, special operations are of great value for the highest political and military decision makers both at strategic and operational level and a low cost method for solving complicated problems with a high probability of success.<sup>2</sup>

Special Operations can be economical but they are not without risk. Success is not fully guaranteed for any operation and strategic risk is much greater if operations fail to achieve the desired results. Responsibility for such a failure can have serious consequences both militarily and politically. Such an example is the failed attempt of the US special task force to rescue American hostages in Iran in 1980. This situation created an international opinion that the United States cannot carry out successful special operations.<sup>3</sup> Another example was the late reaction and the weak performance of the Special Forces of the National Security Guard of India during the 2008 Mumbai suicide bombings by Pakistani terrorist group Lashkar-et-Taiba (LET). In either case mentioned above the complete failure or failure to perform properly the operation had considerable political and military implications.<sup>4</sup>

In addition to the political and strategic implications, another form of danger is associated with the nature of special operations. Given the fact that some of the special operations are carried out in neglected or hostile territories, using a small number of personnel compared to the enemy, the tactical failure results in personnel loss or death for those who are part of the operation.

### **Flexibility and adaptability**

Given the limited time and resources, each military unit can be trained to perform a specific task at a very high standard. Such an exercise is repeated so often that all shortcomings have been identified and corrected and the execution of the mission becomes instinctive. What differentiates SF from conventional forces is the broad spectrum of conditions affecting mission accomplishment without lowering standards. Not every military force can be trained to carry out missions like seizing a high value target (HVT). SF is able to perform multiple missions with broad spectrum without any reduction in mission implementation standards. Under the conditions of limited visibility, long distances, bad weather and excessive fatigue, SF operators are expected to carry out missions beyond the capabilities of other conventional forces.

SF is able to adapt accordingly since what was considered "special" one day may be a norm the next day, and is not as effective against an enemy that evolves quickly and very often.<sup>5</sup>

### **Direct and indirect approach of special forces**

Main tasks that SF performs are divided in two categories:

The first category of special operations is the application of military force directly or kinetically. Direct operations often involve the destruction, capture or killing of personnel, equipment, and objects of high value to the enemy. As an example, we can mention the operation of SEAL TEAM 6 of the USA for capturing or killing Osama bin Laden in Abbottabad, Pakistan, in May of 2011. Special direct operations are often referred to as "spectacular raids" to attract the attention of public and politicians, pointing to the courage and determination of special operators.

SF classifies these missions according to the objective they have: Direct actions that are the general types of impact of the object, counterterrorism operations, targeting terrorist leaders, targeting terrorist infrastructure. To reduce the risk and to ensure success, special operations require highly trained personnel equipped with the most advanced equipment, with very good logistical, financial and legal support, with the latest intelligence on the target and the infrastructure to perform combat rehearsals and training before the execution of the mission.

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<sup>1</sup> NSHQ, Special Forces Study, December 2008, p.13.

<sup>2</sup> NSHQ, Study Case, September 2009, p.15.

<sup>3</sup> Ibid. p.14

<sup>4</sup> Special Forces Book, UK 2012, p.121.

<sup>5</sup> Joint Pub 3-05, Doctrine for Joint Special Operations, 17 April 1998, p.40.

The second category of special operations is the no direct approach. Non-direct or non-kinetic operations require patience and considerable time to accomplish before their effects are apparent. To run non-kinetic operations SF needs to work between mediators or third parties (such as guerrilla forces) or depending on agreements with other countries SF may cooperate with security forces in terms of countering terrorism or insurgency.

Non-kinetic approach of SF could be assistance in respect to humanitarian relief such as building schools, hospitals, water wells and improving civilian populace conditions in a specific region where SF operates. Another indirect approach is use of psychological operations to influence and assist other kinetic or non-kinetic operations of both Special Forces and conventional forces. In most cases this approach is done as economically as possible and as less visible as possible because of high political sensitivity of the mission and the region where SF is operating.

### **Difference between today's special operations environment and World War II environment**

One of the differences between today's special operations with those of World War II is the permanent status of the Special Forces. Today's special operations have their genesis in World War II, but during that conflict, military forces using unconventional tactics were created only to perform a certain task and at the end of the operation these forces were decommissioned. Today holding SF on a permanent basis gives them greater capability than their predecessors in World War II.<sup>1</sup>

SF units are built up based on three basic elements that give them the "special" name and also make them distinguish themselves from conventional forces. These three basic elements are: 1. the "special" name, 2. the selection and specialized training and 3. the special equipment.<sup>2</sup>

The "Special" name reflects the unique qualities and special abilities of a special force. The Special name is seen not only in the name but also in some parts of the uniform, and not only. Their uniforms are quite different from those of the rest of the army, which distinguishes SF members from members of other military units. Members of the British Special Air Service (SAS) are distinguished by tan colored berets and emblems with "knife and wings".

American green berets are distinguished by their green berets, while the Albanian, Turkish, Hungarian, German, Italian, French, Polish, and Dutch SF are distinguished by their maroon berets. Characteristic features also have the Russian Special Forces Naznacheniyе Spetsialnoye (Spetsnaz).<sup>3</sup>

In Albania, SF operators are distinguished not only by maroon berets but also by the unique set of uniforms. Other characteristics are the various signs placed in ceremonial uniforms, which are different medals held by the operators after finishing courses and trainings such as Special Forces course, parachuting course, scuba diving course, sniper course, special operation course and various medals received during deployments abroad.

The selection and training is carried out in the respect of their mission, a mission which requires special qualities that conventional forces do not have. Specifically, the selection and training of these forces identifies them as individuals with physical abilities and above all with psychological ability to perform special operations. Most important is the possession of qualities such as the level of reliability in extreme stress situations, intelligence, maturity, and thinking ability to solve problems in every circumstance. The selection process often occurs during several phases and is often supervised by more experienced operators. The reason for the training is to raise the skills of the special operator at a very high level, to develop them for team work, and also to continually examine candidates for their suitability and ability to serve in Special Forces. Examples of such selection process and training include the basic course of US Special Forces "Green Beret", the selection and training program of the British SAS, as well as the Selection and Training Program of the Albanian Special Forces.

Training of SF operators does not only have high demand but also high risk. The SF course's training regime is designed so as to push candidates at the extreme limits of physical and psychological endurance and to master all tactical skills at the individual and group level. Their specialization in specialties such as weapons, demolition, communications,

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<sup>1</sup> Chris Chant, Special Forces, UK 2012, p.98.

<sup>2</sup> Joint Pub 3-05, Doctrine for Joint Special Operations, 17 April 1998,

<sup>3</sup> This contribution results from a joint effort by the authors. More specifically and for authorship reasons, the introduction and sections 4, 4.1, 4.2. and 4.3 were written by Mariano Gianolola, while sections 1 and 3 were written by Giuseppe Masullo. The authors co-wrote section 2 and the conclusions.

intelligence, medical, and sniper enables Special Forces small teams to act independently and accomplish a broad spectrum of tasks.<sup>1</sup>

**The third and final elements** are SF equipment. This set of equipment includes non-standard equipment, outside traditional lines of supply from conventional forces. In specialized units, operators can choose the most appropriate equipment based on the mission they will conduct. This freedom reflects the trust in the special operators and the ability of the special units to be successful in every task they perform. In the list of this equipment are included special devices for the conduct of special reconnaissance such as thermal cameras, digital camera, night vision and observation devices. In the weapon category we can mention the special weapons of caliber 4.5x30mm, 45 auto, 9x19mm, 5.56x45mm, 7.62x39mm, 7.62x51mm, 7.62x67m, 8.6mm 12.7mm. Special accessories are used in the weapons such as night vision binoculars, infrared laser system, and silencer. Additionally Special Forces units are equipped with sea infiltration equipment, sub-water immersion equipment, air infiltration equipment, such as HALO and HAHO parachuting systems. All these special equipment enable the accomplishment of special tasks on land, sea and air.

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<sup>1</sup>Proposed as an educational tool for families and schools.

## Environment Impact of Ex-Industrial Areas in Laç and Rubik and the Possibilities for Their Functional Transformation- a Comparative Analysis

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### Abstract

Industrial areas in Albania have had an important role for many years during the communist regime, but their industrial function declined after the 1990s. This study focuses on the industrial areas of Laç and Rubik, two small towns in Albania. The closing of some industrial activities in these towns has increased environmental pollution and health issues of their inhabitants due to the release of toxic substances in the territory. There were chosen these two towns to compare because: *First*, they are near each other and are part of the same District of Lezha; *Second*, they both are two ex-industrial towns which were created by the establishment of the industry, former Chemical and Metallurgical Combine in Laç and former Copper Plant in Rubik; *third*, in both towns the industry has caused environmental pollution in their vicinity, but mostly on the waters of Mat river; *fourth*, after the year 1990, when the industry that created them has stopped functioning, they have good possibilities to develop religious tourism. In both towns are two important and much-visited churches: the Church of St. Ndout, Laç and the Church of Shelbuemi in Rubik. Another reason is the lack of studies for the ex-industrial areas in Albania, especially for Laç and Rubik. The main aim of this study is to identify and assess the levels of pollution caused by ex-industrial building (actually not functioning) on land, air, water, and human health and to find the best way for their effective reuse and functional transformation.

**Keywords:** ex-industrial areas, environmental pollution, reuse, functional transformation

### Introduction

Kurbini and Mirdita Municipality are part of Lezha District (Map 1). Kurbini Municipality has four administrative units where Laçi is the main town (Map 2), and Mirdita Municipality has six administrative units with main town Rrëshen (Map 3). The territory of Kurbini extends into two physiographic regions: in the Central Mountainous region and Western Lowland, and it has a very favorable position related to the main roads in Albania and the capital city. Also, the geographical position of Mirdita is very strategic and advantageous for its development. In both directions, the Great and Small Fan River valleys connect the Western Lowland with Kukës and the tectonic fracture Mallë Lurë-Urakë connects the Black Drin River with the hollow of Mati.

This paper analyses the industrial development of Laçi and Rubik during the communist regime (1945-1990) and after it (1990 and actually). Some of the advantages of these towns for the development of the industry during the communist regime were:

*Firstly:* Laçi is near to two important ports, port of Durrës which is the largest and most important in Albania and port of Shëngjin a smaller one, but important for the import-export activity. During communist regime and actually, most of the machinery, industrial equipment, raw and finished materials are imported/exported through these two ports and port of Vlorë, which is a little farther to these towns.

*Secondly:* Both Rubiku and Laçi town were very close to the raw material sources (copper) found mainly in the northeastern part of the country, which supplied the Copper Plant in Rubik and the Pyrometallurgy Plant within the Chemical and Metallurgical Combine in Laç.

*Third:* Laçi town had an optimal position being very near to the main national road and railway of Albania (The road and railway infrastructure in Albania during the communist regime was very poor and sometimes in very bad condition), while, Rubik was far from these roads, and only after the establishment of industry were constructed some secondary roads and railways to shorten the distances.

*Fourth:* Rubik and Laçi were close to potential customers for agriculture supplies, providing chemicals and pesticides, and for the copper manufacturers, especially for the copper wire plant in Shkodra which is 57 km from Laçi and 71 km from Rubik.

*Fifth:* Both towns were very close (no more than 30 km) to two important hydropower plants (Ulza and Shkopet built on Mati River), which provided energy for the industry. The waters of Mati River were used for the production processes in the industry but also for the inhabitants of the two towns which were growing and expanding after the establishment of industrial facilities (Laçi, 2008).

*Sixth:* Government policy during the communist regime was an important locational factor, which affected many decisions for the industrial factories with the main objective to distribute them all over the country even though some factors were not profitable.

### **Main Factors For The Localization Of Industry In Laç And Rubik**

Albania, during the communist regime, had a centralized state economy with no possibilities for the free initiative. The level of decentralization was very low or almost inexistent and in some cases punishable. The main factor for the localization of every industrial factory, mine opening, industrial combine, hydropower plants, etc., was political. The former communist government of Albania aimed to industrialize the country and to provide equitable distribution of the industry. Although the main factor was political and in many cases resulted not profitable for the economy, other factors influenced the localization of the industry in Laç and Rubik (our study cases).

#### **I.a. Natural Factors**

*The geological composition* was an important factor for the localization of copper mine in Rubik. This area has mostly magmatic rocks (intrusive and effusive) rich with two kinds of copper ores: hydrothermal and quartz-sulfuric. The hydrothermal ore (chalcopyrite) are in the peripheral areas of Mirdita tectonic zone, where is Rubiku (Map 4.). The quartz-sulfur minerals are mostly in Kurbnesh and Thirrë. In Laç, the geological construction was not favorable for the location of the industry. The Chemical Metallurgical in Laç was on collusive and proliferative deposits and sloping materials which were highly unstable and endangered by the erosion.

*The raw material* was the main factor for the localization of the Copper Smelting Plant in Rubik near the copper mine. The cost of minerals and transportation costs were minimal in this case. The copper sources and mines which supplied Rubiku Copper Plant were in Perlati, Kurbneshi, Repsi, Rubiku, Kulmja, Spaçi, all villages of Mirdita (Map 4.). The raw material was an important factor especially for the Pyrometallurgical plant in Laç, which was supplied with copper powder by the Copper Plant in Rubik (distance Laç to Rubik is only 16 km).

*Climate*, as a locational factor is important because it affects not only the development of industry and other economic activities but has a direct impact on the physical and mental health of workers. In both towns, the climate conditions with annual average temperatures of January from 4°C to 5.5°C and of July from 23.2°C to 25 °C, the precipitation from 1100mm in Laç and 1800mm in Rubik were favorable for the development of the industry.

*Hydrography* of Rubiku and Laçi is very rich in surface and underground waters which have supported the development of the industry. The main water source is Mati River, which is used not only for the industry but also for power production, urban use and irrigation of agricultural land. The Fushë Miloti and Fushë Kuqe areas in Kurbini Municipality are very rich with underground water, which has been used to supply water for the industry in Laç and for agriculture with pumping stations, drainage canals and wells opened during the communist regime.

*Land and soil* are also important for the location of industry. During the communist regime, the land was state property, so its price was not a locational factor. In Laç and Rubik the disponibility of land was not favorable for the development of industry because in Laç the industrial plants and factories were constructed on agricultural land, which is not recommended and in Rubik in a not stable land (only 5m above river level).

## **I.b. Social and economic factors**

The social and economic factors are very important in the location of industry. Nowadays with the technology advancement in every economic sector, some of the natural factors are losing importance and instead are gaining the human factors such as labor force price, capital, government policies, market, etc. These factors are influencing the distribution of industry around the world and also in Albania. How were these factors when the industry established in Lacc and Rubik? Were all of them very favorable and profitable or the state had to invest in them?

*The government policy*, as we mentioned above, was the main factor for the location of industry in Lacc and Rubik as in every part of Albania. Considering this, although some other factors were not very profitable the industry still developed in Lacc and Rubik.

*The capital* for the development of industry also was state property which was the only one to decide where and in what to invest. All the investments in Lacc and Rubik were from the state capital, and although in the first years the industry was not very profitable they continued functioning. Many investments were made for the opening of mines, construction of industrial buildings, roads, railways, water supplies, residents for the workers and their families, etc.

*The labor force* was both positive and negative factor for the industry in Lacc and Rubik. The price of the labor force was a positive locational factor as the salaries were uniform in all country and established by the government, but the disponibility of the labor force was negative because both areas were not much populated. The state invested to bring the labor force in these towns and to provide everything for their living. These investments increased the cost of developing industry in these areas. In the Copper Plant in Rubik were employed 700 workers (information from the interviews with engineers of Copper plant in Rubik) and 80% of them were from the other villages of Mirdita which later lived in Rubik while in Laç were almost 1300 workers from near areas and engineers from the capital city which were brought to live and work. Many investments were also made for the security of work, especially in the Chemical Metallurgical Combine in Laç, which was one of the most saved in Albania. The workers had special clothes to protect them from asbestos, gas masks, clothes to protect them from high temperatures, acids, and fire. The accidents on work were rare but not fatal for people. The aspiration system was very good, and every worker had its garderober and had access to the mensa and the showers in the Combine. The qualification of the population was another factor which in Lacc and Rubik was not favorable as the local population education level was very low. The extraction sector had no specific requirements for the level of education, but other factories needed chemists, metallurgist and different engineers (chemical, electric, construction, mechanical engineers), etc. They were all brought from other Albanian towns and cities, and for the future generation, the state invested in opening professional schools in Laç and Rubik. The salaries were very good compared with other professions and varied from 500 ALL ( an acronym for Albanian Lek) to 700 ALL (information from engineers who have worked in the industry) when an average worker in construction in that period was paid around 200 ALL.

*The market* was another locational factor which was decided by the central government. Most of the copper produced in Rubik (almost 80% of the production) was sent to the Copper Wire plant in Shkodra which produced for the inner and outer market high-quality products. The copper not used in this plant was also exported as cathode copper with a purity of 99.99%. The market was not a direct factor for the localization of the industry in the studied towns, but their vicinity with the ports and other industrial factories was a favorable factor. The copper and its products were exported mostly to Russia, China, Turkey, etc.

*Transportation* was not favorable for the establishment of the industry in Rubik but was favorable in Laç, which was near the national road and the only railway of Albania. Although the state invested in roads, railways and cable car for the transportation of copper from the mines to the Smelting Plant, there were many difficulties in distributing on time the raw material. The roads were not in very good condition, some of them had many curves, the number of trucks was low, and sometimes they were in bad conditions losing part of the weight on the road.

## **The Impact Of Industry On Population And Urbanization Of Laçi And Rubik In The Period 1945-1990**

Albania is very rich in mineral resources, although it is a small country. Most of the mineral reserves were discovered by foreign researchers, especially Italians. Albania was very poor before and after the Second World War, and it lacked qualified researchers, equipment, and money to support the exploration of minerals and extraction industry, although the presence of copper in Rubik has been detected from antiquity.

The first to extract copper in Rubik were some Italian mining firms, which built the first nucleus (SAMIA in 1938) and after them, there were Russians and Chinese. The first Copper Smelting Plant in Albania opened in Rubik because it had resources of high-quality copper with silver and gold in it. Most of the copper mines and establishments in Albania were opened after the 1950s and 1960s, which supplied the Copper Smelting Plant in Rubik and the Pyrometallurgical Plant in Laç. Gold and silver production in Rubiku copper smelting plant has been high for almost 20 years and has supported the economy of the country. The collaboration with China from 1960 to 1978 was very important for Albanian economy, especially for Metallurgical industry, which is shown in the growth of gold and silver in this period. This growth continued until 1990 when the communist regime declined, and many former industrial establishments were destroyed and robbed by the people (Graph 1, Graph 2).

Laçi and Rubik are two small towns in Albania that were created and expanded after the establishment of industrial activities in them. From small rural settlements (especially Rubik) they grew in population and size to become important industrial towns (although their modest industry and urban areas, Laçi and Rubik were declared towns according to the administrative organization of the territory of Albania during communist regime). Laçi was ranked the second most important city in Northern Albania by size, population, and economic importance.

The development of industry had its impact mostly on the main economic activities of these two towns which were transformed from rural settlements, focusing on agriculture and artisan activity, into urban areas (small industrial towns) offering industrial, administrative, educational, social and cultural activities and functions. The opening of the Chemical and Technological High School in Laç and Metallurgical High School in Rubik contributed highly in the educational and professional level of their population. As mentioned earlier in this paper Albania had a lack of professionals and educated people and the investments in these two schools related to the professions of the industry in these areas would provide specialists for the future.

The development of industry in Lac and Rubik had a high demand for workers which were brought from the near villages or other cities of Albania. In the first years after the industrial establishments opened, the population of Rubik was very low, with only six houses (48 inhabitants) in 1939 (Picaku, 2012), it reached 822 in 1959 and then 5000 in 1979. In Laç the population changed from 500 in 1959 to 9500 in 1979, reaching almost 30,000 by the end of the 1990s (Laçi, 2008). The direct impact of the industry in population size is more evident in Rubik which almost stopped growing after 1990, and in the period 2001 to 2014 has been growing with only 1147 inhabitants or 88 inhabitants per year (Table 1.). This pattern is also seen in Laç where the population growth rate is getting lower every year. Another impact of the industry on population was also the change in its age and gender structure. The working force brought to these towns was relatively young and mostly men working in mine and heavy industry sector. In Rubik, the gender structure changed in favor of men, but in Laç the gender structure was more equilibrated as it has also developed light industry and other economic sectors.

The urbanization of Laç and Rubik was very fast after the investments in the industry. The working population needed apartments and other services and recreational buildings. Many apartments with 5-6 floors were built for the workers and their families. In Laç was built the Palace of Culture, Town's Library, some sports facilities for children and youths, some recreational facilities, kinder gardens, schools, etc. Rubik had fewer buildings as its population was not as big as in Laç.

Changes also happened in the economic and employment structure of the towns. In Laçi town the population had many other options to work apart from the industrial sector, which in Rubik was not possible as the other economic sectors were not as developed. In Laç, almost in each family, one member was employed in the industrial sector and one in another economic sector, mostly in service and education while in Rubik, most of the population was employed in the industrial sector and only a few in agriculture and other sectors. The employment in industry increased the welfare of the population in both towns as it was one of the most paid sectors during the communist regime, especially the heavy industry. The difference between the families which had at least one employed in the industry with the others who did not have any was noticeable. Actually, in both towns, the employment in the industry is very low compared with other sectors. (Map 5.)

### **The Decline Of Industry And Its Impact On The Socio-Economic Development Of Laçi And Rubik After The Year 1990**

The decline of the communist regime in 1990 was the beginning of many changes in the economic and social life of the people living in Albania. The industry and many other economic activities experience different problems and changes to adapt to the new democratic system established in Albania. The heavy industry, which had had a leading role during the communist period, was the first to suffer the changes resulting in the closing of many mines throughout Albania. The state

investments to the industry were very low and not sufficient to keep people working. Most of the heavy industry establishments were closed in the early years of the 1990s and were damaged by the local people. Some chimneys of the Rubik Copper Plant were demolished and then sold for scrap. The same fate also had the Copper Refinery plant which could have been kept in function for many other years. In Laç, the Superphosphate Plant continued its production until 1993 when all the remaining reserves of phosphorus finished. Also, the acid factories were closed and then damaged causing many environmental problems.

The industry in Rubik was experiencing difficulties to continue functioning also because the raw material was impoverished too much and the technology was very old, otherwise in Laç the technology was better, but still it needed some improvements. Nowadays the industry in these towns is not in function, and the possibilities to reactivate it are scarce as most of the ex-industrial buildings are very damaged and destroyed after so many years without working. The most damaged one, causing much environmental pollution is the Chemical Metallurgical Combine in Lac. In last years have been many attempts from the local people to steal the last remaining of the Combine and three persons have even lost their lives.

The ex-industrial areas have been transformed and reused differently in the Albanian towns. In some of them, the population has reused part of industrial buildings to establish small enterprises, some for housing, small shops, etc. Other ex-industrial areas where the contamination and pollution from the industrial activity is high aren't used for any new function. In Laç and Rubik the situation of these areas is very bad and a source of environmental pollution, but this has not prevented the population to build houses and small businesses near them. These families throw their waste in the surrounding areas increasing the pollution of land, water, and air.

The economic function of Laçi and Rubiku changed again after the year 1990, and from industrial towns now they are more focused in the service sector and agriculture. The production capacity of small enterprises opened lately in Laç cannot be compared with the one before 1990. The population is focused now mostly in the service sector, especially religious and environmental tourism.

Laçi has always been more developed than Rubik and continues to have an important role in the region, especially after the last administrative organization of the territory of Albania it is the main city of Kurbini Municipality.

### **Negative Impact Of The Industry On The Environment Of Lac And Rubik**

Despite its positive impact on the economy and population life, the development of industry in Laç and Rubik had also negative impacts on the environment and population health. The location of the industrial plants in the suburban areas was not a good decision for the environment of the industrial towns and the population in general.

The industrial activity in Laç and Rubik discharged poisonous gases to the atmosphere which were transported by the winds toward the towns exposing most of the population to this pollution. The direction of the winds was a key factor which should have been taken into account for the right location of the industrial plants and establishments. In Laç, where the prevailing southwestern winds during the winter season and eastern ones during the summer season shifted away poisonous gases released from industrial facilities, particularly from the Superphosphate Plant and the copper enrichment to the town. They should have been located in the other part of Laçi town to avoid industrial gases. In Rubik, this problem was not very evident and frequent as in Laç. The air pollution in these towns has caused many health problems, especially respiratory and skin diseases, not only for the population working in the industry but also for the other residents which were not in direct contact with the industrial activity. The areas have also suffered quite often acid rain which has damaged the plants and agriculture crops.

The rapid growth of the population in the first years of the industrialization, which continued, had its impact on the increase of the urban waste as well as water and air pollution. This environmental problem is still present and untreated properly in Laç and Rubik where there are only few garbage bins around the towns, and the wastes are collected in landfills near them. The urban waste and the inerts of the ex-industrial buildings augment the pollution of the land, water, and air. Especially, highly polluted from the industrial activity is Mati River which is also the most important one for the region where these two towns are situated. It has been estimated a reduction of different species breeding in the river and plants due to high levels of heavy metals and BOD in water. (Table 2, 3.)

The industry had a negative impact also on the land and its uses. Most of the land that once was considered agricultural was then used for industrial buildings and for the construction of the apartments for the workers brought from other villages

and towns to work in the industry (Table 4.). The expansion of Laçi town especially restricted the agricultural land. After the use for industrial activity, most of this land can no longer gain its previous fertility to be reused for agriculture (Table 5.)

### **The Importance Of Functional Transformation Of Laçi And Rubik's Ex-Industrial Areas**

The development of sustainable industry is one of the 17 objectives of the UN, especially in the developing countries as Albania. The ex-industrial areas not in function are widely known as Brownfields, and in Albania, there are many of them. These areas endanger human health, impede economic development, reduce the value of the surrounding lands, etc. Their functional transformation has economic, social, environmental benefits.

Appropriate reuse or functional transformation of Laçi and Rubik's ex-industrial areas will convert them from heavily polluted and abandoned areas into areas of recreation and leisure. This process is not easy and requires the appropriate human and financial resources. In Laçi and Rubik the process may be very difficult because: their ex-industrial areas are very polluted; there is a lack of legal basis for their development as well as regulations on how to develop and support regulatory activities; there is also a lack of researchers and national strategy in these areas; ex-industrial buildings in both towns are very damaged.

Ex-industrial areas and objects have been mostly reused for other industrial functions, for companies' main offices, shopping and entertainment centers, shelters for homeless people, etc. In some other countries, they have been preserved as industrial heritage and used for tourism and research purposes. The Albanian government should take into consideration other countries experience and compile a national strategy on ex-industrial areas functional transformation which should include: a. Identification, mapping and inventorying of ex-industrial areas; b. Classification and valuation of their social, economic and environmental potential for development; c. Recovering and adaptive reuse. As one of the main issues in dealing with these areas in Albania, it is the lack of financial resources to clean them following the appropriate procedures, the government can invite the private companies and businesses to invest by offering them lower taxes for a certain period, low land price, etc. The local government and community have their important role and have to be involved in the whole process from the preparation phase to the implementation of the strategy.

The ex-industrial areas in Laçi and Rubik are very small compared with similar areas around the world, and the most appropriate reuse would be transforming them in recreational and industrial heritage areas going through some important steps:

Cleaning the ex-industrial areas and their surrounding from the solid and liquid pollution in land, water, and air;

Restoration of the remaining walls of the ex-industrial buildings, which should match the original style. It is also important to fence in the ex-industrial area to protect their territory from local people who can damage the existing buildings or build houses very near or inside these areas.

After the ex-industrial areas are restored and transformed into recreational areas, it is necessary to put signs near them and around both towns to give directions for people who want to visit and spend some time there. These signs should be in Albanian and English to attract also foreigner visitors. Inside the recreational areas, there should be other signs and tables with information and pictures about their former use and importance. There can also be specialized guides to explain the previous use of these areas and other necessary information about them.

Planting trees, the creation of green spaces for children's entertainment, putting some benches around the area for the visitors, the opening of small cafes and shops (souvenir shops with artisan works from both towns), etc. would help in the fulfillment of the recreational function of these areas.

Laçi town is bigger than Rubik, and it has more visitors, especially during May and June, to the Shen Ndoit church. It would be more suitable to build also a parking lot in its ex-industrial areas to reduce the traffic jam during the pilgrimage days and summer.

The local governments of both towns through following these suggestions and also getting experience from other towns inside or outside Albania can achieve the functional transformation of these areas and all the other benefits: economic, social and environmental. Two 3D maps were prepared in Arc View 10.3 to have a visual image for the propositions given to transform the ex-industrial areas (Map 6, 7). These two maps provide a general outline of how these two areas can be transformed.

The transformation of the studied areas as well of the other ex-industrial areas in Albania which are a permanent source of environmental pollution should start as soon as possible and should be in the program of every central and local government.

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## Tables

Table 1. Changes in population number of Laç and Rubik, 1939-2014

Year \ Town name	1939	1959	1979	2001	2011	2013	2014
Laç	No data	500	9 500	19 424	17086	30 745	29 422
Rubik	48	844	5000	6 842	4454	8 143	7 989

Source: Civil Registry Offices in Laç and Rubik

Table 2. The presence of heavy metals in Laçi and Rubiku waters

Heavy metals in water	Cu	Si	Cd	Cr
Laç	26.36 mg / l	8.5 mg / l	0.011 mg / l	0.011 mg / l
Rubik	22,46 mg / l	-	0.012 mg / l	0.04 mg / l

Source: UNEP, 2000.

Table 3. The Ph and BOD in Mati River

River	Station	Date	Ph	BOD
Mati	Miloti	20.09.2002	8.35	1.05
Mati	Miloti	19.06.2003	8.46	3.70
Mati	Miloti	03.11.2004	8.61	4.80
Mati	Miloti	23.08.2005	7.92	1.45
Mati	Miloti	20.10.2006	8.45	0.45
Mati	Miloti	02.11.2007	8.19	2.0
Mati	Miloti	01.09.2008	7.93	1.9

Source: UNEP, 2000.

Table 4. The presence of heavy metals in Laçi and Rubiku land

Heavy metals in land	Cu	Si	Pb	Cr
Laç	1,422 mg / kg	526 mg / kg	43 mg / kg	-
Rubik	1,696 mg / kg	-	99 mg / kg	492 mg / kg

Source: UNEP, 2000.

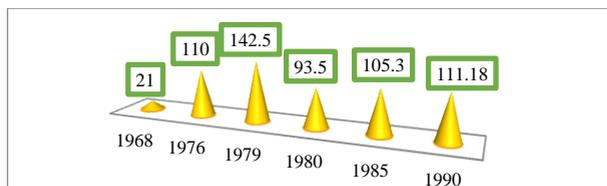
Table 5. Main polluted industrial and ex-industrial areas in Albania

Nr. Main polluted industrial and ex-industrial areas in Albania	
1	Vlora area: Polluted with Hg and PCB
2	Fieri area: Polluted with As
3	Porto Romano areas: Polluted with pesticides
4	Elbasani area: Polluted by dangerous gases, discharge of industrial water in rivers, hazardous waste, slag.
5	Laç, Kurbin: Polluted from Copper Melting Plant
6	Elbasan: Smelting plant of Cr and Ni
7	Laçi area: Polluted with fertilizers and acids
8	Rubiku area: Polluted by the copper industry wastes
9	Ballshi area: Polluted by petroleum Industry
10	Puka area: Polluted by Copper Industry

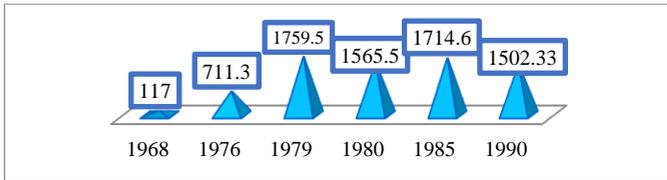
Source: SARMA, 2010

## Graphics

Graph 1. Gold production in Rubik 1968-1990 (in kilogram)

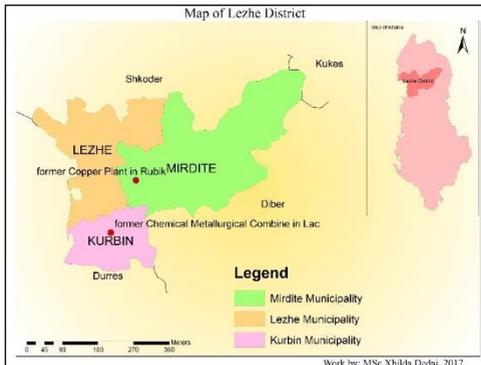


Graph 2. Silver production in Rubik 1968-1990 (in kilogram)

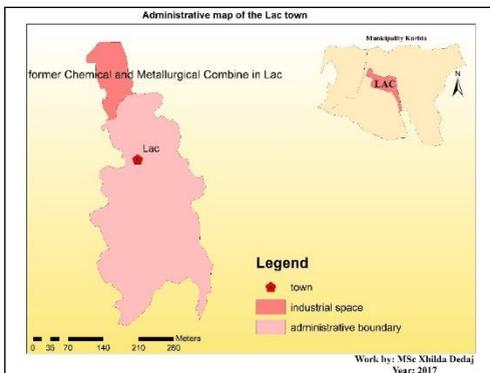


### Maps

Map 1. Administrative map of District of Lezha

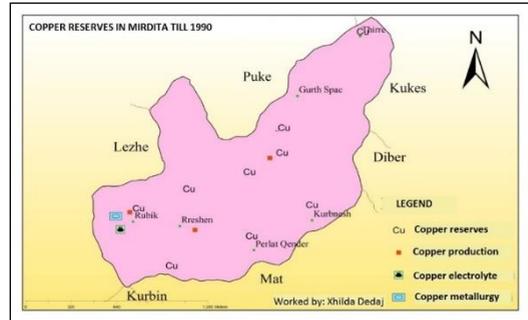
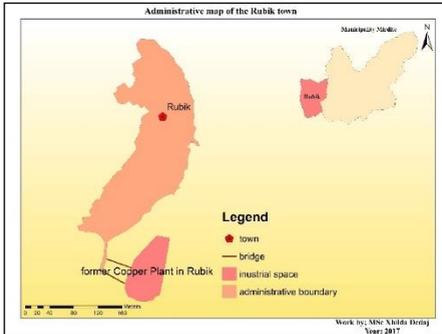


Map 2. Administrative map of Laçi town and the location of ex-industrial area

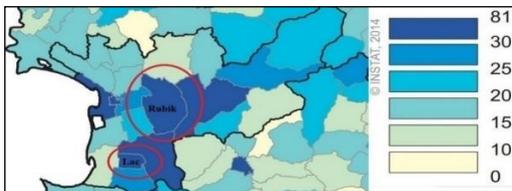


Map 3. Administrative map of Rubiku town and the location of ex-industrial area

Map 4. Copper Reserves in Mirdita till 1990

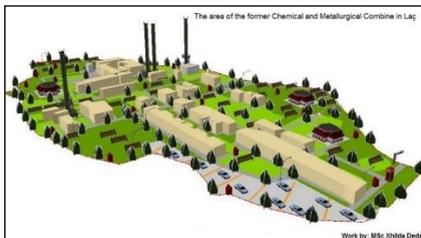


Map 5. The percent of population employed in service sector in Laç and Rubik, 2014

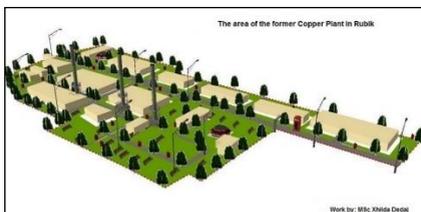


Source: INSTAT, 2014

Map 6. The functional transformation of former Chemical and Metallurgical Combine in Laç (proposition)



Map 7. The functional transformation of former Copper Plant in Rubik (proposition)



## Evaluation of Writing Assignments

Anita Jokić

Prva riječka hrvatska gimnazija

### Abstract

Teaching English as a foreign language is now one of the most important subjects in Croatian secondary schools since English is one of the three obligatory subjects at 'matura' - standardized tests which the seniors need to pass to graduate. Writing is one of the three parts of the EL exam, the other two being listening and reading. When learning a language, students start from listening skill, move on to speaking and reading and finally to most difficult skill to master: writing. Teaching and learning writing faces a lot of challenges since it requires a lot of time to practice and even more to evaluate and monitor progress. Teacher's responsibilities are to regularly provide opportunities to write, encourage students to learn from their mistakes and promote their success. In order to do so, students should be given clear instructions on evaluation/assessment and concise feedback. Since grading written assignments takes up a lot of time, the author proposes rubrics which can be used to assess various types of writing taught at secondary level (description of place/event/person, letters of complaint, job application, invitation, discursive/opinion/for-and-against essay etc.). Author suggests four fixed rubrics and subdivisions: Task completion, Cohesion / coherence, Grammar and Vocabulary. All rubrics and subdivisions are described in the paper. A survey was also conducted on a sample of 140 students and has given an insight into students' opinion on importance of assessment and feedback and its influence on their progress.

**Keywords:** English language, evaluation, assessment, writing assignments, rubrics, writing skills

### Introduction

Undoubtedly, evaluating writing assignments is one of the most challenging tasks a teacher can face. Evaluation takes a significant amount of time and energy, so teachers are looking for a way to make grading simpler and quicker yet still important and valuable to students. Quite often, as Crump and Carbone (1998) noticed, evaluating and providing feedback often becomes a daunting task of "correcting" or "explaining" rather than offering useful feedback that improves students' writing skills since teachers tend to focus on mistakes rather than praise.

To avoid fatigue influencing our grading after tenth essay, we should use clear grading criteria which will make our job much easier. This paper aims to offer some tangible strategies and criteria for improving the complicated and intensive attempt of evaluating students' writing.

### Teachers' Challenges

Every teacher is faced with many challenges and obstacles which need to be considered when grading an essay. Among the most important are:

Students' attitude towards feedback and rubrics,

putting focus on important,

efficiency and consistency, and

investing time earlier in process.

### Students Attitude Towards Feedback And Rubrics

Before considering methods of evaluating and responding, it can be helpful to consider the student-writer perspective. Being conscious of how students perceive and react to our commentary as teachers can positively influence the way we respond to their writing. No student is satisfied upon receiving an essay full of corrections and comments.

A 1990 study by Spandel and Stiggins revealed that students often misread the tone and meaning of comments, even though they seem to be clear and direct. Nancy Sommers (1982) from Harvard University found that most comments were not text-specific and could be clearer - surely a result of time and space restrictions. Some of the comments were also frustrating for students who are incapable or insufficiently prepared to understand the meaning themselves. With that in mind, the primary goal in providing feedback on our students' writing is to promote overall improvement as well as clearly explain the grade we have assigned.

### **Putting Focus On Important And Being Clear**

Our students, especially the young ones, struggle to see their own work objectively, so it is helpful for them to receive feedback that helps them understand what they have done well and which aspects and parts of their essay need improvement. It is also very important to respond as a reader and grader to the writing itself, not to the person. Also, the aim is to help students improve their writing in general, and although it is probably easier to focus only on general issues, it is also important to help our students with important issues like critical thought, target audience and content.

Students need specific details which will help them understand our evaluation and advice for future writing. For example, instead of saying: 'poor paragraph construction', we could explain that 'paragraph should include opinion and explanation' or 'mention reasons and explain each of them'. Another very important issue to focus on is not to forget to point out what a student has done well.

Finally, we must not forget that unlike taking a test, writing and receiving feedback is a deeply personal experience for many. When providing feedback, we should respect our students' personality and create a positive setting that will inspire students to advance, rather than discourage them from trying.

### **Efficiency and Consistency**

Best interest of both the teacher and the writer should be improving writing skills using clear and concise comments (Hendergen, 2004). Too many comments on too many aspects can confuse and overwhelm a student and consume a lot of our time and energy. Upon reading an essay, teachers should choose what they believe to be the most important areas on which a student should concentrate. Teachers should try focusing on "higher-order" issues first, eg. format and development. To help a teacher accomplish this, author suggests reading through the whole paper first without marking it at all to help get a good idea of what the primary issues are, if any.

On one hand, if teacher's comments are concentrated only on those issues, a student might think nothing else needs improvement. On the other hand, if there are very few comments students might become discouraged and feel the grade was given subjectively, and that there is no way to improve.

When discussing efficiency, focusing on content might help teachers limit the amount of time they spend on marking and commenting. Sometimes it might be a good idea not to edit the paper word-for-word and a good balance should be found since correcting errors does matter, but if a teacher fixes every error in an essay, students will feel dissatisfied with their work and lose the opportunity to identify the problems and make the corrections themselves. Consequently, teachers will feel as if they have wasted a lot of time on corrections in vain. Instead, a teacher might create a list of comments applicable to a selection of essays so that you can discuss the essay or revision more in depth with the entire class. If you find that a problem is common to many papers in the class, you do not have to take the time to explain it on every single paper. Instead, explain the problem and teach the skills to your class as a whole. Another idea might be marking errors with a question mark '?' or an "x" in the margin so the students try to figure out what needs to be revised. Finally, a teacher might carefully edit just one paragraph, and then students grade each other's paper and write comments before the teacher gives final opinion and ticks the 'proper/correct' comments and crosses out the 'wrong ones'. In the long run, this way of correction will most likely attract the attention of students since they do like correcting others and sharing their ideas. You will also profit since they will learn during the procedure as well.

### **Investing time earlier in the process**

A common problem in classrooms is not having enough time to practice. However, if you do manage to get one or two extra lessons which you can spend on practicing writing, the effort will be worthwhile. In class, clearly explain the criteria you will use when evaluating papers. Writing out your criteria ensures consistency and provides a useful point of discussion and assigning students a few essays to grade will help them recognize and later avoid some common mistakes. Also, copy a few good examples of essays and explain why the paper is successful.

Discuss the assignment: go over it literally sentence by sentence, eg. in a for-and-against essay: last paragraph should contain short summary of the topic, writer's opinion and explanation of the opinion. If your students mark each of the requested parts in colour, they will remember it later.

Also, write the essay paragraph by paragraph – give your students a few topics and ask them to write only first paragraph. Then move on to paragraph two etc. You can also use peer review for this practice.

### **Creating rubrics based on the type of assignment**

Not all types of assignments require the same type of feedback and the same grading process. However, teachers often use rubrics to assist learning, while at the same time they make assessing their students' work objective, efficient, objective, and rapid. A teacher knows what the main idea of each type of writing is so one can always create and adapt the criteria accordingly.

Rubrics permit teachers to evaluate students' performance and focus their attention to the key concepts and standards that the students must achieve. Author suggests using not more than five rubrics for each type of writing since it could prove to be too complex and overwhelming to students.

Luckily, teachers have the flexibility to reuse the same rubrics for different class assignments since all types of writing pieces includes some sort of grading vocabulary, grammar or task completion. If a teacher explains the use of rubrics beforehand, students are provided with a clear understanding of what is expected of them and they have tangible guidelines about what makes a good paragraph, or a conclusion, etc. Various studies have proven that rubrics improve students' final essays and therefore increase the students' level of learning. Being familiar with rubrics and comments pool, students can clearly understand what feedback they can expect and what each comment reflects on. Rubrics allow students to understand the used criteria and what is considered 'good' in a certain type of an essay. By using rubrics, teachers allow students practice higher-level thinking processes. Parents also highly value the use of rubrics because they permit teachers to rationalize why a certain grade was awarded to his/her child since they are easy to understand at a quick glance.

### **Model rubrics (descriptors and comments for for-and-against essay)**

National exams (matura) for seniors of secondary level schools in Croatia require students to write a 250-word 'for and against' essay at a B2 CEF level. According to ZEROJ-a (2005), a student is expected to be able to:

write clear texts on various topics

can evaluate different ideas or solutions to a problem.

express news and views effectively in writing, and relate to those of others

write letters conveying degrees of emotion and highlighting the personal significance of events and experiences and commenting on the correspondent's news and views

write clear, detailed texts on a variety of subjects related to his field of interest, synthesising and evaluating information and arguments from various sources

write clear, detailed descriptions of real or imaginary events and experiences marking the relationship between ideas in clear connected text, and following established conventions of the genre concerned.

write an essay or report that develops an argument systematically with appropriate highlighting of significant points and relevant supporting detail.

write an essay or report which develops an argument, giving reasons in support of or against a specific point of view and explaining the advantages and disadvantages of various options.

synthesise information and arguments from various sources.

At matura, essay is graded in four categories, with 0-5 points per category:

Task completion

Coherence and cohesion

Vocabulary and

Grammar

Catalogue for English language matura contains rubrics table with feedback comments for 'For and against' essay. Four categories have subdivisions and notes on what is considered important and will be graded in a specific category. Author has found this table very useful and so have the students who have been continuously expressing their satisfaction ever since the rubrics have been introduced seven years ago.

**Table 1. Rubrics at Matura, by NCVVO**

POINTS	TASK COMPLETION	COHERENCE AND COHESION	VOCABULARY	GRAMMAR
5	<ul style="list-style-type: none"> <li>All parts of the prompt fairly equally developed.</li> <li>Main ideas consistently well supported.</li> </ul>	<ul style="list-style-type: none"> <li>Clear flow of ideas.</li> <li>Effective use of paragraphing and cohesive devices.</li> </ul>	<ul style="list-style-type: none"> <li>Wide range for the task.</li> <li>Minor errors.</li> </ul>	<ul style="list-style-type: none"> <li>Wide range for the task.</li> <li>Minor errors.</li> </ul>
4	<ul style="list-style-type: none"> <li>All parts of the prompt developed but unequally.</li> <li>Main ideas generally well supported.</li> </ul>	<ul style="list-style-type: none"> <li>Generally clear flow of ideas.</li> <li>Good use of paragraphing and cohesive devices.</li> </ul>	<ul style="list-style-type: none"> <li>Very good range for the task.</li> <li>Errors do not impede easy understanding.</li> </ul>	<ul style="list-style-type: none"> <li>Good range for the task.</li> <li>Errors do not impede easy understanding.</li> </ul>
3	<ul style="list-style-type: none"> <li>One part of the prompt not developed.</li> <li>Main ideas sufficiently supported. / Not all main ideas relevant.</li> </ul>	<ul style="list-style-type: none"> <li>Flow of ideas sometimes unclear.</li> <li>Sufficient use of paragraphing or cohesive devices.</li> </ul>	<ul style="list-style-type: none"> <li>Good range for the task.</li> <li>Errors sometimes impede easy understanding.</li> </ul>	<ul style="list-style-type: none"> <li>Generally uses simple structures.</li> <li>Errors sometimes impede easy understanding.</li> </ul>
2	<ul style="list-style-type: none"> <li>Two parts of the prompt not developed. / The essay is largely irrelevant.</li> <li>Main ideas insufficiently supported.</li> <li>Errors cause difficulty in understanding in places.</li> <li>Inappropriate layout.</li> </ul>	<ul style="list-style-type: none"> <li>Flow of ideas often unclear.</li> <li>Limited use of paragraphing or cohesive devices.</li> <li>Errors cause difficulty in understanding in places.</li> </ul>	<ul style="list-style-type: none"> <li>Sufficient range for the task.</li> <li>Errors sometimes cause difficulty in understanding.</li> </ul>	<ul style="list-style-type: none"> <li>Relies on simple structures.</li> <li>Errors sometimes cause difficulty in understanding.</li> </ul>
1	<ul style="list-style-type: none"> <li>Insufficient prompt development. / The essay is irrelevant.</li> <li>No clear main idea.</li> <li>Errors frequently cause difficulty in understanding.</li> </ul>	<ul style="list-style-type: none"> <li>Flow of ideas generally difficult to follow.</li> <li>Inadequate use of paragraphing or cohesive devices.</li> <li>Errors frequently cause difficulty in understanding.</li> </ul>	<ul style="list-style-type: none"> <li>Inadequate range for the task.</li> <li>Errors frequently cause difficulty in understanding.</li> </ul>	<ul style="list-style-type: none"> <li>Range is severely restricted.</li> <li>Errors frequently cause difficulty in understanding.</li> </ul>
0	<ul style="list-style-type: none"> <li>Generally unintelligible. / Less than 50 words.</li> </ul>	<ul style="list-style-type: none"> <li>Errors generally prevent understanding.</li> </ul>	<ul style="list-style-type: none"> <li>Errors generally prevent understanding.</li> </ul>	<ul style="list-style-type: none"> <li>Errors generally prevent understanding.</li> </ul>

With years, author has adapted the table rubrics slightly and uses the table shown below in class. The table lists all the important criteria and items which are considered when grading an essay. The table is simplified so students do not need to look for specific information through all the descriptors for each mark within a graded category and can concentrate on what is graded. All students have copies of the table in their notebooks so they can consult the table freely whenever they need to.

**Table 2. Adapted Rubrics For 'For And Against' Essay**

Task completion:	1a. Development appropriate content of paragraphs: introduction, body /for and against/, conclusion; all parts equally developed 1b. Arguments support of ideas (for and against arguments in separate paragraphs, with sufficient support and explanations)
Coherence and cohesion	2a. Coherence flow of ideas, ease of reading, linking words 2.b. Cohesion paragraph structure, use of cohesive devices
Vocabulary	3a. Range A1-C2 level of used vocabulary 3b. Accuracy spelling, syntax, choice of words is appropriate for the task
Grammar	4a. Range variety and level of tenses and structures used

4b. Accuracy  
choice of structures is appropriate for the task

Author has also adapted the same rubrics for other types of written assignments: descriptions, letters and stories, which are explained in continuation of this paper.

### Adapted Rubrics

As already mentioned, students found the rubrics very useful and user-friendly and liked the suggestion of creating the same type table for grading other types of writing, eg.:

- descriptions (persons, places or events),
- letters (personal, business, recommendations, complaints) or
- narrative essays (stories).

All category terms remain the same, however, descriptions vary for different types of writings under task completion and coherence and cohesion.

### Table 3. Rubrics For Grading A Description (Person, Place, Event)

Task completion:	1a. Development has a student completed a task (introduction, two middle paragraphs, conclusion) 1b. Specific details for each type of a description: person: physical description, psychological characteristics; opinion and attitude towards a person place: outline of the city and general information, sights and recommendation (what to do and what to see) event: general information (time, venue), attitude and recommendation.
Coherence and cohesion	2a. Coherence flow of ideas, ease of reading, linking words 2.b. Cohesion paragraph structure, use of cohesive devices
Vocabulary	3a. Range A1-C2 level of used vocabulary 3b. Accuracy spelling, syntax, choice of words is appropriate for the task
Grammar	4a. Range variety and level of tenses and structures used 4b. Accuracy choice of structures is appropriate for the task

### Table 4. Rubrics For Grading Letters (Personal, Business etc.)

Task completion:	1a. Development has a student completed a task (content of paragraphs: greeting, introduction, body and formal ending, all parts equally developed) 1b. Specific details for each type of a letter: personal: reason for writing a letter, ask three questions, retell an interesting event, give excuse for ending the letter business: reason for writing a letter (recommendation, complaint, asking for information), suggest solution, give explanation or provide information.
Coherence and cohesion	2a. Coherence flow of ideas, ease of reading, linking words 2.b. Cohesion paragraph structure, use of cohesive devices
Vocabulary	3a. Range A1-C2 level of used vocabulary 3b. Accuracy spelling, syntax, choice of words is appropriate for the task

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Grammar	4a. Range variety and level of tenses and structures used 4b. Accuracy choice of structures is appropriate for the task
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**Table 5. Rubrics For Grading Stories (Narrative Essays)**

Task completion:	1a. Development has a student completed a task (content of paragraphs: setting, climax, conclusion; all parts equally developed) 1b. Arguments support of ideas (character, setting, conflict, plot and theme)
Coherence and cohesion	2a. Coherence flow of ideas, ease of reading, linking words 2b. Cohesion paragraph structure, use of cohesive devices
Vocabulary	3a. Range A1-C2 level of used vocabulary 3b. Accuracy spelling, syntax, choice of words is appropriate for the task
Grammar	4a. Range variety and level of tenses and structures used 4b. Accuracy choice of structures is appropriate for the task

## Survey

To understand better whether the students appreciate getting feedback on their writings, the author created a structured questionnaire for the purposes of the research and a survey was conducted among the students of Prva riječka hrvatska gimnazija. The subjects were 140 third and fourth-year students who were learning English for at least 10 years. Therefore, they had already had significant previous knowledge of English at an average higher B1 level. The survey was composed as a questionnaire with 10 questions in which the students had to grade their answer on a scale from 1 to 5, depending on how much it applied to them. The author herself compiled the questions, which represented a combination of AMTB survey (Gardner and MacIntyre, 1993) and authors own questions.

## Results and Analysis

A total of 140 students of PRHG completed an online survey, created with the assistance of the website Monkey Survey, consisting of 10 questions. The questions were in English language and the students had to choose between three answers: yes / no / not sure. The goal of the questions was to establish their attitude towards feedback, the use of rubrics in class, their opinion about each of the categories used and their level of overall satisfaction with feedback.

**Table 6. Lists of Questions Used in Survey**

Questions
Do you find feedback useful?
Do you like your mistakes to be corrected?
Do you like your mistakes to be marked and left for you to correct them?
Do you like rubrics?
Does it help when you know the grading criteria in advance?
Do you think you could grade yourself accurately in 'task completion' rubric when given the feedback and not the grade?
How satisfied are you with the feedback you receive for your writing tasks?
Is the feedback too general?
Feedback comments are too long.
Do you understand comments given in feedback?

Overall, students' answers showed that they do appreciate feedback, are satisfied with the comments they receive and find feedback very useful and they like knowing the criteria in advance (95%). Majority believes they could even grade

themselves accurately in 'task completion' category (63%) and that it helps them improve (69%). On average, they do not find feedback too general (49%) nor too long (66%).

Table 7. Survey Results

Questions	Yes %	No %	Not sure
Do you find feedback useful?	82	11	7
Do you like your mistakes to be corrected?	52	18	30
Do you like your mistakes to be marked and left for you to correct them?	51	36	13
Do you like rubrics?	88	11	1
Does it help when you know the grading criteria in advance?	95	5	0
Do you think you could grade yourself accurately in 'task completion' rubric when given the feedback and not the grade?	63	22	15
How satisfied are you with the feedback you receive for your writing tasks?	75	17	8
Is the feedback too general?	28	49	23
Feedback comments are too long.	22	66	12
Do you think feedback helps you improve?	69	19	12

## Conclusion

Unquestionably, evaluating and providing useful feedback on student writing will always be a complex procedure. Grading papers is much more than just reducing the quality of a paper to a 'number', especially if we want to help our students become better thinkers and writers. However, if a teacher thinks the process through and finds a useful method which will help him grade papers more objectively, clearly and quickly, the whole process can become less complicated and time-consuming.

Author suggests rubrics with clear explanations and instructions together with familiarizing students with the criteria for assessing their work. Use of rubrics proved successful in class, which is corroborated by the student survey. The strategies used in class developed a positive attitude towards feedback and stimulated the students' participation in class, which in turn raised their self-confidence and motivation for writing.

The research may serve as the basis for future studies of the relation between feedback and actual final achievement in class and impact on the final grade the students achieve in class. Rubrics and feedback have momentary influence on students, so it should be researched how it influences their writing skills in long-term. Finally, the paper shows that teachers themselves need to find a method which suits their own and their students' needs best to achieve the best possible results.

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## Education Towards Differences: Preventing Gender and Sex Discriminations in Subjects in the Age of Development

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### Abstract

The present contribution addresses the issue of preventing and combating gender and sex discrimination in subjects in the age of development and, specifically, children. In our society, characterized by an ideological sexist, genderist and heterocentric matrix, identities that cannot be placed within the socially constructed and accepted stereotypes of *normality* are – often – victims of abuses and they are denied equal treatment. In order to raise awareness of the need to respect personal and social differences, more and more initiatives are being created aimed at promoting a non-discriminatory attitude towards gay, lesbian, bisexual, transgender, non-conforming and queer people. Among such initiatives, the construction and narration of stories for children explaining the concepts inherent in the culture of differences, are a valid tool for fostering a climate and a cultural structure free of gender and sex stigmatization and instead aiming at enhancing “difference”, considering it a positive possibility just like socially-accepted states. The essay, after a brief description of the characteristics of language, attitudes and relationship with reality in subjects in the age of development, examines the methodological and ethical approach to be used with children, so as to allow them to understand the possibility of different forms of identity and otherness. Preventing and countering prejudices arising from beliefs and social models that help in reproducing every day, in civil society, discriminations, harassment, and unequal treatment against many people, represents a *mission* to create and reproduce an inclusive and democratic society.

**Keywords:** gender / sex discrimination, minors, narration, fairytales, prevention.

### Introduction

Families, schools, and the media are the social and/or institutional actors involved in the *socialization* process, *i.e.*, the cognitive, social, relational, and inter-ethnic process through which the child begins to structurally internalize beliefs, rules, values, as well as the codes of perception and representations of social reality.

Such institutions should thus be the agents capable of responding to the societal structures' needs for change, in their *mission* to promote the learning of shared cultural models. Their ultimate aim is to interpret, understand, and support the ongoing historical, cultural, political, economic, and anthropological changes affecting societies (Dubar, 2004).

Societies are aggregates that must be understood in their *processuality*. For this reason, they should not be considered as static and rigid sets, but rather as *synergic* elements endlessly addressing the challenges of change as an intrinsic element for their survival (Luhmann, 2014).

In a perspective encompassing and supporting *changes*, the various forms of personal, social, and cultural identity must be considered and recognized as fluid, transversal, and multidimensional entities. Their definition, recognition, and affirmation are a fertile ground for the construction of a society that is inclusive, equal, and free from those prejudicial structures often used to interpret and represent forms of *normalities* perceived as distant and/or different from the socially approved ones (Mangone, Masullo, 2015).

To bolster a culture that posits *relativism*, appreciation of *differences*, and ideological non-discriminatory ideals as well as supporting equal opportunities, it is thus essential to promote – in civil society as in every other social context – initiatives designed to prevent and counteract abuse. The latter comes in many forms and is aimed at those differences which, even today, are subject to social stigma due to the cultural processes allowing for the association of negative labels to models not conforming to the collectively approved ones (Masullo, 2015).

The need to promote actions aimed at boosting social inclusion is a challenge and an ethical duty that must embrace the various institutional actors engaged in education.

The development and implementation of processes, strategies, actions, and relationships that favour this inclusion should be pursued in various and diverse ways depending on a number of variables. Among these, we find the cultural specificities of the various contexts, the social factors there existing, and the target they are destined for.

Instilling respect for differences is an essential goal, especially for subjects whose personality is under formation – namely, subjects in the age of development. Given their characteristically flexible and adaptable language, children can easily learn the ideological, symbolic, and value devices designed to support equal opportunities. This enables them to perceive *differences* as an intrinsic resource and, furthermore, to mature a positive attitude toward situations differing from socially-accepted *normality* (Mari, 2013, Roverselli, 2015).

The present contribution<sup>1</sup> describes some tools destined to children for preventing and combating discrimination<sup>2</sup>. More in detail, we will address those narrative tools (or fairy-tales) aimed at combating the abuses, harassments, and violence related to *gender identities* and *sexual orientations* that still represent the source of social exclusion and non-equal treatment towards *gay, lesbian, bisexual, nonconforming, transsexual and transgender people*<sup>3</sup>.

Before proceeding with the description, we will provide a brief overview of the characteristics of children's language, to better understand the features and aims of the initiatives implemented.

#### **The language of subjects in the age of development<sup>4</sup> and its peculiarities**

Children's minds and attitude towards life is characterized by multiplicity, fluidity, ductility, and non-conventionality. Indeed, children, in their experience and psycho-cognitive development, are yet to internalize the socially endorsed stereotypes, patterns, and models at play in their environment (cultural references) (Nesdale, 2002).

The features listed above, along with their curiosity and sense of discovery, allow children to accept and understand social changes – unlike adults – in an open and flexible way, quite detached from prejudice (Aboud, Doyle, 1996, Troyna, Hatcher R. 1993).

Mental versatility, coupled with a lack in the rigid internalization of culturally-shared social conventions and models, allow children to perceive *differences* as a resource. In addition, it can promote an attitude free from prejudices against what they perceive or represent as unlike themselves.

In this perspective, considering fluidity and transversality, the initiatives and interventions aimed at preventing and combating discrimination – if they are conceived and implemented based on the characteristics of the child's very world – can advance the interiorization of positive values, beliefs, and representations concerning *otherness* (Masullo, 2016).

To encourage this process, it is essential to avoid creating taboos on the issues to be addressed. Very often, the projection of adults' prejudices on certain arguments can be a strong device for creating and/or reinforcing the child's "reserve" against certain social realities or forms of *normality* (Nesdale, 2002).

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<sup>1</sup> This contribution results from a joint effort by the authors. More specifically and for authorship reasons, the introduction and sections 4, 4.1, 4.2, and 4.3 were written by Mariano Gianoloa, while sections 1 and 3 were written by Giuseppe Masullo. The authors co-wrote section 2 and the conclusions.

<sup>2</sup> Proposed as an educational tool for families and schools.

<sup>3</sup> And also towards those people who refuse to comply with rigid *gender and sexual stereotypes*, feeling that these static definitions and/or categorizations are ill-suited to their multidimensional identity, way of being and self-identification.

<sup>4</sup> The term *subjects in the age of development* refers to children and adolescents. Among them, we will refer only to children, as the narrative tools examined in the present paper are thought and realized for them, peculiarities of their language and their experiences.

It may therefore happen that in some contexts, such as family or school, without conscious intent, some issues – such as love between people of the same sex, gender differences, homosexual parenting or non-conformities to rigid gender models – are not subjects of conversation<sup>1</sup> with the children because it is assumed that they would not understand or, wrongly, would even be negatively affected. In particular, issues related to *gender identities* and *sexual orientation* still represent a source of taboo and a generalized remnant of that untouchability that conceals a profoundly prejudicial attitude (Masullo, Iovine, 2016).

According to current researches, there is no direct link between addressing *gender and sexual orientation* issues and influences on children's personal identity. Moreover, sexuality and gender identity in children are still "under construction" and, therefore, also linked to their future life experience. These two core points considered, some very important aspects (*ibidem*) have to be specified. First, that homosexuality is not a pathology (Rinaldi, 2012) and that homosexual parents (just like heterosexual ones) are able to raise well-balance children and promote their healthy psycho-physical development (Parisi, 2017, Bastianoni, Baiamonte, 2015). Second, that, with respect to transgenderisms and/or gender non-conformities, science is de-pathologizing the *gender disorder* status (Drescher, 2014).

As a result, initiatives aimed at preventing discrimination can be a useful tool to form and support tomorrow's citizens so that they are better aware of the fact that *differences* are an inherent and paramount aspect of humanity, to prevent stigmatization and prejudicial attitudes towards the *other*.

### **The methodological-conceptual approach adopted and its ethical implications**

Thinking, writing, and designing children fairy-tales is no simple task. First of all, because of the need to find that "common world", that conceptual, symbolic and thought-related space that will create a synergy between the perceptive world of the child and that of the adult (Aldi, 2014).

Different languages, categories, meanings, perceptions, and interpretations must find the right coordinates so that what is transmitted by the adult is concretely understandable and usable by the child.

To that end, it is necessary to define a structure of meanings that can be easily codified and acquired by the child, thus favouring the translation of the concepts transmitted by the adult into positive messages for subjects like children, who are growing and confronting/discovering social reality (*ibidem*).

To the difficulties inherent in this process, one should add the fact that certain topics addressed in the fairy-tales can often be perceived as leagues apart from (if not altogether alien to) the reality experienced by the child. All this should prompt the professionals of the interventions aimed at preventing and contrasting discriminations to accurately create (and question) tools targeted at delivering positive messages (Bernardi, 2009).

The first step, in order to create the synergy described above, is to use a language with easy-to-understand communicative codes for children. This understanding is not related merely to formal aspects (e.g., linguistic ones, such as the use of words, expressions, and phrases typically used by children) but also to the nature of the children's perceptive filter and the way they relate with and/or interpret reality (Ferrario 2000). For example, addressing the issue of non-discrimination with regard to gender stereotypes, entails first explaining to the child what society thinks and considers as typically male or female. This crucial step should preferably be taken before deconstructing the rigidly stereotypical conceptions favouring and reproducing discrimination against those who do not conform to the social rules determining how men and women should identify themselves, act, and talk. Obviously, this discourse must be calibrated according to a series of variables depending on conditions such as age, cultural environment, space-time, and/or other aspects of the child's experience. For these reasons, it is not possible to provide an all-valid rule for any circumstances. The way to address specific issues in fairy-tales always depends on specific conditions and situations.

The translation of concepts belonging to the adult world into meanings that can be understood by the child should also be made considering the latter's priorities, needs, and supposed interpretations. Indeed, adults too often convey their prejudice to children by unconsciously projecting it onto the addressed issues, despite the lack of specific prejudice on the subject by the children themselves (Aboud, Doyle, 1996). For example, parents intending to explain that other forms of normality are as legitimate as traditional ones (e.g., same-sex families) may incorrectly say that there are "normal families" (such as those formed by a mother and a father) and "other families" (such as those formed by two mothers or two fathers). The

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<sup>1</sup> Or they are treated improperly (for example, with discriminatory nuances).

error lies in associating the concept of normality to traditional families alone, which in itself implies a discriminatory attitude towards non-traditional families. For this reason, during the explanation, the characteristic of normality should be attributed to all types of family, while emphasizing their inherent difference. Additionally, it should be stressed that, although families can be different, they all provide a healthy environment for the child. It would be a positive and constructive step to re-emphasize the equality of the concept of family, regardless of actual differences. The language of children, being different from that of adults, may lead them to focus their attention on differences other than those stressed by the adult. For example, a child may consider "strange" an adult's fear of the dark, rather than her feeling to belong to a different gender than the one she was attributed at birth<sup>1</sup>.

As pointed out above, in a perspective aimed at promoting an inclusive society it is unadvisable to create taboos. Children are active subjects that need to be prepared and accompanied in discovering society, the world and, in general, the social reality with its various shades and changes. Many issues believed by adults not to be understandable by children can instead be addressed and proposed to their reflection (*ibidem*). Death, fear, suffering, organ donation, war, parental separation, homosexuality, transgenderism, sexuality, gender differences, social, religious and ethnic conditions, disability, are all issues that should be addressed in order to allow their understanding – even if, for someone in the age of development, they are not "nice" subjects. Creating a hyper-protective cocoon around children can conversely cause traumas whenever they discover unknown realities to which they cannot attribute a personal sense.

How complex, unknown or distant subjects are addressed is of paramount importance. The ways of creating a structure of meanings and the language used are what lead to traumatic situations for the child, rather than the arguments themselves (though painful or not belonging to his/her daily experience). In this sense, as noted above, it is important not only to use appropriate terms and words, but also to adopt a communicative substance that accompanies the child in his/her understanding those complex, difficult or sad issues (Ferrario 2000). For example, adults explaining the issue of death to children should not merely use words such as "going to heaven", "falling asleep", "traveling to another world", but rather explain that all life-forms (animals, plants, people) as well as unanimated objects (planets, satellites, stars, etc.) experience a natural end.

Using a method that prepares children for learning certain topics can decrease the negative impact, discomforts, and frustrations that they may experience in discovering these realities without a prior explanation from an adult.

Very often, taboos and prejudices are unknowingly reproduced by adults in their explanation to the child. This situation may also arise among experts and professional figures working in the field of non-discrimination: no one is flawless. The important thing, in this case, is to create a generic narrative structure that is open and that places the individual, collective, cultural, or any other form of difference, as legitimate and inherent possibilities of identity.

The aforementioned requirements may, together with school and familial interventions, favour a value structure that allows the child to perceive the different forms of normality within a synoptic framework including various alternatives where no one is to be considered better than the other. This, in turn, with the purpose of favouring an attitude as free as possible from prejudice and/or excessive stereotypical prescriptions aimed at:

Considering differences as an opportunity and valuing them;

Preventing stigma, violence and abuse;

Considering societies and, in general, the world as arrangements whose peculiarity is represented by the differences in the various forms of identity and existence, each with its own dimensions and nuances;

Creating and promoting people-oriented awareness-raising opportunities;

Not considering relativism and differences according to scale of importance and hierarchies affecting people, cultures, languages.

### **Narration as an anti-discrimination tool**

Among the instruments for preventing and contrasting discrimination, narrative is not to be underestimated in the didactic, educational and experiential fields (Bocci, 2013).

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<sup>1</sup> As for *transgender* people.

Narration is the conceptual and symbolic device through which the transmission and learning of information and positive values can take place. This thanks to the following peculiarities offered by this device:

Empathy: advances the understanding of other realities and the promotion of cognitive behaviours contrasting the prejudices caused by a perceived distance from certain persons, phenomena or social objects;

Metaphor: allows to translate complex concepts, far distant from personal experience, in easily understandable and codifiable images and meanings;

Fantasy: allows the above-mentioned translation through the creation of "appetibile" arrangements, facilitating the learning processes of certain concepts in order to structure perceptions, visions, attitudes, and meanings in a particular direction (in our case, in the direction of an inclusive culture) (Compagnaro, Dallari, 2013).

Narration thus becomes an educational tool designed to modify or counteract prejudices, ideological behaviors, discriminatory attitudes, and the general perception of human and social *differences* as something negative.

"Narrating" does not mean just providing information; the narration process is complex and articulated. There are a number of considerations to make in order to ensure that the text (not only in its lexical elements but also in its symbolic images) is understandable, codifiable, interpretable by the user.

One of the key elements for an effective narrative is adapting its language to that of the recipients (Dallari, 2013). The contents of the communication, even if they dist from the intended recipients' personal experience, are to be accessible, comprehensible, and codifiable. This facilitates several processes related to the learning and transmission of information aimed at interiorizing positive messages, promoting new awareness, prompting the formation of non-discriminatory attitudes, and/or structuring non-prejudicial perceptions towards specific social realities.

The terminology used is often less important than the creation of a structure of meaning expressing, in a clear, linear, and consistent way, the values that are to be communicated, transmitted, and disseminated.

While repetitions should be avoided, "intensifiers" should not be underestimated. It is possible to resume a certain concept several times to allow for its internalization. Intensifiers should not necessarily be the same as the original stimulus, and they sometimes can be structured differently. For example, a concept expressed in words can then be resumed and repeated through evocative images or ones that are presumed to be meaningful for the recipient.

For subjects in the age of development, narration is more complex in its structuring and implementation. For this reason, some crucial variables are to be accurately considered and weighted: the children's language, their discovery of social reality, the distance of their everyday experience from certain themes, as well as personal, social, and cultural factors (Ruiz, Campos, Hoster, 2013).

Following the above reflections, the following section will describe some fairy-tales intended for children aimed at preventing, counteracting and combating discriminations related to *gender identities* and *sexual orientation*. We will give particular attention to three elements:

The general objectives of the initiatives;

The conceptual translations, understood as those lexical instruments, in the form of metaphorical and non-metaphorical constructs, structuring the narration in order to transmit and/or reinforce anti-discrimination values promoting an inclusive culture;

The characters and illustrations used, *i.e.*, the images, symbolic elements, and illustrative frameworks aimed at reinforcing or communicating specific concepts. The characters can take various forms: real (people, animals, nature, planets, etc) or fantastic (goblins, being from other dimensions or hybridization between real and fantastic figures).

### **Children's fairy-tales to prevent gender and sexual stigma**

The purpose of the following section is to describe some of the initiatives aimed at preventing and combating abuse and stigma against *gender* and *sexual orientation*.

Gay, lesbian, bisexual, transgender, transsexual, gendernonconforming, and queer people are victims of discrimination caused by a series of stereotyped and socially shared beliefs that create, favour, and/or increase prejudices, negative

attitudes, and fears about *differences*. The latter are perceived as deviation from the social parameters delineating *normality*.

In order to prevent the continuation and reproduction of such discriminations, some initiatives focused on narrative tools aimed at children, who will be the actors accountable for the construction of future societal equilibria.

The main purpose is to counteract those ideological ideals entailing excessive prescriptivity of gender stereotypes related to *gender* and *sexual orientation*. In such schemes, *homonegativity* and *transnegativity* hinder the achievement of equal opportunities for many people.

Destroying stereotypes and discriminating concepts, starting with fairy-tales, means enhancing the mental plasticity of children, supplying them with concepts stemming from positive values.

In the following sections, we will describe the narrative tools motivated by the aforementioned goals. We point out that that the fairy-tales here mentioned are e-books that can be downloaded free of charge to allow for their wide distribution.

### Gender nonconformity, "T" identity and same-sex families

Avoid addressing certain issues with children can often be a mistake. Furthermore, this may cause them fewer opportunities for being acquainted – and compare themselves – with reality in its full complexity, supporting their conscious self-determination. There is therefore no reason not to deal with the issues of *transgenderism* and *gender nonconformities*. Reticence is often linked to two types of prejudice by adults. The first concerns their attitude to identities that do not conform to socially shared gender models; the second refers to their belief that children could not possibly understand the issues addressed. But all things are new to children: they are just discovering wars, science, sports and pollution. Explaining to them what it means to be a transgender person is a legitimate educational task.

The fairy-tale *Trans Cuore. L'amore attraversa i confini (Trans Heart. Love Crosses Boundaries)* (Gianola, 2016a) is born with the first and foremost objective of explaining to children what it means to identify oneself with a different gender than the one assigned at birth on the basis of biological sex. The knowledge of this reality also helps in preventing, counteracting, and combating discriminations against "T" persons.

Being aware of how a *transgender* person can experience discrimination, emotional, social, and relational discomfort, as well as frustration, is one of the conceptual devices promoting an empathic approach, an inclusive attitude, and a positive perception of *differences*.

Due to its educational purposes, the e-book is highly descriptive. It does not recount complex adventures, rather aiming at transmitting some key concepts and reflections on "T" people.

To achieve these goals, two key characters of the story are introduced – *Heart* and *Brain* – to allow the child to understand the identity condition experienced by transgender people: the psychological feeling to belong to a gender differing from the one prescriptively assigned at birth, to go beyond the definitions imposed by society and to cross rigid ideological barriers.

In addition, the tale draws also attention to the family and to the concepts of adoption, monoparental families, and same-sex families. Such reflections are addressed with an inclusive perspective, with the aim of supporting and promoting equal opportunities.

The text also includes the *Little Manual Against Discrimination*, that resumes in scientific terms some concepts explained in the fairy-tale. It explains the concepts of *stereotype*, *prejudice*, *violence*, and *discrimination*, and it also helps children in supporting themselves and/or their schoolmates and peers whenever they become victims of *bullying*.

Table 2. Explaining transgenderism and discrimination against "T" people

AIMS	CONCEPTUAL TRANSLATIONS	FIGURES EMPLOYED
Preventing and combating discrimination against "T" people	Explaining to the child that there are no grounds for discriminating against people who do not want to comply with <i>gender stereotypes</i>	Fantasy characters (such as <i>Heart</i> and <i>Brain</i> ) living in the body of the tale's protagonist

Explaining to the child what it means to be a <i>transgender</i> person	Using the word " <i>trans</i> " without any kind of taboo to allow the understanding of its meaning and, moreover, the existence of people who identify themselves by that word	Fantasy characters and stereotypical objects
Allowing the child to understand the stress, discomfort, and frustration caused and by <i>gender stigma</i>	Fostering an understanding of the distress emotional dynamics characterizing the lives of discriminated people	Fantasy characters
Enhancing the child's awareness of – and respect for – <i>differences</i> and <i>otherness</i>	Transmitting, through the narrative structure, the importance and beauty of equality and of the various forms of difference	Symbolic characters: butterflies with names relating to positive social values and concepts belonging to the textual structure
Promoting respect for monoparental families and/or for families with a <i>transgender</i> parent	Highlighting how, regardless of its form, the family is the symbolic core embracing its members with respect and love	Characters and concepts belonging to the textual structure
Explaining the concepts of <i>discrimination</i> , <i>stereotype</i> , <i>prejudice</i> , and <i>violence</i>	Describing the meaning of these terms, often through examples that directly refer to situations understandable for the child	Characters and concepts belonging to the textual structure
Explaining how to behave when a schoolmate or friend becomes a victim of <i>bullying</i>	Coaching the child on the behaviour to adopt when a friend or schoolmate is offended or treated unequally by others. Helping the child becoming a "voice" to explain to his peers the meaning of social inclusion	Concepts belonging to the tale's structure

### Love, homosexuality and homonegative ideologies

It is important to talk to – and with – children about the feelings and relationships that unite people, either in general (friendship) or in a more specific sense (love).

The most popular and well-known fairy-tales talk of love between a *man* (male) and a *woman* (female). Often, they depict the man assuming and performing a protective function against the woman, who is weaker party.

In a perspective aiming at equality, it is necessary to explain to children that love is a universal feeling, hence independent from social constraints and models. For example, a princess might fall in love with her gardener instead of a prince, or she might love another woman.

*Sole ama Sole (Sun loves Sun)* (Gianola, 2016b) aims at achieving these goals: explaining to the child that people are (or should be) free to love whomever they want, beyond the social structures and conventions undermining personal freedom.

The tale aims at preventing and countering discrimination against *homosexuals* and their feelings. It therefore addresses love between same-sex people as natural and normal and, above all, it conveys what science says on the issue – namely that *homosexuality* is not a disease.

The approach used in this text is the metaphorical translation; in order to better convey the above-mentioned meanings and make them understandable for children, the author used natural phenomena, planets, stars, and water.

Using these characters allows the author to broaden the horizons on the concepts conveyed by promoting the idea of the universality of feelings, which are independent of social status and other socially desired conditions.

In addition, the story highlights two elements that reflect many current societies and that should be addressed with children – according to their language – to support their acquaintance with the surrounding reality. The first concerns the existence, in many social settings, of a discriminatory ideological climate towards *homosexual* people, which often leads many of them to experience frustrations and discomforts from an emotional and relational point of view. The second emphasizes that the

dynamics of life do not always end happily and, unfortunately, sometimes certain goals cannot be achieved. This latter aspect is highlighted when Yellow Sun's father fails to understand his son's love for Red Sun (protagonist and co-protagonist, respectively) and banish him from the kingdom.

Table 3. Normality and naturalness of same-sex love relationships

AIMS	CONCEPTUAL TRANSLATIONS	FIGURES EMPLOYED
Enhancing awareness of the universality of feelings as a dimension free from social rules	Explaining to the child that it is not a mistake to have feelings for someone, no matter who he/she is	Fantasy characters: Natural Phenomena (e.g., Universe, Suns and Moons)
Preventing and combating discriminatory attitudes towards homosexuality and prejudice against homosexual persons	Encouraging the child to understand that homosexuality is natural and it is not a disease. Highlighting the normality of affective and sexual orientations towards a person of the same sex	Fantasy characters: Natural Phenomena (e.g., Universe, Suns and Moons)
Promoting the idea of social support and mobilization aimed at combating inequality	Teaching the values of solidarity and cooperation in favour of some missions. The support, mobilization, and assistance of others in order to promote an inclusive society is a key resource for promoting equal opportunities	Fantasy characters: Natural Phenomena (e.g., Universe, Suns and Moons). In particular, the characters of Rainbow and Moon of Hope.
Rispetto dei sentimenti propri e di quelli altrui Respect for their own feelings and those of others	Encouraging the child to understand how important it is to freely choose who to love, beyond the social impositions that may result from it and/or their desirability and expectations existing in a particular culture	Fantasy characters: Natural Phenomena (e.g., Universe, Suns and Moons)
Explaining the existence of discrimination situations and making the and make the child aware of them	Encouraging the understanding of the existence of some social rules and cultural beliefs, often automatically applied, that discriminate against certain forms of love and/or identity that do not fall within the socially approved framework	Fantasy characters: Natural Phenomena (e.g., Universe, Suns and Moons). The Schools of the Universe as element of preservation and diffusion of traditional values excluding other forms of normality
Explaining that, despite dialogue and mediation, the dynamics of life do not always follow the desired path	Teaching that the goal of solidarity and the promotion of a culture that values differences are not sustained by everyone. Highlighting the existence of individuals that remain attached to discriminatory attitudes that they constantly reproduce.	Fantasy characters: Light, Yellow Sun's Dad.

### Gender nonconformity, variety, transversality and deconstruction of gender stereotypes

A culture that aims to promote social inclusion should not be based on rigid impositions and/or constraints on the expression of personal identity. It should represent an ideological position respecting those who conform to socially shared stereotypes as well as those who, totally or partially, do not, recognizing and protecting them both. It should promote freedom of expressions, identities, and self-presentations; it should favour and include the *various forms* of normality in order to recognize and defend them and to guarantee equal treatment and representation. This perspective, with respect to the issue of *gender*, object of the following discussion, wants to prevent discrimination against those whose gender expression does not rigidly conform to stereotypes and models defining the drastic *male/female* binary pattern.

The aim of *Pioschino e i folletti un po' maschio e un po' femmina* (*Pioschino and the Pixies a bit male and a bit female*) (Gianola, 2016c) is to promote a pro-differences culture that supports the free expression of one's self-presentation, lifestyle, and/or identity without adhering to stereotypical homologation dictated by binary patterns that highlight the existence of gender manifestations as extreme and opposite (extreme *masculinity* or *femininity*).

Duccio, a child from a world that envisages only a full homologation to rigid stereotypes of *masculine* and *feminine*, meets Pioschino, a pixie of the transversality of gender expressions. It is a metaphor for promoting a culture of *differences* free from prejudice towards those who do not intend to conform to models perceived as rigidly prescriptive.

The basic assumption guiding the narrative structure is to assert and recognize first and foremost the existence of variety and transversality, as well as of identities differing from the conventionally intended ones, and to promote awareness of the existing balance between Nature and human beings.

In Pioschino's world, unlike in Duccio's, there is no clear *male/female* distinction, so that the inhabitants do not even know these terms. This idea does not aim at denying the dichotomy, but rather at opposing its rigid application and *normativization*, to favour respect and recognition for those people who do not intend to conform to binary *gender* choices. The objective is to assert the existence and the admissibility of the various possible forms of self-expression, both stereotypical and non-stereotypical, provided that the right to freely manifest and express one's identity is respected in order to promote self-determination. Further objective is to oppose the idea of the anthropocentric primacy of existence by promoting perspectives and life-style approaches in balance with nature and identity variety.

Table 4. Gender nonconformity, gender variances, free self-expression and self-manifestation

AIMS	CONCEPTUAL TRANSLATIONS	FIGURES EMPLOYED
Supporting free self-expression and play	Considering play and self-expression through nuances that see male and female not as a problem, but as an identity aspect to be considered equally and with the same dignity as others	Fantasy elements: Pixies of the transversality of gender expressions
Preventing and combating discrimination against the transversality of gender roles and/or gender non-compliance	Encouraging the understanding that gender non-conformities are not negative, being just one of the various forms of identity that human beings can assume. Considering variety of self-expression as an asset and not as a limit. Raising awareness of the importance of equal opportunities and equality, respecting differences	Fantasy elements: Pixies of the transversality of gender expressions
Promoting the understanding of other ways of living and conceiving human existence	Encouraging the understanding of other possible forms of identity and, in general, of otherness. Highlighting the existence of other worlds, logics, and social dynamics	Fantasy elements: Pixies of the transversality of gender expressions and other worlds characterized by other operational arrangements. Human Characters: Duccio, a child from planet Earth
Raising awareness of the human-nature connection	Enhancing and promoting the awareness of human existence in interconnection with nature. Synergy between the various existing forms.	Fantasy elements: Pixies of the transversality of gender expressions and worlds where nature is an integral part of the relationship between life forms
Raising awareness of the synergy and inclusion of the various forms of identity, despite their differences	Highlighting the connection and synergy between the diverse possible identities and the interrelation between different worlds and realities	Fantasy elements: Pixies of the transversality of gender expressions and worlds where nature is an integral part of the relationship between life forms Human Characters: Duccio, a child from planet Earth

Some examples of meanings transmitted through the images

In order to provide a more complete overview of the fairy-tales analysed in the present contribution, we will draw attention to some of the illustrations in the texts described above, showing how they can strengthen the content of the text or, sometimes, even autonomously express meanings understandable by the child without the support of words.

The author's decision of personally drawing these images is motivated by his choice of favouring consistency between the texts and the values which he wanted to emphasize. In addition, he wished to focus the readers' attention on certain symbolic elements through simple, linear images, easily understandable and codifiable by the child.

Metaphors have been used mainly in the textual part, leaving the images easy to codify, so that the child can learn and/or reinforce the content and topics discussed.

Figure 1. Cover of *Sole ama Sole* (Sun Loves Sun), depicting Rainbow accompanying Yellow Sun to his partner Red Sun. Gianola, M. (2016), *Sole ama Sole*, "Gender Identity Culture" Foundation, Naples.



Figure 2. Yellow Sun is imprisoned to prevent him from seeing his partner Red Sun. He then escapes thanks to Rainbow's help. Gianola, M. (2016), *Sole ama Sole*, "Gender Identity Culture" Foundation, Naples.



Figure 3. Yellow Sun finds he is falling in love with Red Sun. Gianola, M. (2016), *Sole ama Sole*, "Gender Identity Culture" Foundation, Naples.



Figure 4. Cover of *Pioschino e i Folletti un po' maschi e un po' femmine*, where Duccio, a child from Earth, discovers the existence of different realities where the equilibrium between nature and the various forms of existence is paramount. Gianola, M. (2016), *Pioschino e i Folletti un po' maschi e un po' femmine*, "Gender Identity Culture" Foundation, Naples.



Figure 5. A pixie whose identity expressions go beyond *gender* dichotomies and whose identity, in his world, is not subject to social *stigma*. In his identity, this pixie includes different nuances and/or dimensions belonging to both the stereotypes defining *male* and *female*, considering it as an added value. Gianola, M. (2016), *Pioschino e i Folletti un po' maschi e un po' femmine*, "Gender Identity Culture" Foundation, Naples.



## Conclusions

As discussed above, fairy-tales can be an effective instrument in favouring a non-discriminatory attitude and a positive perception of other people's differences, without prejudices and unfounded stereotyped opinions.

Being mere tools, it often happens that they are not enough in themselves to implement actions able to fully modify beliefs, opinions, and/or actions based on misconceptions about the forms of socially stigmatized *difference*.

Nevertheless, fairy-tales as a conceptual, narrative, and symbolic tool can be a crucial stimulus to counter discriminatory attitudes, particularly if supported by parallel actions, relationships, or processes in which certain issues can be addressed with an inclusive approach.

Reading a fairy tale with a parent, making it part of a lesson, discussing certain issues within families, are but few of those processes supporting, together with narrative tools, those actions and behaviours aimed at promoting a culture that champions differences and equal opportunities.

Social models cannot be changed suddenly, and yet they can progressively evolve through a series of paths of various nature aimed at promoting equality and solidarity. For this reason, what may appear to some as small actions in can actually implicitly be agents of change, especially one for the better.

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## Evaluation of a Multicultural Approach to Teaching Entrepreneurship: Selected Research Results Within the Framework of the ECMT+ International Project

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### Abstract

One of the most important challenges in the field of higher education is to educate students about entrepreneurial attitudes and professional competences necessary for working in a multicultural environment in collaboration with a real business environment. Streamlining this process is one of the aims of the Erasmus+ Strategic Partnership Project titled Entrepreneurship and Communication in Multicultural Teams (ECMT+). The cognitive purpose of this paper is to explore and evaluate students' reflections on entrepreneurship teaching in an international and multicultural team. The applied research methods include a pilot quantitative survey using questionnaires and a qualitative research method of a reflective essay among students participating in the two-week Intensive Programme that took place in March 2017 at Karelia University in Finland. Respondents were chosen purposeful and included 48 participants from 14 countries worldwide. They represented seven high education institutions from seven different European countries. The study has been conducted anonymously via the Claroline Connect platform. The purpose of the empirical research was to diagnose the opinions of program participants, among others about new methods of business education they have experienced, diversity of multicultural context and relationships with other team members, their entrepreneurial attitude, and ability to solve problems at designing business solutions in the multicultural team.. Preliminary results appear to present interesting data and may provide a starting point for an in-depth empirical research associated with entrepreneurship in multicultural teams. The study reveals positive effects of applied methods of business education, significant involvement of participants in achieving the goal and gaining new knowledge within the analyzed area.

**Keywords:** ECMT+, cultural diversity, entrepreneurship education, multicultural approach

### Introduction

Cultural diversity is an inherent feature of the European Union, which promotes and supports actions that incorporate the following motto: "United in Diversity." Numerous intercultural educational programs are co-financed from EU sources, and among the best known are the following: „Comenius” and „Erasmus+” (formal education), „Leonardo da Vinci” (vocational education) under the „Lifelong Learning Programme” and the „Youth in Action” (non-formal education). It is also worth emphasizing that each of these programmes creates space for informal (casual) learning, that is, learning in free time through contact with peers of different nationalities and cultures. Participation in the aforementioned programmes creates diversified opportunities for intercultural education. The area and quality of the learning process depend not only on the pedagogical approach and the experience represented by the supporters of the programme participants at all stages of the project but, above all, on the involvement and internal motivation of the participants themselves.

As Europe needs more entrepreneurs creating jobs, it's necessary to support this type of education in all EU countries. The main objective of the European Commission is to promote entrepreneurship education and stress its importance at all levels from primary school to university and beyond. The Entrepreneurship 2020 Action Plan (<http://ec.europa.eu>, 2017) is the Commission's answer to challenges brought by the gravest economic crisis in the last years. It is a blueprint for action to unleash Europe's entrepreneurial potential, remove existing obstacles and revolutionize the culture of entrepreneurship in the EU. It aims to ease the creation of new businesses and to create a much more supportive environment for existing entrepreneurs to thrive and grow.

In this sense intercultural learning in the process of education is not only helpful at present, but it has become a requirement. A wide range of programs in intercultural education seems to be an adequate response to social demands of migration processes – in particular the growing emigration and refugee problem – and the growing mobility of students and workers.

In order to increase both the attractiveness and effectiveness of the multicultural approach to the education process, a variety of methods and materials can be used. They are developed by numerous project teams within the EU programs. In didactic work, it is also necessary to revise our own practice in a multicultural approach and address the following questions: What is my concept of culture and cross-cultural differences? What issues are necessary in intercultural teaching? What goals do I want to achieve?

Contemporary academic environment is characterized by daily contacts with cultural diversity. Increasing student mobility, for example through the Erasmus+ programme, results in more frequent interactions between the representatives of different nationalities and cultures. Intercultural competence and the ability to utilize their potential have become an important advantage and asset in future professional work.

One of the most important challenges in the field of higher education is to educate students about entrepreneurial attitudes and professional competences necessary for working in a multicultural environment in collaboration with a real business environment. Streamlining this process is one of the aims of the Erasmus+ Strategic Partnership Project titled Entrepreneurship and Communication in Multicultural Teams (ECMT+) 2016-2019<sup>1</sup>. In ECMT+ seven high education institutions from seven different European countries work together for developing students' entrepreneurial mindset, practices and multicultural communication skills. The partners of the consortium are: Karelia University of Applied Sciences (Finland), University of the West of Scotland (United Kingdom), Technical University of Applied Sciences Wildau (Germany), Silesian University in Opava School of Business Administration in Karvina (Czech Republic), Katholieke Hogeschool VIVES ZUID (Belgium), Poznan University of Technology (Poland), Université Jean Monnet Saint-Étienne (France).

Due to the multidimensional nature of cultural diversity and its impact on the behavior and accepted cultural values of the project members, it was necessary to assume the limitations of the research area. The cognitive purpose of this paper is to explore and evaluate students' reflections on entrepreneurship teaching in a multicultural team, among others about new methods of entrepreneurship education they have experienced, diversity of multicultural context and relationships with other team members, their entrepreneurial attitude and ability to solve problems at designing business solutions in the multicultural team. The applied research methods include a pilot quantitative survey using online questionnaires and a qualitative research method of a reflective essay writing among students participating in the Intensive Programme (IP). The workshop took place in March 2017 in Joensuu at Karelia University and involved intensive two weeks of working together both of students and teachers from seven different European high education institutions in order to reflect and develop the necessary entrepreneurial skills. During the IP, students are given a balance of practical experience and theoretical issues to encourage them to adopt a wide range of tools and methods of entrepreneurship education. The participants received input from teachers and practitioners from various backgrounds while working in multicultural teams at designing business solutions.

The main limitation to the study is the non-representativeness of the sample and being limited to Intensive Programme participants. The findings presented in the article are very preliminary and further investigation in this field is necessary.

## **Materials & Methods**

The multidimensionality of cross-cultural approach to teaching entrepreneurship require the acceptance of the limitations of the study area. The objective of the exploratory research covers the identification and evaluation of students' reflections on entrepreneurship teaching experiences in multicultural teams during the two-week Intensive Programme in Joensuu at Karelia University. Reflection is an important human activity in which people recapture their experience, think about it, mull it over and evaluate it (Boud, Keogh & Walker, 1985). The study was conducted among 48 students from 14 countries worldwide. The modes of the students' reflective essays were primarily descriptive and evaluative, and offer suggestions for improvement. The task was voluntary and the students were notified that the purpose of the reflective descriptions was to explore in more depth their experiences of a multicultural approach to teaching entrepreneurship.

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<sup>1</sup> ECMT+ Entrepreneurship and Communication in Multicultural Teams is an Erasmus+ Strategic Partnership Project 2016-2019 (Agreement 2016-1-FI01-KA203-022743).

In order to encourage students to reflective essay writing a semi-structured questionnaire with supportive questions was prepared. The reflection concerned three areas: i) the form of workshops itself, seminars and didactic methods used, ii) cooperation in multicultural teams, iii) the entrepreneurial attitudes of students and possible future plans for establishing their own companies. The originality of the applied exploratory study lies in presenting real opinions among IP participants about the multicultural collaboration in entrepreneurship education.

Furthermore, the applied research methods include a pilot quantitative survey using online questionnaire and constitutes the first stage of conducted experimental research. The study was conducted anonymously via the Claroline Connect platform, which also provided a virtual environment for contact between the IP participants and the teachers. The respondents were chosen with a purposeful sampling technique (Maxwell, 2005) and represented students from seven high education institutions from European countries: Finland, UK, Germany, Czech Republic, Belgium, Poland, and France.

### **Entrepreneurship Education in Multicultural Context**

The importance of entrepreneurship education and entrepreneurial activity for the economic growth of countries is now well established. A high level of entrepreneurial activity contribute to foster competition, innovation, economic growth, and job creation. Entrepreneurship education covers a wide variety of audiences, objectives, contents and pedagogical methods (Fayolle & Gailly, 2008). Generally, entrepreneurship education aims to increase the awareness of entrepreneurship as a career option, and enhance the understanding of the process involved in initiating and managing a new business enterprise (Lee & Wong, 2007). The relevant literature suggests „important links between education, venture creation and entrepreneurial performance, as well as between entrepreneurial education and entrepreneurial activity” (Raposo & do Paço, 2011, p. 453).

According to the European Commission Communication ‘Fostering entrepreneurial mindsets through education and learning’ (2006, C 309, pp. 110-113), entrepreneurship refers to an individual’s ability to turn ideas into action. It includes creativity, innovation and risk taking, as well as the ability to plan and manage projects in order to achieve objectives. As the Commission recognizes, „the benefits of entrepreneurship education are not limited only to more start-ups, innovative ventures and new jobs. An entrepreneurial mindset should be seen as a basic skill and a career opportunity as well as an essential part of personal development. It fosters creativity and innovation as well as self-confidence as it develops a spirit of initiative and helps individuals to learn to cope with failure”(European Economic and Social Committee, 2006, C 309, p. 111). Entrepreneurship education encourages also creative thinking and promotes a strong sense of self-worth and empowerment (the Consortium for Entrepreneurship Education, 2008).

The most important primary and short term results of entrepreneurship education are to raise awareness, knowledge and understanding about entrepreneurship concept and practice, to develop individual entrepreneurial and networking skills, behaviors, and attitudes as well as personal self-confidence and capability to start a new business (Hannon et al., 2006). On the other hand, entrepreneurship education long term results include changes in culture, in support system and business environment. Beside knowledge and skills in business, entrepreneurship education develops certain beliefs, values and attitudes, with the aim to get students to really consider entrepreneurship as an attractive and valid alternative to paid employment or unemployment (Sánchez, 2010).

Despite that the key to a successful entrepreneurship education is to find the most effective way to manage the teachable skills and identify the best match between student needs and teaching techniques, there is no universal pedagogical recipe to teach entrepreneurship. The choice of techniques and methods depends mainly on the objectives, contents and constraints imposed by the institutional context (Arasti, Falavarjani & Imanipour, 2012).

A multicultural approach to teaching entrepreneurship is based on a set of conditions for intercultural collaboration, associated learner attributes as well as teaching methods and tools leading to acquisition of entrepreneurial knowledge. Culture is commonly understood as a system of values, norms and behaviors characterizing particular groups and nations. The scientific study of human behavior and its transmission, taking into account the ways in which behaviors are shaped and influenced by social and cultural context, is the field of cross-cultural psychology (Berry et al., 2011, pp. 1-3). Intercultural differences are differences in the values that govern the behavior of a person, in the norms they subordinate to, and in the ways of behavior and communication recognized as right by given cultural groups. Not everyone shares the same values or behaves according to established standards, but everybody recognizes them as characteristic of their group. Misunderstandings in multicultural educational context may have their origins in misunderstanding of intentions stemming from deeply ingrained values and cultural norms. Understanding these intentions requires the acquisition of

appropriate knowledge and experience in order to more appropriately choose ways of communicating and collaborating in a multicultural teams.

The multidimensionality of national cultures raises a number of difficulties in assessing their size and effects, hence literature and business practice have both adopted different criteria and measures for the impact of cultural distance. There are several theories and instruments for mapping and comparing national cultures. Cultural dimensions, based on work by Hofstede (1980; 2001), have been widely applied in the fields of business and management. Team members representing individualistic cultures have weak ties, prefer to deal with tasks on their own and feel responsible for the effect. People coming from collectivistic cultures create strong relationships with peers and prefer to manage and take responsibility as a whole team (Militru et al., 2014). There is a positive correlation between collective orientation and such aspects like trust potential, perception of interdependence, and openness to share information in order to achieve the goal (Mockaitis, Rose & Zettinig, 2012).

In turn Schwartz's (1999; 2006) theory of seven cultural value orientations has brought about another interesting distinction. The theory specifies three bipolar dimensions of culture that represent alternative resolutions to each of problems that confront all societies. A few years later, Spencer-Oatey (2008) presented a more contextualized, holistic view of culture. Cultural values are in the center of considerations, but they are embedded in practices, the local environment, the institutional context, and people's values and behaviors.

Culture, as the system of collective values, beliefs and attitudes is one of the most important factors influencing the individual ability to cooperate and learn in multicultural teams. As indicated by the research conducted by Hinds, Liu, and Lyon (2011) international project teams frequently suffer coordination problems, crises of trust, and unhealthy subgroup dynamics. Some of these challenges are the result of cultural differences among team members. These teams often are difficult to manage and fall short of performance expectations. The authors note that the challenges and tensions in intercultural collaboration often stem from incompatible practices. On the other hand, in the case of large cultural distances, the previously acquired knowledge and experience may halt the formation of relationships, the discovery of entrepreneurial opportunities and effective teamwork (Shane, 2000). Cross-cultural competences and cultural diversity are a great potential for entrepreneurship education in intercultural project teams. The different cultural backgrounds result namely in a variety of world perception capabilities and networks that make the teams more innovative (Chua, Morris & Mor, 2012).

The entrepreneurship education and training programs are aimed directly at stimulating entrepreneurship. With more experiences in multicultural teams and encouragement, students should be able to realize their entrepreneurial aspirations. In this sense the EU Member States have recognized the need of entrepreneurship education to be integrated in the official educational curricula. However the methods and the curriculum do not always seem to be the most efficient and communicable for the students. Furthermore, changes still need to be carried out to make this implementation possible. Moreover, it is necessary to promote the inclusion of entrepreneurship as a key competence in all regular teaching activities, especially in the high education level.

This exploratory study within the framework of the ECMT+ Project could contribute to the dissemination of students' opinions about entrepreneurship education in multicultural environment. There is a need for evaluation of the effectiveness of entrepreneurship education programs. A lack of evidence on how learning strategies, methods, and tools influence the development of entrepreneurial competences and how these competences will be transferred into new venture makes it difficult to design more effective educational programs.

## **Results and Discussion**

The issue of multicultural approach to teaching entrepreneurship discussed in the paper relates to the implementation of the international ECMT+ project, where cultural diversity and intercultural communicative competence play a special role. During the two-week Intensive Programme at Karelia University, six eight student teams (total of 14 nationalities) were taught entrepreneurial skills as well as tasked to work out and present an innovative idea and business model to the experts in the Joensuu Science and Technology Park. After the end of the IP, the participants were asked to evaluate the workshop writing a reflective essay. The respondents shared their observations in three areas. The first regarded the form of workshops itself, seminars and didactic methods used. Students were asked to point out the differences in the way entrepreneurship education is compared to teaching methods used on a daily basis in home universities. Also, the knowledge of the critical remarks formulated by workshop participants regarding the applied methods and the content of the IP is important for improving the effectiveness of teaching. Testimonials concerned the following teaching methods,

tools, and collaboration possibilities: i) diversity of applied methods of teaching entrepreneurship, ii) professional mentoring and coaching, iii) acquiring substantive knowledge about entrepreneurship, iv) workshops in small groups, v) involvement of team members, vi) networking possibility, vii) intercultural collaboration, viii) gaining / developing social competencies and skills, ix) team leadership, x) the national team presentations, xi) taste of culture with regional delicacies, xii) testimonials of the Finnish entrepreneurs, xiii) the functioning of the Claroline Platform. Due to the multitude of collected data, below only the selected students' reflections on entrepreneurship teaching experiences have been presented.

The variety of applied methods for teaching entrepreneurship was met with a high approval of respondents, ranging from short theoretical seminars through group activities to individual presentations of business ideas. The free and open teamwork, yet well-coordinated mentoring by teacher, provided a full sense of creating a unique solution, merging individual team members. As mentioned by the participants: *„Due to these new contacts, we get in touch with different ways of working, planning, speaking...”, „The correct people on the correct job made sure that everything was done pretty good and fast”, and „We also learned about a number of entrepreneurial skills that could help us in our future professional life (e.g. pitching, drafting a business plan, presenting...)”*. In the students' opinion, the main advantage was the classes conducted in the working teams under the guidance of teachers with practical experience. They were rated higher than traditional lectures: *„With the 'go ask'-system, you had a more personal education. You could/dared to ask more questions until you understood it properly”, „During the last days we could consult 'specialists' in certain fields.”*

Students positively assessed the possibility of free and unregulated management within their own teams. As for leadership, the respondents most often emphasized that there was not one leader, but a division of responsibilities and tasks among different team members. This is confirmed by, among others, the following statements: *„We took all the lead in our groups and brought together with the whole group this project to a successful end”, „We didn't establish any leader, but I think that thanks to my previous work and study experience I played an important role in the team”* as well as *„As a team we managed to deal with our problems and we were proud of the result we could present in the end.”*

Concerning workshops, the students appreciated that they could work in small international groups (8-15 persons) because they had to be active to process the information immediately: *„I appreciated that we (...) worked in small groups. I think this was the most convenient method to teach us the topics we had to put into practice afterwards.”* This was also a big difference to their home high education institutions, where the number of people in the class is between 30 and 40. Another essential factor for teaching students efficiently is a motivated and committed team. Students also emphasized that everyone who participated in IP, really wanted to take part in the project, to learn and to have a good time together. This was also a big difference to the home universities where there are many non-motivated students.

The second area of reflection concerned cooperation in multicultural teams. The IP participants (for some it was the first time in their lives) had to face up to their ideas or even prejudices regarding peers of other nationalities and cultures. The context of multicultural collaboration played an important role here. The goal of the international ECMT+ project is, inter alia, to develop solutions in entrepreneurship education that would address the needs of immigrants and refugees and create an increasingly culturally diverse academic and business community. The results of the study confirm that the national and cultural diversity of the teams were met with high student acceptance. Different backgrounds, different fields of study and different cultures turned out to be something unique for many students. An important advantage was an opportunity to learn and experience a different perspective on the same issues and exchange views. It is safe to say that diversity has become the strength of teams and the basis of creative thinking for the pursuit of interesting business solutions.

However, in spite of the initial fears, distrust and different expectations related to intercultural collaboration in project teams in Finland, the knowledge they gained, as well as practical experience and established relationships with intercultural students provided them with great satisfaction. This is confirmed by the exemplary statements: *„Now I feel more ready to work in any team and I know how interesting people from different countries are;”, „Working in an international team requires overcoming more factors, especially those from cultural backgrounds and language barriers, but it carries so many different ideas and different visions that it becomes amazing.”*

Undoubtedly, a positive effect of cooperation in the teams was manifested in the acquisition of new social competences such as interpersonal communication, sensitivity to different values, or an ability to listen to other arguments. Especially noteworthy are the responses of students who have found that multicultural collaboration provided them with an opportunity to work on their weaknesses and to develop certain competences: *„I had also the chance to work on my negative points. Listen more to people and don't try to be better; try to work together...”, „I learned most about the human facts, different cultures and about myself”, „Now I see how important it is to be just more patient and give people more time to adapt.”*

Concerning the English language, many students stated a progress in their competences: *"I can surely confirm that my English is now a lot more fluent than it has ever been until now. I'm also not scared anymore to speak in English"*.

The critical remarks formulated by workshop participants concerned, for example, too many testimonials of the Finnish entrepreneurs. This is confirmed by, among others, the following statements: *"I didn't enjoy listening every morning to people who have created absolutely different companies, but where the message of the testimonial was more or less the same every time"*, *"(...) we had those testimonials every day, it wasn't interesting anymore after a few days."* The respondents, however, indicated that it would be more useful for them to discuss their problems along with generating and verifying business ideas in the team. The students suggested to introduce varied forms in the way the entrepreneurs were presented to them, e.g. speed dating with entrepreneurs, pitching ideas to entrepreneurs who could give feedback based on their experience, specific topics that were typical for some entrepreneurs: start-up problems, failure problems, how to set up a good marketing campaign, how to use social media, how to network.

Another critical remark involved a large number of tasks and classes scheduled in the day program. It was emphasized that *"the overload of sessions during the first week didn't allow us to proceed very well during daytime so we needed to do a lot of team work in the evening."* The surveyed students critically evaluated the functioning of the Claroline Platform because of problems with getting their information from the platform. For example, one of the students stated that *"I was willing to try and learn to get to know a new platform but the Claroline platform was not the most user friendly platform for us especially after the IP."*

The third area concerned the entrepreneurial attitudes of students and possible future plans for establishing their own companies. Concerning the selected research results of the questionnaire survey via the Claroline platform, many students confirmed that knowledge acquired in the field of entrepreneurship education at home universities is not enough to start their own business. There are no practical classes, such as business model designing, or any workshops on financial support. The students were asked to indicate examples of the support they expect from their universities regarding the set-up of their own businesses. Among the six questionnaire options, the respondents most frequently indicated the need for financial support, intermediation in establishing business contacts, the possibility of renting premises profitably, and the use of university infrastructure.

The students experienced the IP in Joensuu seem to be very pleased with the multicultural approach to teaching entrepreneurship. They pointed to the possibility to cooperate with students from different countries and cultures as the most important benefit: *"I am grateful for the ECMT+ program because it gave me a taste of working together with people I didn't know yet in a new and inspiring environment"*, *"I enjoyed 'work hard, play hard', meeting new people, learning new things"*, *"Frankly, it was definitely one of the best experiences in my life"*.

Moreover, the importance of acquired knowledge for future professional work was emphasized: *"Two weeks full of useful information about entrepreneurship, multicultural team work, management and marketing definitely was worth it"*, *"Two weeks in Joensuu improved my skills much more than whole Bachelor study. I hope future students will appreciate it and won't miss the chance to enjoy the program."*

It can therefore be concluded that the aim of the IP has been achieved but the project partners are also conscious of obstacles influencing the teaching effectiveness and teams' satisfaction. The knowledge of the critical remarks formulated by workshop participants is also crucial for improving the effectiveness of teaching entrepreneurship by the next IP in Germany in 2018.

## **Conclusions**

A multicultural approach to teaching entrepreneurship have become increasingly important over recent years. Undoubtedly, the cross-cultural values differences, the diverse educational background and work experiences as well as the lack of trust may generate different patterns of behavior in intercultural collaboration. Intercultural teams are influenced by many challenges related to teamwork organization and relationships between members. If they can be good managed it can lead to innovative, satisfactory results that justify cross-cultural team creation.

In the age of globalization and ever-increasing human mobility, an ability to cooperate in a culturally diverse team has become an important and necessary competence. Many EU programs provide opportunities for students to participate in international projects and workshops, where young people can personally experience teaching process in multicultural team. It is only through cooperation and dialogue with peers from other cultures that one can revise their own views and

ideas and also get rid of stereotypes and prejudices. Contact with other cultures leads to better self-knowledge and to personal and professional development.

Based on the reflections of the IP participants it can be stated that multicultural approach to teaching entrepreneurship was met with high level of acceptance by them and brought them tangible benefits, both in terms of knowledge and new experiences as well as the atmosphere of collaboration and generation of interesting business solutions. Informal meetings of the workshop participants after the completion of classes at the university were important for mutual recognition, confidence and breaking of prejudices and, consequently, the effective implementation of team tasks. Furthermore, the measurable effects of teamwork during the Intensive Programme all have confirmed that multicultural approach to teaching entrepreneurship has produced the intended results. In the end, it was an engaging competition between intercultural teams for the most interesting business idea. Intercultural diversity is therefore significant for goal setting and team effectiveness.

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## **An Analysis of ESP Courses Profile: Bridging the Gap Between ESP Challenges and 21st Century Skills**

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### **Abstract**

English has the status of a global language and nowadays, it is “a must tool”. In order to be successful in any field of study you need to know the language that is spoken or known worldwide. Therefore, English should be included in any fields of study or disciplines. English for Specific Purposes (ESP) Courses have been offered at the public universities in Kosovo as an elective or compulsory course at many departments, at least for two semesters. Teaching English courses in higher education should be designed based on students’ needs by analyzing their level of English and study disciplines, concretely, English for specific purposes courses. Even though, ESP looks as an “easy peasy” issue, in this study has been involved the challenges that ESP teachers and students come across during the complexity of teaching and learning process. In general, this paper also presents an overview of the current situation of ESP courses profile at three public universities in Kosovo. The study has been carried out using three different evaluative research instruments, concretely, has been included a quantitative questionnaire with students and ESP teachers, a qualitative questionnaire (interview) with ten ESP teachers, currently teaching English specific courses at the three universities and also a class observation at three main public universities in Kosovo (Prishtina, Peja and Prizren). Based on the findings, the course content affects directly beliefs, motivation and interests of the students. Hence, ESP courses should be designed based on students’ specific language and professional needs in each discipline, while studying at Higher Educational Institutions.

**Keywords:** ESP, challenges, needs analysis, course profile, higher education.

### **1. Introduction**

Linguistic strength comes from economic and political power. While the invaders of the world now are technology and commerce, the emphasis is on learning English, specifically, English for specific purposes as “a unified tool” to get across the borders. As (Hutchinson and Waters 1998, p.67) commented, “the effect was to create a whole new mass of people wanting to learn English”. Additionally, this mass of people has various language needs. As a result, based on the diverse language needs and purposes are designed ESP Courses.

An instance of this are ESP courses designed for Higher Education Programs, such as Business English, Law English, English for Tourism and Hospitality and many other specific study disciplines should be designed based on specific objectives for homogenous groups of students. Based on this issue Robinson (1991) made an important distinction between students of ESP Courses. “Some are newcomers to their field of work or study who need instruction in the concepts and practices of that field and others are already expert and experienced, but require operational ESP materials and skills, where the instruction and training are taken for granted, and where it is the ability to function in English which is being imparted.” Whereas, in Kosovo, faculties of BA (Bachelor) study program, have students that their level of English differs from beginners to advance. Hence, there are newcomers and also experienced students of General English. Facing this fact, designing an ESP course for these students need to be specific having in mind clear objectives as well as learning expectations.

Therefore, the focus of this research is on designing specific or separated courses based on the needs analysis, by analyzing students’ language needs and General English knowledge, basically, particular target on learning.

### **1.1 ESP in Kosovo, history and its development**

In Kosovo, English for Specific Purposes has started to be taught in Higher Education System after 1980s, firstly, at some academic units of the University of Prishtina, at that time, the only public University in Kosovo. Since then, in many faculties English has been included as a foreign language in the study programs. In the beginning, the course content has been focused on general English, mainly grammar translation method or excessive translation.

Furthermore, several years ago, ESP teaching in Kosovo was characterized mainly by structural approach. From year to year, different students of different faculties had to use the same textbooks, resources; English courses have been made a uniformity program. Concerning the circumstances that, students come from different background knowledge, studying different fields and the rapid changes and development of the world have an impact on students' interests and needs, which are inevitable, the profile of ESP should be given a conducive approach. Moreover, regarding to development there are many discrepancies to be considered. One of the shortcomings is teaching methodology, such as old teaching theoretical methods rather than practical ones, another issue related to class activities and assignments/projects that could fit students' English interests. Therefore, as mentioned above on this paper examined the challenges of ESP course profile in Kosovo through its history comparing to the current situation and the development of such modules.

### **1.2 Course design issues, teaching resources and innovations**

Based on the analysis of the ESP situation in Kosovo, the design of ESP courses at the three public universities is mainly grammar oriented content based on various specific related topics, specifically, including the method of excessive translation of the professional texts. Also, at some faculties and departments, the course is more general English oriented using intermediate level course books such as "Headway", "Opportunities" and other GE resources. Nevertheless, ESP courses are different from General English courses in many aspects. An important question is, whether all the students have the same needs and interests towards learning English for their specific needs. Therefore, the situation should be analysed and assessed in order to design those models of courses. The Grammar Translation Method, particularly, excessive translation of specific professional textbooks and materials such as Business or Law professional texts could not be an appropriate method of teaching. Considering that English is a practical course based on many interwoven exercises and activities, students may not gain or advance their professional English only by translating texts. Furthermore, the design of ESP courses might be based on some principles such as goals, progress and practice by planning a clear course outline at first. Then, the course outline can be expanded into creating a compatible syllabus.

In order to come up with a clear course syllabus, the principles set forth might be expanded, firstly, setting some course objectives and a goal based on what knowledge and abilities the course designer plan or want students to attain. Secondly, teachers at the beginning stage might also plan how to assess students' progress, what kind of tests, assignments or projects could be a clear measurement to evaluate the course process. And the third principle is practice, hereby; practice is the key element of the course and is closely linked to learning objectives as well as learning outcomes. Thus, as English language is considered to be a practical course, it is important to plan such activities and projects that give students opportunities to practice learning and also reflect on it. Hence, activities and assessment criteria might support learning objectives.

In addition, the three public universities are dealing with nearly the same course design issues. As mentioned above on ESP courses are based on a uniformity criteria and the students' interest to attend such courses is very low comparing to the need of English. One of the reasons of this situation might be students' level of English that is predominantly elementary and none of the universities offer additional GE courses.

### **The importance of implementing a Needs Analysis**

Before starting an ESP course design, teachers of such courses might have consideration on the overall situation of target students, starting from the objective and subjective students' needs as well as their (teachers) needs, and available facilities and accommodation requirements, having in mind that ESP courses are very demanding. Particularly, ESP classes should be based on students' language requirements and also market demands or the need of English for their professional interests. Except the students' requirements, such course design would be better to be based on students' English knowledge and capacities towards successful course completion.

Needs analysis should serve as a prerequisite for many courses. Since, subject teachers mainly design their courses and plan the syllabuses, hence, the first point to be included in the course outline is students' information in order to assure a flexible syllabus rather than a general or complicated one.

Teachers are considered to be the main part, affecting the course design and its relevance by playing diverse roles. Dudley Evans describes the true ESP teacher or ESP Practitioner (Swales, 1988) in a sense that they are in capability of performing five different roles. These are: 1) Teacher, 2) Collaborator, 3) Course designer and materials provider, 4) Researcher and 5) Evaluator.

While ESP teachers play different roles, they might critically analyze and evaluate the situation of the target group who are going to work with. After that, knowing students' situation and needs it would be easier to set the course goals and objectives towards achievable learning outcomes. Particularly, they might pay attention to the students' capacities and what they could achieve or attain from the course. It cannot be organized an ESP course for intermediate and advance level of students where most of the students do not have English knowledge or only have some basic knowledge from primary and secondary education and expect the course objectives to be achievable. Even though, English is included in the teaching curriculum from the third grade (primary school), and based on the Kosovo's new curriculum from the first grade, the students' English level/knowledge at public universities is mostly at an acquaintance stage. Hence, the ESP teacher by playing diverse roles can prepare an English specific course by knowing and analyzing students' specific English situation and language interests.

#### **1.4 Raising awareness of ESP teacher training and advancing the system of ESP teaching**

The level of ESP teachers in Kosovo is still at the inception stage, even though, ESP courses has been teaching since 1980s. One of the most important challenges concerning ESP improvement in the current situation at the public Universities in Kosovo is the lack of teacher training and subject instructors. Consequently, ESP classes are more oriented to text translation and learning specific lexicon, or methods chosen by teachers' availability and appropriateness.

Nevertheless, ESP has started to be included in higher academic teaching programs in Kosovo since 1980s, less attention have been paid on ESP teacher training. In order to improve the ESP teaching process such instructors might be organized and encouraged on attending ESP training programs, workshops, seminars and conferences. Firstly, by being aware that teaching English Specific courses is fairly different from General English courses.

Secondly, interacting and cooperating with other developed foreign universities and colleagues could be a 'helping hand' related to this issue.

"ESP teachers find themselves in a situation where they are expected to produce a course that exactly matches the needs of a group of learners, but are expected to do so with no, or very limited, preparation time" (Johns, 1990, p. 91).

Whereas, (Nunan, 1987, p. 75) related to course design preparation, points out that "It seems fairly obvious that if teachers are to be the ones responsible for developing the curriculum, they need the time, the skills and the support to do so. Support may include curriculum models and guidelines and may include support from individuals acting in a curriculum advisory position. The provision of such support cannot be removed and must not be seen in isolation, from the curriculum."

Hence, a triangular including ESP teacher, curriculum advisor/expert and other ESP teachers' collaboration would bring opportunities and facilities for the teacher to come up with a clear course syllabus. Nevertheless, based on the interviews, the absence of teachers' collaboration is evident resulting in having many course design issues that need further improvement.

Considering that things are under an on-going process, changes are inevitable. Thus, teachers should be part of training programs continuously by interacting and collaborating to each-other. Everyone has unexplained queries in mind that needs support to get to the right responses.

#### **Instruments**

There were three different instruments used to collect data during the research. The first instrument was a list of interview questions for ten ESP teachers followed by a questionnaire. Also, a questionnaire distributed to three hundred students/respondents from three universities where the data has been collected, (100 students included from each university). The sample of 100 students has been selected because there are a low number of students that attend ESP classes.

Teachers' interview questions as well as questionnaire were focused on the major course design issues and needs analysis.

Whereas, in the students' questionnaire have been involved questions that present the ESP situation, specifically, students' needs and interests towards ESP courses, why they need English in their future careers and also their language knowledge.

### Findings and results

The issues brought out from the interviews with teachers and class observation:

the status of ESP course;

the importance of attending an ESP course;

teacher training programs;

lack of innovations in ESP courses;

teachers cooperation and interactivity;

teaching methodology;

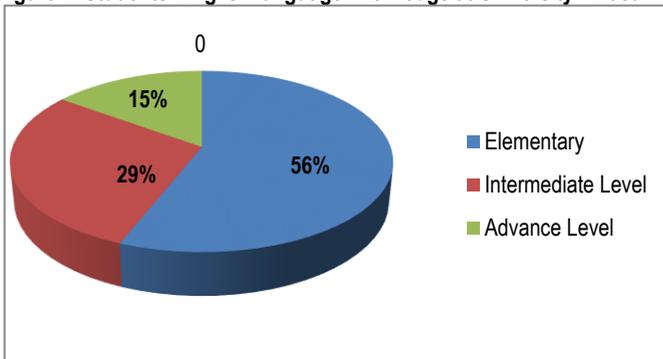
class activities;

the course length;

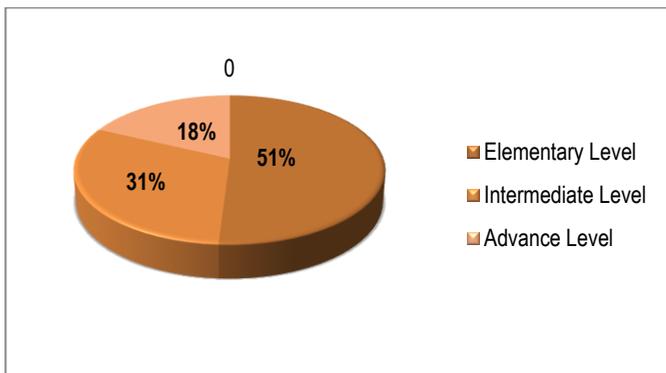
the number of teachers that teach ESP at university;

faculty resources and facilities for ESP classes, technology;

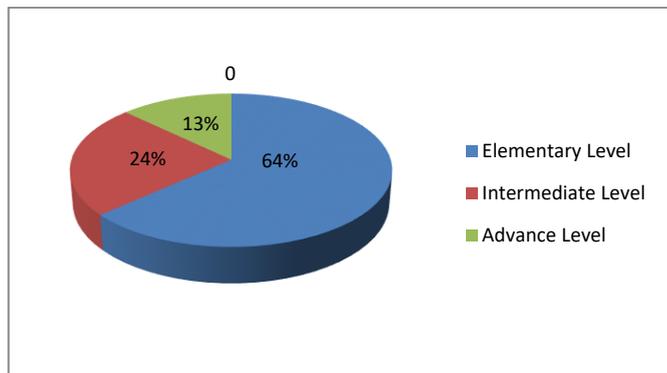
**Figure 1. Students' English language knowledge at University "Hasan Prishtina"**



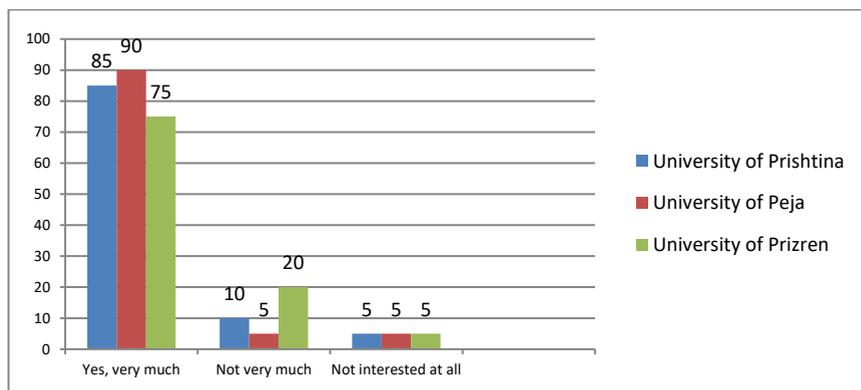
**Figure 2. Students' English language knowledge at University of Prizren**



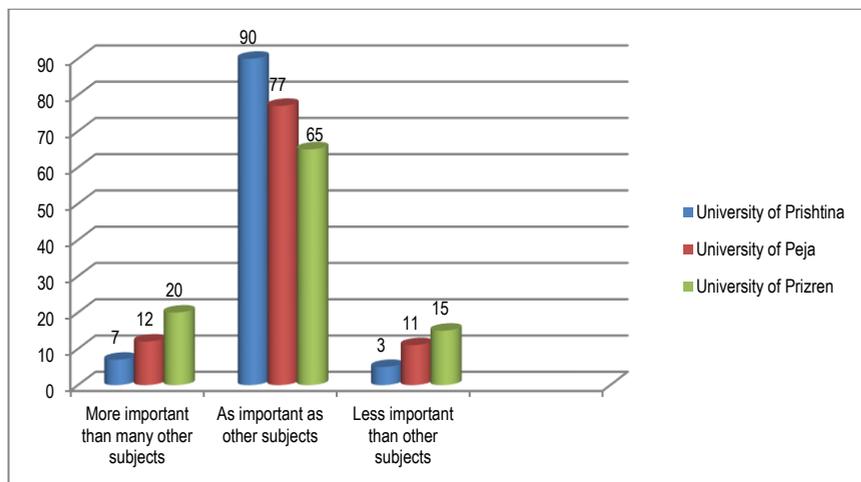
**Figure 3. Students' English language knowledge at Public University "Haxhi Zeka" Peja**



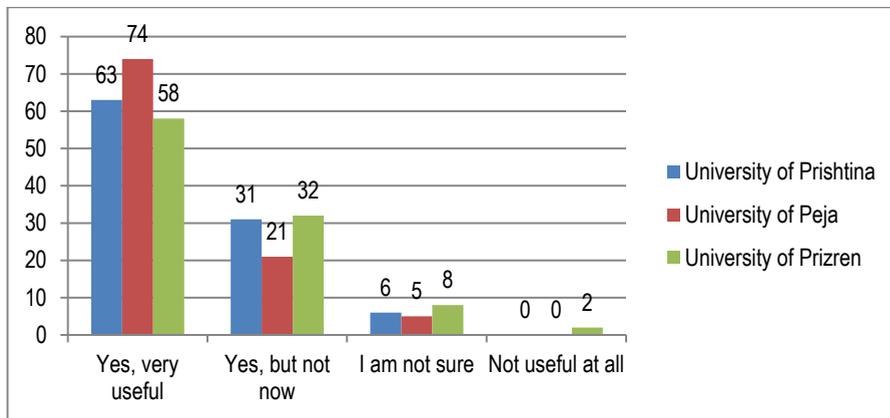
**Figure 4. Are you interested in taking an ESP course?**



**Figure 5. How important do you think ESP is in comparison with other subjects?**



**Figure 6. Do you think ESP course will be useful for your future career?**



ESP courses have a great importance in the higher education programs. That is proved by the students and based on the study results, where the overwhelming majority of respondents consider ESP courses as important as other subjects. (see Figure. ) Thus, the analysis of the respondents answers offers evidence that from University of Prishtina, 90% of the students think that ESP is as important as other professional subjects, 7 % replied that ESP is more important than many other subjects and 3 % out of 100 respondents thinks that ESP course is less important than other subjects. Nearly similarly, results from University of Peja gives that evidence, 77% of respondents think that ESP courses are as important as other subjects, 12% thinks that Specific English is more important than many other subjects, whereas, 11% have seen ESP less important than other subjects. Students' beliefs and thoughts from university of Prizren have given these results towards ESP courses importance, 65% think that ESP is as important as other subjects.

### Conclusion

In general, the education system in Kosovo is undergoing major changes and is on an oscillation process, since Kosovo is a country in transition and most of the projects offered are considered as pilot projects or preliminary studies. The study of the challenges of the ESP courses in the higher education system in Kosovo and its roles in the overall education system has become one of the major interests, since more and more English non - native speakers use English as a means for communication in their work setting.

Findings of the study revealed that participants' attitudes towards the usage of English for specific purposes vary in terms of the field of study which is discussed and whether it is important or less important as a course. Major findings indicated that the current situation of ESP course profile, learning and teaching process in the three public universities in Kosovo face many challenges that need to be further developed. Particular attention might be given to the inclusion of 21<sup>st</sup> century skills and innovations in the ESP curriculum.

In general the study revealed that:

The three public universities face nearly the same challenges, even though the university of Pristina is one of the oldest higher education institution in the country;

The ESP course design, respectively applying innovations in ESP syllabuses is given insufficient attention by the universities;

The lack of a need analysis implementation hinders the ESP course improvement;

Syllabuses for university students in terms of structure and content are nearly the same;

The lack of ESP teachers collaboration and ESP training programs lack may have hindered the improvement and progress;

This paper is an attempt to delineate the picture of current ESP practice in Kosovo's higher institutions. As ESP is an unavoidable trend in ELT and now has become an important composition in higher education, it is crucial to treat the actual issues and address problems arising upon the implementation of innovations in ESP courses.

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## Some Characteristics of Communication Verb Ask in Newspaper Discourse

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### Abstract

This paper deals with communication verb ask in newspaper discourse. Analysing examples from our corpus we wanted to show linguistic characteristic of the verb ask in this type of written discourse. The analysis shows that the verb is used in more or less similar structures as elsewhere. However, the colligation patterns it occurs in are something of a novelty and typical of this type of discourse.

**Keywords:** Some Characteristics of Communication Verb Ask in Newspaper Discourse

### Introduction

Communication, although a specialized type of activity, is an important semantic domain in its own right. Speakers of English distinguish among many types of communicative activities, and commonly report what someone has said or written using verbs such as *ask, call, say, speak, talk, tell, write* (Biber 2007: 365). In descriptive grammars these verbs are known as communication verbs. Biber (2007: 362) defines them as a special subcategory of activity verbs that involve communication activities. The aim of this paper is to show some characteristics of communication verb *ask* used in newspaper articles on Brexit. The study was conducted on the examples of 472 words out of million which translates to 0.047 percent.

The verb *ask* has the meaning of requesting somebody to do or say something or to tell somebody about something. (Carter 2007: 52)

Although the basic pattern of its complementation is transitive (1) or ditransitive (2) (*ask someone to do something*) communication verb *ask* may also be intransitive as in the example found in our corpus (3):

(1) *John Bercow, the Commons speaker, said 66 backbenchers asked questions.*

(2) *"A BBC interviewer asks you a question you are unable to answer.*

(3) *It's a question that Martin Moore, director of the centre for the study of communication, media and power at King's College London has been asking too.*

It is not rare to combine the communication verb *ask* with a reflexive pronoun. The purpose of using a reflexive pronoun is to point out that the object of a verb is the same person as the subject of the verb:

*It offers "a chance to step back and ask ourselves what kind of country we want to be".*

The verb *ask* used in direct speech tends to have subject verb inversion:

*"Can you imagine the inter-departmental conversation between them?" asked one moderate Tory MP.*

The verb *ask* used in newspaper share the characteristics of verbs *ask* used elsewhere. One of the characteristics of verb *ask* is that it may occur in the following structural patterns with a to- infinitive clause:

verb + to-infinitive clause:

*Overall, Brexit took second place in importance to the budget among respondents – some of the 100 people asked to keep track of their thoughts on leaving the EU as part of a project by Britain Thinks with the Guardian*

verb + NP + to-infinitive clause:

*We asked leave and remain voters to sum up their emotions after the UK formally entered negotiations to leave the EU.*

be + verb-ed + to-infinitive clause:

*We owe it in the name of decency to issue a promise that none of the EU citizens living here when we leave will be asked to go and we must do this now.*

verb + for NP + to-infinitive clause:

*The EU is asking for money to cover spending commitments the UK has already made, as well as Brexit-related costs, including the pensions of staff dealing with the UK's departure.*

verb+ NP+ wh-clause+ to-infinitive clause

*A driver asks a passerby how to get to Dublin.*

The communication verb *ask* may have a wh-clause as a direct object:

*Labour's Ian Murray asks what Paterson means by "shedloads."*

There are also examples in which the verb *ask* has a that-clause as a direct object. In combination with that-clause the verb *ask* has the meaning of request and requires a verb in the subjunctive mood:

*I asked that she take a stand that may be remembered in time to come.*

The examples excerpted from our corpus show that verb *ask* occurred with post-predicate wh-clauses introduced by *whether* and *if*. The verb *ask* combined with the *whether/if* clause functions as an indirect speech report of a yes/no question (4). However, in great number of examples the *whether/if* clause usually corresponds to an alternative direct question (5):

(4) *Emily Maitlis, who was presenting the show, asked Leadsom if she was accusing broadcasters of being unpatriotic .*

(5) *This is what Liam Fox said in the Q&A after his speech (see 2.40pm) when he was asked if he would feel comfortable eating chlorine-washed chicken*

One of the observations we made refers to the fact that communication verb *ask* in the examples found in our corpus did not occur in the protasis of a conditional utterance but almost always in apodosis:

(6) *He asked if the additional timing meant the prime minister would stick to her pledge to seek a "UK-wide approach".*

In certain numbers of examples verb *ask* occurred in the passive. The passive usually occurred in the form where the agent is expressed in a *by*-phrase (7):

(7) *They have been asked by a shopping centre security guard to move on two homeless men.*

and in the form where the agent is left unexpressed (8):

(8) *Those who have been asked previously to show evidence of comprehensive sickness insurance will no longer have to do so.*

Other passive constructions with *ask* show different patterns in which the verb occurred: to-infinitive (9), prepositional phrase (10), NP (11), wh-clause as a direct object (12) and with informal *get* (13):

(9) *Contractors bidding for work with the government are being asked to affirm that they back Brexit.*

(10) *At the start of the hustings Paul Nuttall was asked about the Ukip resignations.*

(11) *But the electorate was asked a clear question, and answered that it wished to leave the EU.*

(12) *When voters were asked what the party stood for, by far the most prevalent answers were, "don't know", and "nothing".*

(13) *I got so many comments yesterday: 'You shouldn't be a politician because you have a silly name.' And, 'Why do you look so small on TV?' I keep getting asked that.*

The examples we studied showed that the verb *ask* freely combines with adverbs like *just* (14) and *yet* (15) and manner adverbs such as *politely*, *simply*, *equally*, *merrily*, *directly*, and *specifically* (16):

(14) *Our Brexit negotiators must realise just how valuable Erasmus is to our future. Just ask anyone else on the scheme.*

(15) *Yet ask a Tory about struggling health services, inadequate housing supplies or creaking social care, and back comes the same pathetic response: we need a strong leader to negotiate the best deal with Brussels and stabilise our economy.*

(16) *I wrote and specifically asked that she attempt to vote it down, even though that looked pointless.*

In a good number of examples the verb *ask* was used in a combination with *for* with a meaning to make a request for something. This combination has the same linguistic properties as the verb *ask itself*. But, in newspaper discourse it enters the whole new set of collocations as it is shown in the table below:

ask for a face-to-face meeting	<i>The international trade secretary wrote to Tony Hall to ask for a face-to-face meeting about the coverage...</i>
ask for backing	<i>She plans to ask for Holyrood's backing next week to seek that approval under a section 30 order of the Scotland Act.</i>
ask for concessions	<i>I am not in a frame of mind to make concessions or ask for concessions ... the UK has asked to leave the EU, not the other way round</i>
ask for a transition	<i>The key to the compromise is that the UK must ask for a transition</i>
ask for an indicative vote	<i>There are suggestions she could also table a draft section 30 order, and ask for an indicative vote supporting it, to increase pressure on her opponents</i>
ask for mere access	<i>If we leave the single market, and ask for mere "access", we will be compromised in achieving these goals.</i>
ask for new powers	<i>The same principle applies when politicians ask for new powers...</i>
ask for proof	<i>At the moment, if a British citizen wants to bring, say, a South American partner to the UK, then we ask for proof that they meet an income threshold and can speak English.</i>
ask for safeguards	<i>Given the potential consequences, opposition peers are right to ask for safeguards for EU migrant rights...</i>

## Conclusion

The communication verb *ask* is widely used in newspaper discourse. It enters more or less similar linguistic structures which could be found elsewhere in grammars. However, it enters the whole new set of collocations that are typical of analysed discourse and shown in this paper.

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## The Effect of Organizational Structure and Ngo-Ngo Relationships on Sustainability in NGOs

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### Abstract

This study analyses the statistical relation among Sustainability, Organizational Structure and NGO-NGO relationships within the concept of Non-Governmental Organization (NGOs). Sustainability is the dependent variable of the study whereas independent variables are Organizational Structure and NGO-NGO relationships. Sustainability is conceptualized as the survival of the NGOs within the study. Within organizational structure the emphasis is on having either mechanistic or organic structure and finally NGO-NGO relationships refer to the level of closeness to the other NGOs as participation events of the other NGOs, organizing the events together and becoming members of NGO unions like federations and Confederations. Results indicate that both independent variables (Organizational Structure and NGO-NGO relationships) have positive affect on the sustainability of the NGOs. Linear regression has been utilized in order to determine the effect of the independent variables of the study and the dependent variable. Statistical Package for the Social Sciences (SPSS) has been used for the analysis.

**Keywords:** Sustainability, NGO, Organizational Structure

### Introduction

#### NGOs

Non-governmental organizations (NGOs) are crucial for the society with respect to their humanitarian, political, social objectives they have and the economic activities that take place within them (Metin & Coskun, 2016). The main characteristics of the NGOs are relying on professional staff, involving volunteers, being formally registered, having tax-free status, and claiming applied expertise in social policy in terms of delivering social services or advocating solutions. (Srinivas, 2010, p.119). NGOs have some additional specific characteristics that make them different from governmental organizations (public sector) and private sector such as not seeking profit, having different sources of revenue from profit seeking organizations, having different kinds of objectives, having multiple stakeholders, and working with volunteers.

NGOs are organized, institutionalized that they have boards, as well as professionals working for them. NGOs have written rules and procedures, and they are responsible for their operations to appropriate authorities. (Metin, 2017) They are in contact with other NGOs (Proulx, Hager & Klein, 2014), with governments, (Ramanath & Ebrahim, 2010) with private sector (Borwankar & Velamuri, 2007) and they create networks (Poole, 2008).

#### Sustainability

Sustainability for the NGOs is important because as contingency approach is strongly linked with open system approach that sees organizations as open systems that are in need of a survival, It is possible to understand survival as sustainability in the NGO literature.

There are various definitions of sustainability. Researches from, environmental studies, social science and management provided the definitions for sustainability.

Table 1. gathers the definitions of the literature.

Elkington's Triple Bottom Line approach has an influence and conceptualization of sustainability. "Triple Bottom Line" is the most prevalent concept in the literature which considers sustainability at the intersection of economic, social, and environmental goals of a firm" (Taşçıoğlu, 2014, p.32; Wang & Lin, 2007).

Wang and Lin's ( TBL ) sustainability index system provides an individual index set not only for the three dimensions of sustainability – economic, environmental and social, but also for the intersecting areas of these three main dimensions, namely eco-environmental, eco-social, socio-environmental and eco-socio-environmental (Turan, 2010).

Since the sustainability is evaluated under performance and effectiveness, the studies to be referred in NGOs context is limited.

Weerawardena, McDonald, and Mort (2010) emphasized the sustainability, strategy relation and stated that" building a sustainable organization has impacted on the strategy focus of the nonprofit organizations" (Weerawardena et al., 2010). Prabhakar (2014) focused on analysis of the sustainability of credit non-governmental Organizations (CNGOs). Besel, Williams and Klak (2011) presented a "theoretical framework to analyze financial sustainability by relating it with the foundations of institutional and population ecology theories. Their study "incorporates the main points of these previous studies in defining financial sustainability as the ability of nonprofits to diversify their funding base" (Besel, et al., 2011). Al-Tabbaa,Gadd and Ankrah (2013) found that quantity models are relevant in the NGO context as with respect to effectiveness, performance and strategy.

Meyer, Emerick and Momen, (2003) due to limitation of fiscal or personnel resources presents "concept of continuity planning" that they think should be applied within the nonprofit sector. "An organization's long-term financial capacity is sustainable if its rate of change is sufficient to maintain assets at their replacement cost" (Bowman, 2011). Campell (2010) presented NGO related sustainability research involving concepts "disaster, organizational ecology, and entrepreneurship research" (Campell, 2010).

### Organizational Structure

Structure is another huge concept of management. Miles (1980, p.18) defines structure as "Features of organization that serve to control or distinguish its parts".

Mechanistic& Organic forms are other fundamental concept that are to be explained under the organizational structure.

Mechanistic Form: Mechanistic Form is "characterized by precise definition of duties, responsibilities and power, and a well-developed command hierarchy through which information filters up and decisions and instructions flow down" (Miles,1980, p.22)

Organic Form: Organic Form is more flexible and adaptable where communication is present up and down with less formal job definitions (Miles, 1980, p.22). This study focuses on Mechanistic and Organic forms of the structure.

### Methodology

The researcher succeeded in contacting 139 Balkans related hometown associations, foundations, federations and confederations in Turkey through his personal network. Data gathering process was dependent on the personal relations. It would be very hard for an outsider to establish the personal relationships with the mentioned opinion leaders of the community and succeed in reaching 139 filled out questionnaires.16 of the questionnaires were not properly filled out, that is why net properly filled out number of questionnaires is 123. The sample of the research is about 30 percent of the population given the whole population is around 400.

Linear regression has been utilized in order to determine the effect of the independent variables of the study (Organizational Structure more specifically having organic structure and NGO-NGO relationships) the dependent variable (sustainability). Statistical Package for the Social Sciences (SPSS) has been used for the analysis. The hypotheses of the study are as follows:

Hypothesis 1: NGO-NGO relationships has a positive effect on sustainability of the NGOs

Hypothesis 2: Having an organic structure has a positive effect on sustainability of the NGOs

Below are tables derived from the SPSS

**Table-1 Model Summary**

Model	R	R Square	Adjusted Square	R	Std. Error of the Estimate	Durbin-Watson
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1	.374	.140	.125	.68369	1.793
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Table 1 indicates that the adjusted R square is 0.125 meaning that the independent variables explain the 12,5 percent of the total effect on quality. Durbin Watson figure will be mentioned below when analyzing the assumptions of regression.

Table2-ANOVA

Model	Sum of Squares	df	Mean Square	F	Sig.
1 Regression	9.030	2	4.515	9.659	.000 <sup>b</sup>
Residual	55.624	119	.467		
Total	64.654	121			

Table 2 indicates that the significance of the model in general is .000 which is acceptable at the 99 percent confidence level.

Table3-Coefficients

Model		Unstandardized Coefficients		Standardized Coefficients Beta	t	Sig.	Correlations			Collinearity Statistics		
		B	Std. Error				Zero-order	Partial	Part	Tolerance	VIF	
1	(Constant)	2.832	.304		9.313	.000						
	ICT	.126	.058	.187	2.175	.032	.236	.196	.185	.973	1.028	
	Performance	.206	.060	.294	3.411	.001	.325	.298	.290	.973	1.028	

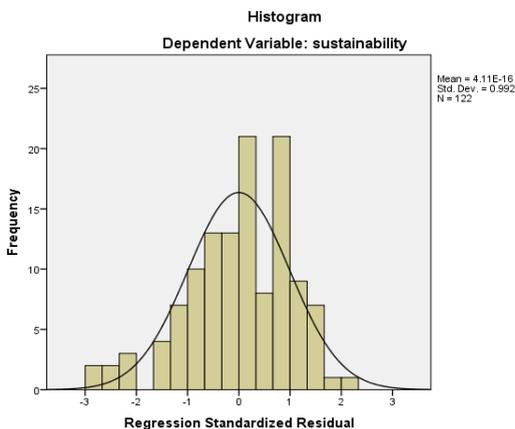
Table 3 indicates that both usage of ICT and Performance have acceptable significant levels at the 95 percent confidence level.

So the regression function is

$$\text{Quality} = 2.832 + 0.126 \text{ NGO} + 0.206 \text{ Organic Structure}$$

The assumptions of Regression model should be checked as well. The first assumption is normality assumption of the residuals

### Normality



Given the figures above it can be concluded that the residuals are normally distributed.

### Autocorrelation

The last assumption to be focused on is autocorrelation assumption. If Durbin Watson test is applied the results below are obtained.

0      dl      du      2      4-du      4-dl      4      d

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dl= 1.59 (from Durbin Watson table)

du= 1.65 (from Durbin Watson table)

4-du =2.41

4-dl= 2.35

Here, our d value of 1.79 is between du (1.59) and 4-dl (2.35) so we don't reject the  $H_0$  which means there is no autocorrelation problem.

### Multicollinearity

Multicollinearity does not seem to be a problem because the VIF figures are 1,028 (less than 10)

### Conclusions

#### Discussion

This study tries to comprehend the linear relationship among Sustainability, Organizational Structure and NGO-NGO relationships within the concept of Non-Governmental Organization (NGOs). The regression equation formulates the linear relationship among the dependent and independent variables. The choices of the participants indicate that one unit change towards becoming more organic in structure (1 unit increase refers to 1 level shift of the opinion of the participants with respect to their agreement on the subject matter) will increase the likelihood of sustainability (Sustainability is conceptualized as the survival of the NGOs within the study) by 0.206 units. By the same token 1-unit increase in NGO-NGO relationships (NGO-NGO relationships refer to the level of closeness to the other NGOs as participation events of the other NGOs, organizing the events together and becoming members of NGO unions like federations and Confederations) will increase the likelihood of sustainability by 0.126 units.

In general, the study concludes that both NGO-NGO relationships and having an organic structure have effects on the likelihood of the sustainability of the non-governmental organizations.

#### Future Research Recommendations

The probable future researchers might focus on different aspects sustainability in the civil society sector and might focus on areas such as environmental dynamism, environmental competitiveness, transparency and strategy in the context of civil society and Non-governmental organizations.

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## Impact of Microfinance on Socio-Economic Conditions of the Borrowers: A Case Study of Akhuwat Foundation (Lahore)

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### Abstract

Akhuwat Foundation is the leading microfinance institution in Pakistan which provides interest free loans for small businesses to the poorest people of society. Since its launch in 2001, it has disbursed a sum of \$110 million to 1.9 million families without any collateral and with a recovery rate of 99.93 %. Such a remarkable achievements by a nonprofit organization makes it a leading interest free (Qarze e Hasna) institution in the world. This study attempts to find the impact of Akhuwat Foundation's microfinance on socio-economic conditions of the borrowers. Based on primary data collected from old and new borrowers, the study analyzes the impact of microfinance on wellbeing of the borrowers' households in terms of their housing conditions, food security, children's education, poverty status, monthly income and expenditures of the borrowers before and after the loan with the help "with or without approach". Moreover, a non-parametric approach is used to test the difference between old and new borrowers in terms of their consumption expenditure, income, poverty status, housing improvement, access to education, and access to medical facilities. Our results show that Akhuwat's loans have significantly improved the conditions of the borrowers in terms of their monthly income, expenditures, access to education/ health, and household assets. The impact was much larger for old borrowers than new borrowers. In the end we concluded that Akhuwat's non-traditional approach of lending to the poor and its model of mutual brotherhood between lenders and borrowers presents great lessons to bring positive change in the society.

**Keywords:** microfinance, Pakistan, poverty

### Introduction

Microfinance<sup>1</sup> structure has been designed to have an aim of giving low income people an easy access to socio-economic services. It gives them an opportunity to get self-employed and bring themselves out of poverty. Microfinance is an important tool to brawl poverty. The institutions of micro-credit are well organized and recognized all around the globe (Latifee, 2003)

The initiation of programs based on micro-credit and Grameen Bank<sup>2</sup> which has created distinctiveness and a new meaning in today's literature of development. Now, it's a movement which has taken place all around the world. According to the Micro-credit Summit, the total output of Micro-credit programs is 54.9 million people. In which 26.8 million are the very poor people when they initiated the plan. Muhammad Yunus<sup>3</sup> stated that at the end of 2002, they had reached the poorest families approximately to 35 million with the help of Micro-credit Programs. Micro-credit is an important aspect towards the alleviation of poverty; it creates chances for people to be self-employed instead of waiting for it to be created. It helps in bringing the poor into income flow and releases them from the clutches of poverty. If institutions give poor the access to credit under suitable arrangement and structure, then they would overcome the poverty and in this way they could bring change not only in one's life but in overall society (Latifee, 2003)

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<sup>1</sup> Muhammad Yunus is the founder of Grameen Bank, formed in 1983 with the purpose of giving small micro-loans to the poor people in Bangladesh.

<sup>2</sup> Dr Amjad Saqib is a medical graduate from King Edward Medical College. Pakistan's highest bureaucratic institution selected him as the elite civil servant of Pakistan in 1985. Throughout his career of civil services, he was recognized as a hardworking and a highly capable civil servant. He resigned from civil service in 2003 to focus on his organization Akhuwat formed in 2001 to make a difference in community.

<sup>3</sup> Non-Random Program placement in well-off regions

Micro-finance is becoming an important instrument to improve the socio-economic conditions of the people and reduce poverty. Variety of micro-finance institutions are working in Pakistan, these institutions include Banks, NGO's and different organizations. Akhuwat Foundation is an example of these institutions; Akhuwat Foundation is established in 2001 by Dr. Amjad Saqib<sup>1</sup>, it is basically working on poverty alleviation by giving interest free loans to the poor to improve their lives economically and socially. It uses mosque/branch office and church to give introduction to the program and credit cheques because it enhances the moral responsibility of the borrowers to return the loan on time. People interested in getting loans come to their branch offices and submit an application. The unit manager checks the applications to see whether the applicant is applicable for the loan or not i.e. is not engaged in any illegal business, lives below the poverty line and has a reliable social investment. When the application is approved by the unit manager, it is forwarded to the branch manager for assessing its technical selection. Then the case is forwarded to loan approval committee comprising of (unit, branch and area managers). This whole process takes 3 weeks, after which disbursement is done. Every borrower is bound to provide two guarantors who give assurance for timely return of loan and monitor the borrowers. If any borrower wants to start a business then the business idea is evaluated to check whether it can give more income than the household expenses so it can be repaid easily. Loan disbursement is done 2-3 times a month in which approximately 150 loaners are given the cheques and it is necessary for every borrower to be accompanied by one guarantor. The repayment of the loan has to be paid by the 7<sup>th</sup> of every month; if it gets late then after 10<sup>th</sup> of that month the unit manager visits the client to give a reminder. Akhuwat Foundation has 29 branches in Lahore working in specific geographical localities. The objective of Akhuwat Foundation is to provide interest free loans to the poor families enabling them to become self reliant. It also provides social guidance, capacity building and entrepreneurial training. Akhuwat Foundation gives 7 different loans to the people which include family enterprise loan, liberation loan, marriage loan, health loan, housing loan, education and emergency loans. At present until 31 May, 2015 total benefiting families are 894,376; total loans distributed to males are 538,750 and females are 355,626 with 99.9 percentage recovery. Akhuwat has 355 branches in the 210 cities and towns of the country. Akhuwat is a unique microfinance model which has been replicated by many institutions but it remains the largest such institution with the disbursed amount of \$110 million. This research studies the impact of Microfinance on socio-economic conditions of the borrowers and inquires about the role of Akhuwat Foundation as a case study.

### **Research Question**

How microfinance provided by Akhuwat Foundation impacts the socio economic conditions (living standards, education of children, poverty alleviation) of borrowers?

### **Objective of the Study**

The main objective of the study is to analyze the impacts of microfinance on socio-economic conditions of the borrowers.

### **Specific Objective.**

- To see the difference between old borrowers and new borrowers in terms of their consumption expenditures, income, food, housing improvement, access to education and medical facilities.

### **Literature Review**

In the last few decades, microfinance has become a popular tool in reducing poverty, particularly after the successful impact of Grameen Bank in Bangladesh. In Yunus (2004) it is concluded that members of the Grameen Bank got improved in their socio-economic conditions like better housing, increased income, better diet conditions with improved nutrition, women empowerment, participation of women in socio-political activities, lesser birthrate and child mortality, improved health, better access to education and consumption on clothing.

There are several ways that have been made to measure the impact of microcredit on poverty reduction, but there is little solid observed data on this issue. One key difficulty in investigating the impact of microcredit is how to assess its contribution to reduce poverty.

### **Non-Randomized Approaches**

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<sup>1</sup> Propensity score matching (PSM) constructs a statistical comparison group by using observed characteristics, that group is based on a model of the probability of participating in the treatment. The propensity score of the members are matched to non-members. Then the mean difference in outcomes of the groups helps in calculating the average treatment effect of the program.

Quite a few studies measure the impact of microcredit by comparing the borrowers of microfinance with a group of people who have no access to microfinance, and that group is known as control group. In majority of the cases, these researches use non-randomized approaches. Initially, changes in the socio-economic conditions of the borrowers of microcredit may not be outcome of microcredit. It is eminent that comparatively rich people have less inclination towards risk as compared to the poor people. This could possibly persuade rich people to apply for microcredit rather than poor people, that is, it creates self selection bias. An ex-post evaluation of income of the groups (rich and poor) in this condition may guide to the wrong conclusion that microcredit has enthused income. Secondly, in order to increase the chances of microcredit to flourish, Microfinance institutions have to decide to expand their activities in reasonably more well-off regions.<sup>1</sup> Evidently, this biases any association between the borrowers of microcredit and the control group (Armenda´riz de Aghion & Morduch, 2005; Karlan, 2001).

The non-randomized approaches used in microcredit studies to measure their impact assessment show diverse evidence. Pitt and Khandker (1998) did a significant study on the impact of microcredit in Bangladesh. They used the survey data of household from 1991- 92 and found that microcredit increases the borrower's consumption expenditure, particularly if women take loans. Khandker (2005) using the panel data for 1991-92 and 1999, examines that the benefit from microcredit is more for the extremely poor borrowers rather than the fairly poor borrowers. Chemin (2008) in his study examines the impact of microfinance and for that used the Bangladesh surveys and propensity score matching<sup>2</sup> technique was applied. Findings of his study revealed that access to microcredit positively impact the child enrollment in schools, expenditures and labor supply.

Copstake et al, (2005) did a study to see the impact of microcredit by using the survey data in association with a rural community banking program but are less confident about its impact. In Peru 2002, Promuc used two different evaluation methods to find the impact of microcredit, these evaluation methods were qualitative in-detail interviews and the difference in difference (DID) approach<sup>3</sup>. The findings were that instead of the core poor, it is the more well off poor who take advantage from the microcredit institutions.

### **Randomized Approaches**

Lately, microcredit studies have shifted to randomized approaches due to some flaws in the methods of non-randomized approaches. These microcredit studies use two groups that are control group<sup>4</sup> and target group<sup>5</sup>. Results from the randomized approaches studies are mixed; they suggest stronger outcomes for groups that are not usually targeted by microcredit institutions. Randomized approach is used by Coleman (1999, 2006) one of the first researcher to use this approach to evaluate the impact of microcredit. In this study he used an event, that is, an introduction of microcredit in the Northeastern part of Thailand with unexpected delays by the microfinance program. His analysis was based on the quasi-experimental setting, it showed that microcredit has assenting impact on only well off villagers. Karlan and Zinman (2009) in Manila, Philippines studied the impact of microfinance on small business investment. Their results showed a dispersed picture but an important result was increased profits from small business especially for higher-income capitalist and males. They also found out some prominent results which showed that small businesses replace formal insurance into informal insurance and labor into education. Banerjee et al, (2009) assessed the impact of opening of branches of MFI's in Hyderabad's slums and out of 104 slums, at random half were selected for opening a new branch. Results showed the impact of introducing microcredit to be very reasonable.

Randomized approaches and their use has been criticized (Deaton, 2009; Rodrik, 2008). Criticism lifted the fact that one microcredit experiment's result cannot be universalized. For example, if a microcredit program works in some particular city at some point in time, that doesn't mean it will work in the same way elsewhere. The supporters of randomized approaches give answer to this dilemma, which is to repeat the experiments to see whether they work in different context. It is uncertain that after how many times it is safe to conclude that experiment works. Additionally, to run the experiments again and again are time consuming and costly and incentive for researchers is also missing. Easterly (2009), Rodrik (2008), Roodman and

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<sup>1</sup> Difference in Difference technique is used to differentiate between income and other variables of interest for the borrowers and non-borrowers in target locales and with the difference in income and other variables of interest in control locales

<sup>2</sup> Control group doesn't have access to microcredit and they are known as non borrowers.

<sup>3</sup> Target group has access to microcredit and they are known as the borrowers.

<sup>4</sup> Tsunami in Srilanka in 2004

<sup>5</sup> One group was consisted of the borrowers who were affected by the tsunami disaster and the other group was consisted of the borrowers who were not affected by the tsunami disaster.

Morduch (2009) conclude, both randomized and non-randomized approaches are useful to examine the impact of microfinance and these approaches have strengths and weaknesses.

Becchetti and Castriota (2011) examine the impact and effectiveness of microcredit as recuperation after a natural disaster. Researchers evaluated the impact of microcredit loans in serving people who were affected by the disaster.<sup>1</sup> To examine the impact of microcredit on the well-being of people, researchers used quasi-natural experiment which created two randomly chosen groups.<sup>2</sup> Data of 305 randomly chosen microcredit borrowers was collected. Becchetti and Castriota explained that before the disaster there was convergence in income of the borrowers due to microcredit loans. However, the process of convergence in income was disrupted due to the disaster, but microcredit loans were helpful in narrowing down the income gap between the borrowers who got affected and who were not. Microcredit loans positively contributed in the convergence of real income but it was not observed for donations, governmental subsidies and grants. This study reveals that there is a strong proof for the usefulness of microcredit as a recovery tool and this is a very comprehensive study on the role of microcredit in post-disaster conditions.

A new methodology has been introduced by McIntosh, Villaran, and Wydick (2011) in their study to see the impact of microcredit on the welfare of the borrowers. The methodology was Retrospective analysis of Primary Events<sup>3</sup> nearby to treatment. This technique assesses the changes in the household's welfare due to a treatment i.e. access to microcredit; treatment is based upon a cross-sectional study consisting of questions related to primary events in the history of the borrowers. To evaluate the impact of a treatment, the researchers can make a retrospective panel data set by using the relative questions in context of those events. The researchers applied this methodology by using survey questionnaires among 218 Guatemalan households that obtained microcredit loans in different times. They examined the effects of microcredit on dwelling expansion. The results of the analysis showed the boosts in the probability of dwelling expansion but these outcomes were rather modest. Researchers can utilize this new methodology to see the impact of microcredit, since it does not require costly and lengthy multiple cross-sectional studies, used in impact studies.

## **Research Methodology**

### **Unit of Assessment and Tools of Study**

In this study household is used as a unit of assessment and data is collected with the help of structured questionnaire and this study has a cross-sectional design. Household is the most common unit of assessment.

### **Survey Method**

In this research old borrowers are compared with the new borrowers. The old borrowers with two or more than two years experience with the Akhuwat Foundation are treated as a treatment group, while the new borrowers are treated as a control group. The comparison of the old and new borrower's helps to control the selection bias; underlying principle is that these two groups will not differ in their entrepreneurial spirit.

### **Cluster Sampling and Systematic Sampling**

Akhuwat Foundation has 29 branches in Lahore which are geographically dispersed, so this research is using cluster sampling and systematic sampling. Cluster is formed on the basis of old and new Lahore. Data is collected from 13 branches of Akhuwat Foundation and from every branch every 5<sup>th</sup> member is been selected from the register on the basis of systematic sampling. The implication of this technique counters any chance of bias in the samples to a significant level.

### **Sample Size**

This research has a sample size of 105 borrowers from 13 branches out of 29 branches of Akhuwat Foundation in Lahore. Cross-sectional study with two groups of borrowers, with a sample size of 60 for old borrowers and 45 for new borrowers is been used in this research.

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<sup>1</sup> Any event in the history of household's life that is memorable, discrete and vital to their welfare.

<sup>2</sup> This approach is heavily derived from (Shirazi & Khan, 2009)

<sup>3</sup> J. Thomai, *Leksikologjia e gjuhës shqipe*, Tiranë, 2006, p. 332

### With or Without Approach

This model helps us to find the net impact of microfinance on the alleviation of poverty, income, expenditures and assets.<sup>1</sup>

$$P^* = (Pb_1 - Pb_0) - (Pnb_1 - Pnb_0)$$

Where,

$P^*$  represents the net impact of microfinance on the poverty condition of borrower households.  $Pb_1$  represents the poverty condition of the old borrower households after taking the loan and  $Pb_0$  represents the poverty condition of the borrowers before taking the loan.  $Pnb_1$  shows the poverty condition of the new borrower households after taking the loan and  $Pnb_0$  shows the poverty condition of the new borrowers before taking the loan.

### Descriptive Analysis of Data

#### Economic Impact of Microfinance on the Borrowers

##### Targeting of the microfinance and its Impact on Borrowers

This section studies the objective of the microfinance and its impact on the borrowers. For this purpose samples of old borrowers (target group) and new borrowers (control group) have been taken into account and decomposed into the categories of poor and non-poor by using the poverty lines.

**Table 1: Poverty Status of the Old Borrowers Before and After Loan**

	Poverty Line Rs(3150 per HH)		Poverty Line Rs(3150 per HH)		T1
	Old Borrowers (Before Loan)		Old Borrowers (After Loan)		% Difference
Status	Households (HH)	% of HH	Households (HH)	% of HH	
<b>Poor</b>	49	81.7	22	36.7	-45
<b>Non Poor</b>	11	18.3	38	63.3	45
<b>Total</b>	60	100	60	100	

The above table shows that 81.7% of the old borrowers were poor before taking the loan and 18.7% were non-poor. While, on the other hand 36.7% of the old borrowers are found to be poor after taking the loan and 63.3% are found to be non-poor. The main objective of Akhuwat Foundation is to get the poor out of poverty by giving them small loans through their microfinance program. However, microfinance loans from Akhuwat Foundation have reduced the number of poor households by 45% (i.e from 81.7% to 36.7%) and they shifted to non-poor status. The results support the major objective of the Akhuwat Foundation as the number of non-poor has increased by 45% (i.e from 18.3% to 63.3%).

**Table 2: Poverty Status of the New Borrowers Before and After Loan**

	Poverty Line Rs(3150 per HH)		Poverty Line Rs(3150 per HH)		T2
	New Borrowers (Before Loan)		New Borrowers (After Loan)		% Difference
Status	Households (HH)	% of HH	Households (HH)	% of HH	
<b>Poor</b>	30	66.7	20	44.4	-22.3
<b>Non Poor</b>	15	33.3	25	55.6	22.3

<sup>1</sup> H. J. Franz, *Lexikographie*, Königstein, 1985, p. 369

<b>Total</b>	45	100	45	100
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The above table shows that 66.7% of the new borrowers were poor before taking the loan and 33.3 % were non-poor. While, on the other hand after taking the loan poor households have decreased from 66.7% to 44.4% and non-poor households have increased from 33.6% to 55.6%. The main objective of Akhuwat Foundation is to get the poor out of poverty by giving them small loans through their microfinance program. However, microfinance loans from Akhuwat Foundation have reduced the number of poor households by 22.3% (i.e from 66.7% to 44.4%) and they shifted to non-poor status. The results support the major objective of the Akhuwat Foundation as the number of non-poor has increased by 22.3% (i.e from 33.3% to 55.6%).

**Table 3: Net Impact of Akhuwat Microfinance Program on Poverty Status of the Borrowers**

Status	Last Column of Table 4.9 (T1)	Last Column of Table 4.10 (T2)	Difference (T1-T2)
<b>Poor</b>	-45	-22.3	-22.7
<b>Non-Poor</b>	45	22.3	22.7

The result of the above table shows the net impact of Akhuwat microfinance program on poverty status of the old and new borrowers. This table is created by taking difference of the last column of table 4.9 (T1) and last column of table 4.10 (T2). The difference of the difference in the last column of the above table reveals that microfinance has overall decreased the poverty about 22.7%

#### Impact on Households Income

The table below shows the impact of microfinance on borrower's income. It shows the difference in the average income of the old borrowers (poor and non-poor) and the new borrowers (poor and non-poor).

**Table 4: Difference in Average Income of the Old and New Borrowers**

	Old Borrowers (Target Group)			New Borrowers (Control Group)			% Diff of the Diff
	Before Loan	After Loan	%Diff	Before Loan	After Loan	%Diff	
<b>Mean</b>							
<b>Poor</b>	12644.90	15409.09	21.86	12616.67	15250	20.87	0.99
<b>Non-Poor</b>	25681.82	28631.58	11.48	28700	30160	5.09	6.39

The above table shows that the income of the poor old borrowers has increased by 21.86%. While, the income of the non-poor old borrowers has increased by 11.48%. Similarly, the income of the poor new borrowers has increased by 20.87% and income of the non-poor new borrowers has increased by 5.09%. The last column shows the net impact of microfinance on income of the poor old and new borrowers, which is about 1% (0.99%) and shows very marginal increase. However, the net impact of microfinance on income of the non-poor old and new borrowers is about 6.4%.

#### Impact on Households Assets

At the household level, one of the prominent indicators of microfinance intrusion is the change in household's asset ownership. It also indicates the improvement in households' wealth. Assuming the fact that intervention of microfinance in household's lives increases their income and their capacity to have more assets.

**Table 5: Household Assets and Change in Asset of All Borrowers**

Item	Before Loan	After Loan	Percentage Change
<b>Motorcycle</b>	70.5%	82.9%	12.4%

<b>Livestock</b>	0%	1%	1%
<b>Washing Machine</b>	79%	85.7%	6.7%
<b>Refrigerator</b>	77.1%	82.9%	5.8%
<b>Sewing Machine</b>	78.1%	84.8%	6.7%
<b>TV</b>	89.5%	94.3%	4.8%
<b>Fans</b>	100%	100%	0%
<b>Air Cooler</b>	8.6%	9.5%	0.9%
<b>Air Conditioner</b>	8.6%	8.6%	0%

Table shows the ownership of the assets before and after the intervention of microfinance. The above table reveals that more than 70% of the households had assets like motorcycle, washing machine, refrigerator, sewing machine, TV, and fans before taking the loan. Less than 10% of the households had assets like air cooler and air conditioner before taking the loan. Some of the common assets before taking the loan were washing machine and sewing machine (79%, 78.1%), TV (89.5%), motorcycle (70.5%) and refrigerator (77.1%), while the few households had air cooler (8.6%), air conditioner (8.6%). The survey results show that ownership of the assets by households has increased after taking loan from Akhuwat Foundation. Ownership of motorcycle, washing machine, refrigerator, sewing machine, TV, and air cooler increased from 70.5% to 82.9%, 79% to 85.7%, 77.1% to 82.9%, 78.1% to 84.8%, 89.5% to 94.3% and 8.6% to 9.5%.

The last column shows the percentage change the assets and it shows that there is a positive growth in the assets of the borrowers. There is a positive growth in assets like (motorcycle, livestock, washing machine, refrigerator, sewing machine, TV and air cooler) except for fan and air conditioner. Thus, it shows that microfinance intervention by Akhuwat Foundation has a positive impact on the household's asset ownership.

**Table 6: Change in Assets of Old and New Borrowers**

Item	Old Borrowers N=60			New Borrowers N=45			Percentage Diff of Diff
	Before Loan	After Loan	% Change	Before Loan	After Loan	% Change	
<b>Motorcycle</b>	60%	81.7%	21.7%	84.4%	84.4%	0%	21.7%
<b>Livestock</b>	0%	1.7%	1.7%	0%	0%	0%	1.7%
<b>Washing Machine</b>	75%	86.7%	11.7%	84.4%	84.4%	0%	11.7%
<b>Refrigerator</b>	70%	80%	10%	86.7%	86.7%	0%	10%
<b>Sewing Machine</b>	81.7%	86.7%	5%	73.3%	82.2%	8.9%	-3.9%
<b>TV</b>	85%	93.3%	8.3%	95.6%	95.6%	0%	8.3%
<b>Fans</b>	100%	100%	0%	100%	100%	0%	0%
<b>Air Cooler</b>	8.3%	10%	1.7%	8.9%	8.9%	0%	1.7%
<b>Air Conditioner</b>	3.3%	3.3%	0%	15.6%	15.6%	0%	0%

The above table shows the percentage change in the possession of the assets by the old and new borrowers. The percentage change table shows the positive change in the growth of the assets of the old borrowers, while on the other hand it doesn't show any percentage change in the assets of the new borrowers. However, the last column shows the net impact of the microfinance on the growth of assets of the old and new borrowers. It shows the positive net impact of

microfinance on the growth of assets of the borrowers except for sewing machine. The above results show that microfinance does help in increasing the assets of the borrowers.

### Impact on Household's Consumption Expenditures

The table below shows the impact of microfinance on borrower's consumption expenditures. It shows the difference in the average monthly consumption expenditures of the old borrowers (poor and non-poor) and the new borrowers (poor and non-poor).

**Table 7: Difference in Average Consumption of the Old Borrowers and New Borrowers**

	Old Borrowers (Target Group)			New Borrowers (Control Group)			% Diff of the Diff
	Before Loan	After Loan	%Diff	Before Loan	After Loan	%Diff	
<b>Mean</b>							
<b>Poor</b>	11683.673	15568.182	33.25	13583.333	14875.000	9.51	23.74
<b>Non-Poor</b>	17045.454	18684.210	9.61	19333.333	18200.000	-5.86	15.47

The above table shows that the average monthly consumption expenditures of the poor old borrowers have increased by 33.25%. While, the average monthly consumption expenditures of the non-poor old borrowers have increased by 9.61%. Similarly, the average monthly consumption expenditures of the poor new borrowers have increased by 9.51% and average monthly consumption expenditures of the non-poor new borrowers has decreased by -5.86%. The reason behind this decrease is that number of non-poor new borrowers has reduced after the loan so that is why their average consumption expenditures also reduced after loan. The last column shows the net impact of microfinance on average monthly consumption expenditures of the old and new borrowers, the net average monthly consumption expenditures of the poor old and new borrowers is about 23.74% and shows very significant increase. However, the net impact of microfinance on average monthly consumption expenditures of the non-poor old and new borrowers is about 15.47%.

### Conclusion

The impact of microfinance on socio-economic conditions of the borrowers has been investigated in this study. This study attempted to find the impact of microfinance services by Akhuwat Foundation on household's living standard. This study has used 'with or without' approach. The important results of the study are as follows.

- The results of the study show that Akhuwat Microfinance Program has increased the income of the poor old and new borrowers by 21.86%, and 20.87%; and the income of the non-poor old and new borrowers by 11.48%, and 5.09% respectively.
- Akhuwat Microfinance Program has increased the average monthly consumption expenditures of the poor old and new borrowers by 33.25%, and 9.51%; and average monthly consumption expenditures of the non-poor old by 9.61%. It decreased the average consumption expenditures of the non-poor new borrowers by 5.86%.

### Limitations and Future Prospects

- The study could not use longitudinal data.
- At one or two places, presence of Akhuwat Foundation representative was necessary, which could make opinions biased.
- This study has collected data from the branches of Akhuwat Foundation based in Lahore due to lack of resources. Future researchers can extend the work on Akhuwat Foundation by taking sample from all major cities of Pakistan.
- A comparative study could be done by taking into account the role of other microfinance institutions in Pakistan as well.

### Policy Recommendations

The results of the study show that microfinance has a positive impact on socio-economic conditions of the borrowers. There are some recommended policies measures that can be considered.

- Government should give their support to other microfinance institutions in Pakistan to give interest free loans like Akhuwat Foundation.
- There were few dissatisfactions regarding group loaning, Akhuwat Foundation should give due attention and listen to their recommendations.
- There is a dire need of more microfinance institutions in Pakistan to eradicate poverty and improve socio-economic condition of the people. Government of Pakistan should pay attention towards it.

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## Satisfying the Housing Needs of Disabled Citizens in North-Eastern Poland

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### Abstract:

Since disabled people have lower income and their geographical mobility is lower, they often tolerate inappropriate housing conditions, i.e. conditions that do not suit the type and degree of their disability. This article presents the results of interviews conducted among people affected by various degrees of disability. The main aim of the study was to determine the housing needs in regard to quality and to the extent to which the needs are satisfied by people living in the north-east of Poland. The first stage of the study involved identification of the factors that determine the quality of housing that satisfies the basic needs and barriers which prevent performing everyday activities. Subsequently, a multidimensional analysis was conducted to assess the extent to which the housing needs are satisfied in groups identified by the degree of disability. The synthetic measures and distance-related indexes suggested the existence of large diversity in the level of satisfaction of housing needs in the groups of disabled people under study.

**Keywords:** housing needs, disabled people, multidimensional analysis

### 1. Introduction

Measures aimed at providing equal opportunities, including improvement of housing conditions, are an important aspect of social life in the rapidly changing socioeconomic environment. The housing standards of disabled people are not comparable to those of the rest of the population. A home, which is the central point of their existence (Disabled..., 2012), cannot be an obstacle on the road to a life of dignity. The everyday life of a disabled person is difficult. Therefore, in the author's opinion, it is extremely important to identify the housing needs of this social group. In such cases, a subjective assessment of the extent to which one's housing needs are satisfied is very important. Hence, a particular weight must be assigned to examining the current housing conditions of the disabled and identifying the expectations and needs in this regard, both conscious and otherwise, and indicating the barriers that people with disability of various kinds must overcome at their flats and their surroundings. It seems to be of fundamental importance to evaluate the willingness of the disabled to remove the barriers, which is a key factor in regard to improvement of their housing conditions. It is both important and topical to act with a view to improving the housing conditions due to – inter alia – an increasing number of disabled people. The number of disabled people is increasing – according to the WHO<sup>1</sup> – due to the population ageing and increasing incidence of chronic diseases, such as diabetes, cardiovascular diseases, cancers and mental disorders. Therefore, it is of key importance how disabled people are perceived by local communities. It is difficult to define disability because it is difficult to define a border between a person who is not fully able and one who is fully able, as well as to determine the burden of disability. However, it must be stressed that not every dysfunction of the body constitutes a disability. Limitations suffered by disabled people vary and depend on the type and degree of damage to various organs of the body or simultaneous damage to several organs. Permanent or temporary limitations or even an inability to perform activities cover

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<sup>1</sup> It is important to point out, at this point, that the aforementioned Agreement establishes the following: "Minors who have left FARC-EP camps since the beginning of the peace talks, as well as those who leave until the end of it, will be object of special attention and protection measures that will be discussed in the National Council of Reintegration in the framework of the Commission of Follow-up, Impulse and Verification of the Implementation of the Final Agreement (CSIV)... To these minors will be granted all the rights, benefits and privileges established for the victims of the conflict, as well as those derived from their process of reincorporation in the terms contemplated in this Final Agreement ... "(High Commissioner for Peace, 2016, p. .74). This means that the boys and girls who belonged to the guerrilla group and leave their ranks, will no longer have the status of ex-combatants, but will be considered victims of the conflict. This point has a fundamental importance for the process of reconstruction of the social fabric, because it will enable the reparation of these children who were born in the middle of, or were dragged into, that armed conflict, and that is why they have precisely the connotation victims

all the aspects of life, which contributes to the specificity of satisfying many needs, including housing needs. A home where one satisfies one's needs, not only the basic needs, but also higher needs, becomes an asylum (Łaszek, 2004). When the higher needs are satisfied, a person can develop intellectually, emotionally and socially (Gawron, 2012). However, it must be emphasised that the housing needs based on subjective determination of one's housing requirements and an individual understanding of the standard depend on the financial capabilities of households. Hence, part of society expects the state to aid in satisfying their housing needs and it is the duty of the authorities to eliminate unjustified differences in accessibility of homes and decent quality of life.

A diagnosis of the housing conditions of disabled people helps to determine the actual extent to which the housing needs specific to this group of people are satisfied, while the existing gap in the knowledge on the issue indicates the need for further studies. This article presents the results of interviews conducted among people affected by disability to various degrees. The main aim of the study was to determine the housing needs in regard to quality and the extent to which the needs are satisfied by people living in north-eastern Poland.

## 2. Specific housing needs of disabled people

The issue of satisfying one's housing needs is common and is faced by everyone and it remains valid throughout everyone's life. The need to have a home is – along with the need for food and clothing – the most important of human needs. Housing market researchers have stressed that the level of satisfying the housing needs affects all aspects of human life because the proper housing conditions enable one to fulfil one's life goals, both on a personal and a professional level (Foryś, 2011, Gazińska 2006, Szelągowska 2011, 2012, Zapotoczna 2014). In the quantitative dimension, housing needs determine the number of houses necessary for independent residence. The qualitative dimension determines the physical characteristics, such as the size of a flat, but mainly its spatial and functional layout and the quality standard. Ensuring the optimum conditions for satisfying one's housing needs should enable disabled people to satisfy all their needs, regardless of their psychophysical condition. The following characteristics gain particular importance in the case of disabled people: freedom, comfort, independent use, self-fulfilment, security and social integration. All of these are components of the quality of life. Subjective needs which arise from individual preferences result in different expectations of each disabled person. Moreover, it is extremely important to be able to make qualitative changes in order to adapt a flat to the current needs of its user. Each flat should be designed so that it can be adapted to the disability of its resident. Adaptation of the functional layout of a flat should depend on the type and degree of disability. Elements of special adaptation of houses and flats to the needs of the disabled include<sup>1</sup>:

1) in regard to accessibility of external area;

a) providing sufficient space for moving in wheelchairs,

b) adjusting the height of kerbs and steps,

c) proper signs, position and size of parking places, with anti-slippery surface and without high kerbs,

2) in regard to accessibility of buildings:

a) adapting building entrances by installing doors of the right parameters which can be accessed from the ground level with the use of ramps and steps, lifts or elevators; the surface of these devices should be made of anti-slippery material;

b) ensuring sufficient space before and behind a ramp to enable free manoeuvring of a wheelchair and opening the door by a disabled person,

c) touch signs on steps and contrast signs along ramps and on landings,

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<sup>1</sup> See for example, Dale Jamieson, "When Utilitarians Should Be Virtue Theorists," Chapter 17 in Stephen M. Gardiner, Simon Caney, Dale Jamieson and Henry Shue (eds.), *Climate Ethics: Essential Readings* (Oxford: Oxford University Press, 2010) and *Climate Matters: Ethics in a Warming World* (New York: W. W. Norton & Company, 2012). For a critical discussion, see Walter Sinnott-Armstrong, "It's Not My Fault: Global Warming and Individual Moral Obligations," Chapter 18 in Stephen M. Gardiner, Simon Caney, Dale Jamieson and Henry Shue (eds.), *Climate Ethics: Essential Readings* (Oxford: Oxford University Press, 2010); and Jessica Nihlén Fahlquist, "Moral Responsibility for Environmental Problems—Individual or Institutional?," *Journal of Agricultural Environmental Ethics* 22 (2009), 109–124.

- d) adaptation of stairs by ensuring appropriate height and width of steps and the number of steps,
  - e) fitting out lifts with appropriate control panels with sound and light signalling of a lift stop,
  - f) fitting out doors with ergonomic handles and hand rails,
  - g) installing entry-phones in the roofed area at an appropriate height and fitting out with traditional keyboard (preferably numerical),
  - h) installing bells and light switches at an appropriate height,
  - i) appropriate position and size of parking spaces with suitable access road,
- 3) in regard to accessibility of a flat:
- a) ensuring the appropriate size and shape of rooms in a flat, with sufficient passages and space for manoeuvring as well as the floors enabling easy movement,
  - b) adaptation of doors,
  - c) fitting windows at an appropriate height, with appropriate opening handles;
  - d) equalising the floor level in rooms,
  - e) fitting out doors with ergonomic handles or sliding or folding doors,
  - f) installing switches and sockets at the appropriate height, of the appropriate type and colour,
  - g) designing the kitchen in accordance with the rules of ergonomics, with the minimum manoeuvring area, and fitting it out with a set of cupboards of the appropriate height and width of the board and kitchen appliances with appropriate access to them,
  - h) appropriate position of the bathroom and equipping it properly, with the minimum manoeuvring area, while observing the rules of ergonomics, functionality and safety, with anti-slippery floor;
  - i) fitting out the bathroom with devices that enable their safe use and installing handles, lift, seat, etc.;
  - j) placing the bathroom close to the bedroom;
  - k) applying proper lighting as well as sound or light signalling devices;
  - l) fitting out with appropriate smelling elements, furniture and other equipment, deployed properly;
  - m) fitting out with various alarm systems (e.g. wireless, cable, photo cells).

### 3. Methodology

This study was taken up because of the need for examining the extent to which the housing needs of people with various level of disability are satisfied and for identifying the barriers with which they have to contend in their flats and in the surroundings. The main aim of the study was to determine the housing needs in regard to quality and the extent to which the needs are satisfied by people living in north-eastern Poland (Warmińsko-Mazurskie Voivodship). A diagnosis of the housing conditions of disabled people, which provided the basis for determination of the actual extent to which the housing needs specific to this group of people are satisfied, was an important study area. Since at least two definitions of disability are applied in Poland, the study was conducted on people with valid disability certificates, issued by disability evaluation boards. Such certificates provide the grounds for applying for and obtaining special aid and privileges.

A number of research methods were used in the study. The desk research technique was applied in order to gather the necessary information. The analysis of secondary data was a starting point for field research. The first stage of the field research involved in-depth interviews with 10 representatives of entities conducting activities for disabled people. In this research, we used objectified cases to specify and develop detailed issues related to housing needs and the improvement opportunities regarding housing conditions. The second stage involved direct interviews with 148 disabled people. The group under study was divided according to the degree of disability, i.e. group 1 - 23 people with mild disability, group 2 - 80 people with moderate disability and group 3 - 45 people with severe disability.

The data were used to identify the factors that determine the quality of housing that satisfies the basic needs and barriers which prevent performing everyday activities. The last stage of the study involved comparing the extent to which the housing needs are satisfied and the degree of satisfaction of the interviewees with their housing conditions and to their willingness to change the place of residence.

The synthetic method was used to evaluate the housing needs. Owing to the WAP multidimensional comparative analysis, a sizeable set of variables was replaced with one – synthetic variable. A typical measure, proposed by Hellwig (1969), was used in the article; it is usually applied in empirical studies and it belongs to a group of standard-based methods. The groups of disabled people under study made up a 3-item set  $\Omega$  of so-called taxonomic operational units described with 15 diagnostic variables, which were based on data obtained in the survey. The taxonomic synthetic index of the level of satisfying the housing needs was calculated from the formula:

$$D_i = 1 - \frac{c_{i0}}{c_0} \quad (1)$$

where  $c_0 = \overline{c_0} + 2s_0$

with:

$\overline{c_0}$  - mean value of the calculated distances  $c_{i0}$

$s_0$  - standard deviation of the distance  $c_{i0}$ .

Destimulants were replaced with stimulants, which is why the values of the index lie within the range of [0,1]. The closer the value of the measure to 0, the lower the level of satisfying the needs in the group.

Subsequently, the distance formula proposed by Roeske – Slomka (1998) was used to calculate the distance of satisfying housing needs in the 3 groups of disabled people under study. The distance indices were calculated from the formula:

$$d_{ir} = \left[ \left( \frac{x_{ij}}{x_{\min j}} - 1 \right) : \left( \frac{x_{\max/\min j}}{x_{\min j}} - 1 \right) \right] \cdot e_{ir} \cdot 100 \quad (2)$$

where:

$x_{i,j}$  - so-called empirical level of satisfying the i-th need in a given population,

$x_{\min j}$  - the minimum level of satisfying the i-th need in a given population,

$x_{\max/\min j}$  - the optimum level of satisfying the i-th need, with: the lowest value of the i-th variable in a given group of disabled people, - for variables which are stimulants or the highest value of the i-th value in a given group, - for variables which are destimulants,

$e_{ir}$  - the index of homogeneity of distribution of satisfying the i-th need in a given population,

The values of the distance index lie within the range of  $d_{ij} \in [0, 1]$ . The distance index  $d_{ij}$  takes the value of 0 for the  $j$ -th group, in which the given feature  $x_i$  was achieved to the minimum extent. It does not mean that  $x_{ij}$  was equal to 0, but that the distance that the given group of disabled people has to cover to reach the maximum level (for the objects under study rather than for hypothetical standards) is 100%. On the other hand, the value of 1 is taken by an index which corresponds to a group of disabled people with the highest value of feature  $x_i$  assuming that  $e_i = 1$ , i.e. the distribution of feature  $x_i$  is completely homogeneous. It must be emphasised that  $d_{ij}=1$  (100%) will mean that the  $j$ -th group can be taken as the standard with respect to a given feature  $x_i$  in regard to satisfying the housing needs.

### 3.1 Measure of housing needs of disabled people

The basis for evaluation of the housing needs was made up of variables whose construction was based on data obtained in a direct interviews with disabled people, their families or carers living in the same household. An analysis of the housing conditions of disabled people living in the area under study helped us to identify the technical and spatial parameters of evaluation of the residential space and architectural barriers present in the surroundings of a house and in the residential space, which affect the meeting of housing needs and, in consequence, the quality of life. The diagnostic data accumulated in the study were categorised based on the coefficients of variation (the coefficient of variation for the  $i$ -th variable was higher than 10%), coefficients of correlation (strongly correlated variables were discarded) and standard deviation. Subsequently, the selected set of variables was arranged by standardisation in order to make it comparable. Ultimately, a set of 15 variables was obtained which describe different areas of evaluation of the extent to which housing needs are satisfied.

- *the building entrance and surroundings:*

- $x_1$  % of buildings at whose entrances there are architectural barriers, e.g. too high kerbs, damaged or no pavements.
- $x_2$  % of buildings at whose entrances there are no ramps or driveways.
- $x_3$  % of buildings near which there are no parking spaces for the disabled.
- $x_4$  % of buildings near which there are improper surfaces (e.g. not hardened, uneven, slippery, such that make movement difficult).

- *space inside a multi-family building:*

- $x_5$  % of flats which are not easily accessible to disabled people as the passages within them are not adapted to their disability (small landings, no lift or platform);

- *residential space:*

- $x_6$  % of flats with thresholds between rooms, which hinder moving around the flat.
- $x_7$  % of flats in which the type of floor was not adapted to the needs of disabled people(e.g. no anti-slippery floor).
- $x_8$  % of flats in which doors are not adapted to the need of disabled people who live in them.
- $x_9$  % of flats in which the type and position of door handles were not adapted to the disability of the people who live there.
- $x_{10}$  % of flats in which the type and method of door opening was not adapted to the disability of the people who live there.
- $x_{11}$  % of flats in which the type and position of switches and sockets was not adapted to the disability of the people who live there.
- $x_{12}$  % of flats in which the area of rooms in the flat (bathroom, kitchen, bedroom, study) was not adapted to the disability of the people who live there.
- $x_{13}$  % of flats which were not fitted out with appropriate devices enabling one to use a bathroom safely and freely (e.g. type and positioning the bathroom facilities, handrails).
- $x_{14}$  % of flats in which furniture (cupboards, table, household appliances) was not positioned functionally and not adapted to the disability of the people who lived in them.
- $x_{15}$  % of flats with a wrong position of the bedroom relative to the bathroom.

## 4. A multidimensional analysis of satisfying housing needs

### 4.1 The level of satisfying the housing needs

Considering the fact that the population of disabled people is not homogeneous and requires a separate approach to each type of disability (various types of disability are associated with various issues and barriers), the degree to which housing needs are satisfied was evaluated for the three groups identified by the degree of disability, i.e. mild, moderate and severe. Subsequently, the groups under study were arranged according to a synthetic measure of satisfying the housing needs  $d_i$  in order to compare the extent to which the housing needs are satisfied.

Owing to the synthetic approach to measure  $d_i$ , which cannot be determined directly, it could be regarded as a measure of satisfying the housing needs of disabled people who live in the north-east of Poland. The measure was constructed while

taking into account the main areas of evaluation of housing conditions made by disabled people. A detailed construction of the index was presented in the study methodology. The values of measure  $d_i$  calculated for various groups are shown in Table 1.

Table 1. Values of the synthetic measure

Degree of disability/Group	X <sub>1</sub>	X <sub>2</sub>	X <sub>3</sub>	X <sub>4</sub>	X <sub>5</sub>	X <sub>6</sub>	X <sub>7</sub>	X <sub>8</sub>	X <sub>9</sub>	X <sub>10</sub>	X <sub>11</sub>	X <sub>12</sub>	X <sub>13</sub>	X <sub>14</sub>	X <sub>15</sub>	$d_i$	Rank
People with mild disability	26.09%	47.83%	17.39%	21.74%	26.09%	34.78%	30.43%	13.04%	13.04%	13.04%	8.70%	21.74%	43.48%	21.74%	21.74%	<b>0.701</b>	<b>1</b>
People with moderate disability	31.25%	43.75%	32.50%	28.75%	46.25%	36.25%	33.75%	10.00%	6.25%	8.75%	8.75%	20.00%	61.25%	13.75%	7.50%	<b>0.550</b>	<b>2</b>
People with severe disability	44.44%	57.78%	55.56%	44.44%	48.89%	44.44%	51.11%	24.44%	11.11%	31.11%	17.78%	28.89%	62.22%	33.33%	31.11%	<b>0.221</b>	<b>3</b>

Source: the author's calculations

The synthetic index of satisfying housing needs was the highest in the group with mild disability (0.701) and the lowest – in the group with severe disability (0.221). It can be seen from the values of the index that the phenomenon is highly diverse. A small value of the synthetic measure (0.221) for people with mild disability indicates that their housing needs are satisfied to a small extent.

From the perspective of the variables taken for the study, the number of people with a good opinion on how their housing conditions are adapted to their disability was the greatest in the group with mild disability and the smallest - in the group with severe disability. The value of 9 out of 15 variables of housing conditions assessment (X<sub>1</sub>, X<sub>3</sub>, X<sub>4</sub>, X<sub>5</sub>, X<sub>6</sub>, X<sub>7</sub>, X<sub>11</sub>, X<sub>12</sub>, X<sub>13</sub>) was the smallest in the group of people with mild disability. This means that the percentage of people in this group in whose opinion their housing conditions were adapted quite well in the areas described by these variables was the highest. In consequence, in their opinion their housing needs were satisfied to a considerable extent. On the other hand, the values of 14 out of 15 variables taken for an assessment of the extent to which housing needs are satisfied were the highest in the group with severe disability. This means that the percentage of people in this group with a low opinion on the adaptation of the surroundings of the buildings and of the flats to their disability was the highest in nearly all of the areas (except x<sub>9</sub>).

#### 4.2 Distance of satisfying the housing needs

A multidimensional comparative analysis of the distance of satisfying the housing needs was conducted in order to compare the extent to which housing needs are satisfied in groups of people with different degrees of disability. The values of variables described in the section on the measures of housing needs of disabled people were taken characteristics of different areas of satisfying the needs. The distance formula is presented in detail in the methodology section. The distance indices of satisfying the housing needs in the groups of disabled people under study are shown in Table 2.

Table 2. The distance indices of satisfying the housing needs

Diagnostic variables	Distance index of satisfying need $d_i$			$d_i$
	People with mild disability	People with moderate disability	People with severe disability	
X <sub>1</sub>	27.36%	32.77%	19.24%	<b>26.46%</b>
X <sub>2</sub>	55.65%	50.91%	42.14%	<b>49.57%</b>
X <sub>3</sub>	90.29%	48.32%	28.27%	<b>55.62%</b>
X <sub>4</sub>	21.77%	28.79%	14.08%	<b>21.55%</b>
X <sub>5</sub>	22.88%	40.57%	40.57%	<b>34.68%</b>
X <sub>6</sub>	38.55%	40.18%	31.44%	<b>36.73%</b>
X <sub>7</sub>	35.00%	38.81%	23.11%	<b>32.31%</b>
X <sub>8</sub>	94.58%	72.51%	38.69%	<b>68.59%</b>
X <sub>9</sub>	95.12%	45.58%	43.00%	<b>61.23%</b>

X <sub>10</sub>	90.01%	60.38%	25.32%	58.57%
X <sub>11</sub>	95.24%	95.83%	46.87%	79.31%
X <sub>12</sub>	46.95%	43.20%	32.51%	40.89%
X <sub>13</sub>	44.50%	62.70%	43.81%	50.34%
X <sub>14</sub>	66.87%	42.30%	27.58%	45.58%
X <sub>15</sub>	82.74%	28.54%	19.95%	43.74%
<b>d<sub>i</sub></b>	<b>56.25%</b>	<b>49.64%</b>	<b>31.53%</b>	x

Source: the author's calculations

These calculations helped to determine the distance to the maximum level, determined for all the groups of disabled people that must be covered by the given group of the disabled with respect to the feature taken for the analysis.

The general distance indices (the last line in Table 2) show that the housing needs are satisfied to a rather small extent in all the groups of the disabled. The best situation was found in the group with mild disability - the distance from the maximum level was 43% and the worst - in the group with severe disability. The distance in this group was ca. 50%.

From the perspective of the variables taken for analysis, it was found that:

1) in the group of people with mild disability:

□ in terms of satisfying the housing needs defined by the variables taken for analysis, the situation was the best in adaptation of the flats to the disability of people who live in them in regard to the position and type of switches and sockets, position of door handles and the size of doors. The distance from the maximum level was approx. 5%. A slightly worse situation was noted in regard to the method of opening the doors and their type (hinged doors opened to the inside, folded doors, sliding doors). The distance in this regard was 10%.

□ The situation in this group of disabled people was the worst in terms of adaptation of the building surroundings in regard to proper access roads and pedestrian passages. The distance from the maximum level was approx. 80%. The situation in regard to adaptation of building entrances was similar. A considerable percentage of buildings with architectural barriers at the entrance was found. The distance in this regard was 73%.

2) in the group of people with moderate disability:

□ The distance index of satisfying the housing needs was the best in adaptation of the flats in regard to the type and position of switches and sockets. The distance in this regard was nearly 4%. The situation was slightly worse in regard to the number of parking spaces for disabled residents. The distance from the maximum level was just under 10%.

□ As in the group of people with mild disability, the situation was the worst in adaptation of building entrances. There was a considerable percentage of buildings with architectural barriers in this group. Also, disabled people found it difficult to move around due to lack of adaptation of the building surroundings. The distance in this case was a little over 70%, it was lower by 3 pp compared to the group of people with mild disability.

3) in the group of people with severe disability:

□ The situation was the best in adaptation of the flats in regard to the type and position of switches and sockets and the position of door handles. Moreover, the situation was relatively good in regard to fitting out the bathrooms with equipment facilitating their free and safe use (e.g. proper position of bathroom fixtures, installing handrails). The opinion of the respondents was similar in regard to fitting out the buildings with platforms, ramps or other devices facilitating movements of disabled people. The distance from the maximum level in these areas of assessment was just under 60%.

□ Also in this group, the situation was the worst in regard to adaptation of the building surroundings to the needs of disabled residents (the distance from the highest level was nearly 86%). Moreover, a large distance (approx. 80%, i.e. larger by 7 p.p. compared to the group of people with mild disability and by 10 p.p. compared to the group of people with moderate disability) from the maximum level was found in adaptation of building entrances.

Considering the variables describing the extent to which the housing needs of the disabled are satisfied in north-eastern Poland (Warmińsko-Mazurskie Voivodship), it has been shown that:

□ The distance index of satisfying the housing needs in terms of the variables taken for analysis in all the groups of the disabled was the best in adaptation of the flats in regard to the type and position of switches and sockets. The distance in this regard was approx. 21%.

□ The situation was the worst in terms of adaptation of building entrances by removing architectural barriers. The distance from the maximum level in this case was slightly over 73% The situation was also adverse for the disabled in terms of adaptation of the building surroundings with a view to making it easier for the disabled to move around. The distance from the maximum level was just over 78%.

### 4.3 Level of satisfaction with housing conditions

The level of satisfaction with housing conditions was evaluated in the last stage. The ranking of the levels of satisfaction with the housing conditions by the degree of disability is shown in Table 3.

Table 3 Summary of the levels of satisfaction with the housing conditions

Degree of disability	Evaluation of housing conditions				
	Absolutely not	Rather not	Hard to say	Rather yes	Absolutely yes
mild	13.04%	8.70%	4.35%*	52.17%**	21.74%
moderate	8.75%	12.50%	7.50%*	43.75%**	27.50%
severe	13.33%	13.33%	6.67%*	42.22%**	24.44%

\* categories and population sizes of the lowest incidence

\*\* categories and population sizes of the highest incidence

Source: the author's calculations

The study results have shown that approx. 21% of the group of people with mild and moderate disability are rather satisfied or highly satisfied with their housing conditions. On the other hand, over 70% are rather or highly dissatisfied. Among the people with severe disability there was a slightly higher percentage of people rather or highly dissatisfied (approx. 27%), whereas the percentage of rather or highly satisfied with their housing conditions was slightly under 70%. Therefore, despite not having a very high level of satisfying housing needs, the majority of the disabled people were satisfied with their housing conditions. In each of the groups under study there was a considerable percentage (approx. 70%) of people who were not interested in exchanging their flat for a smaller or larger one or in the purchase of a new one which would be better suited to their disability, even if they received a non-returnable subsidy. These people felt they needed to improve their housing conditions, but in their opinion the effectiveness of such actions depended on the financial aid received. The reasons for this state could include the fact that they are accustomed to their place of residence and their environment despite their low opinion of it and their financial situation, because social benefits were the main source of income for disabled people in each of the groups under study (approx. 90% of the respondents)

### 5. Summary

This article presents an assessment of the extent to which the housing needs are satisfied and an assessment of satisfaction with their housing conditions based on a survey conducted among people with various degrees of disability. The study involved seeking determinants of satisfying the housing needs of disabled people; therefore, a particular weight was assigned to examination of the current housing conditions, focusing on the key areas of the qualitative assessment of the housing conditions of the people under study. The methods employed in the study helped to evaluate the extent to which the housing needs were satisfied. The synthetic measures calculated in the study suggested the existence of large diversity of the level of satisfying the housing needs. On the other hand, owing to the distance formula it was possible to compare the overall level of satisfying the housing needs in the groups of disabled people from the perspective of the variables taken for analysis. The distance indices  $d_i$  showed that, in general, the level of satisfying the housing needs in all the groups under study was not high. A subjective assessment made by the respondents, arising from the individual preferences, resulted in different expectations in each of the groups under study. The expectations varied in regard to the size, standard and the functionality of the layout.

The study results have identified the directions of actions aimed at improvement of the housing conditions of disabled people, in line with their expectations and needs. They have also provided scientific evidence for political projects and programmes which can improve the level of satisfying the housing needs of disabled people.

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## Public Health Aspects of Post-Traumatic Stress Disorder in Patients Who Have Experienced a Car Accident

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### Abstract

The main aim of this research was to show the public health aspects of the emergence of post-traumatic stress disorder patients (PTSD) following a traffic accident.

**Keywords:** anxiety disorder, injury, pain, event, trauma, memory

### Introduction

Posttraumatic stress disorder is an anxiety disorder that occurs in some individuals after witnessing or experiencing a dangerous event. Primary this disorder has been observed in war veterans, but it can also occur as a result of some other traumatic events. One of the causes of posttraumatic stress disorder are traffic accidents. Traffic accidents can be terrifying accidents. Quite often during accidents some people are physically injured, sometimes with serious injuries, and the vehicles are damaged too. Hence, traffic accidents represent a traumatic experience for the survivors, especially if there is chronic pain for several months after the event, which can induce the presence of post-traumatic stress disorder. Early detection of these patients is essential for intervention and prevention of major damage.

### Material and methods

The study was conducted as observational cross-sectional study. It was conducted in n O.E. Emergency Center - Skopje (part of the clinic TOARILUC). The data required for the research were provided by specialist reports from patients who have received bodily injuries following traffic accident, data from the history of the patient, data from PTSD test (Diagnostic and Statistical Manual of Mental Disorders, American Psychiatric Association, 4th Ed., 2004), data from PTSD Check list - Civilian Version (PCL-C), as well as data obtained from a questionnaire designed for the survey. Statistical processing was done in the statistical program SPSS for Windows 17,0, where we used the following methods or tests:

-In series with numerical marks and homogeneous distribution descriptive parameters were use, i.e. measures of central tendency (mean, standard deviation, minimum and maximum values of the parameters analyzed).

-In the series with attribute marks are calculated percentages (i.e., ratio and proportions).

-For testing the significance of the differences between certain variables, depending on the distribution of the data, we used tests for independent samples (Chi-square test with Yates correction and no, t- test for independent samples, Mann-Whitney U test, Kruskal-Wallis test, Analysis of Variance, Linear Regression Analysis).

-For determination of correlation between two variables was used Pearson's coefficient of linear correlation ( $r$ ).

For statistically significant p values were taken.

### Results

The study presents the results obtained with the analysis and evaluation of data from 86 respondents, patients from the Emergency Center in Skopje, who responded to the review or were brought after experienced car accident. The gender structure of respondents comprised 54 (62.79%) men and 32 (37.21%) of respondents were female. Descriptive analysis

of the age of the respondents found that their average age is  $37,73 \pm 13,7$  years. The youngest patient with experienced accident of this group is 19 years old, and the oldest is aged 65 years. In the structure of education of the respondents dominate patients with secondary education represented 51 (59.3%) respondents, followed by 33 (38.37%) of respondents who have completed higher education, and only 2 (2.32%) respondents have primary school. The distribution in terms of nationality constitute 61 (70.93%) Macedonians and 25 (29.07%) Albanians. The highest number and percentage of respondents - 41 (47.67%) their financial condition described as moderate, 26 (30.23%) of them have a high socio-economic standards, the remaining 19 (22.09%) respondents have a low standard residence. The study included 50 (58.14%) respondents who suffered damage or injuries from severe degree, while 36 (41.86%) respondents suffered minor injury. During the accident, most of the respondents were drivers of the vehicle - 40 (46.51%), co-drivers were 22 (25.58%) respondents, and only 9 (10.46%) were located on the back seats. The majority of respondents participated in traffic accident with a motor vehicle - 71 (82.56%) or at the time of the accident 59 (68.6%) respondents were in the car, a motorcycle and a bicycle 6 (6.98%), while 15 (17.44%) of respondents in the accident have participated as pedestrians. In the traffic accidents 81 (94.19%) respondents were injured with direct collision and only 5 (5.81%) of them had a independent crash.

Our results showed that the financial situation of the patients who experienced an accident has significant impact on the occurrence of PTSD (Chi-square: 12, 14,  $df = 2p = 0,0023$ ). Respondents with average socio-economic status significantly more likely than those with low and high socio-economic status, develop stress disorders after an accident ( $p = 0,0005$ ,  $p = 0,026$ ). The emergence of posttraumatic stress disorder is also significantly associated with the degree of the injury acquired in the accident (Chi-square: 11,83  $df = 1$ ,  $p = 0,00058$ ).

According to research, older people and co-drivers are more like to have memory problems about the accident, than the other participants in the accident.

### **Conclusion**

The study answered the main purpose or confirmed the occurrence of posttraumatic stress disorder in patients who survived an accident. It confirmed that age and level of education significantly affect posttraumatic disorder. The severity of the damage occurred after an accident is significantly associated with the level of PTSD. PTSD significantly more frequently occurs after an accident with a mild degree of injury. Also, there is a significant difference of more frequent occurrence of PTSD at co-drivers compared with the passengers sitting in the back seats of the vehicle during the accident.

## **An Exploratory Analysis on Entrepreneurial Culture and Financial Education Between Students of the Veracruzana University, Veracruz Region**

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### **Abstract**

Entrepreneurial culture and financial education have become two of the most relevant issues on the international agenda, since they are considered as elements in favor of the efficient use of financial resources, as well as they are important for the identification of opportunities which favor the development of self-employment projects, contributing to local economic growth. Nevertheless, Mexican financial authorities note that there is an environment with gaps and deficiencies in terms of financial education, which is more evident among the rural population and sectors of lower education and socioeconomic level, causing inefficient use of resources and a poor culture of financial management, which undoubtedly compromises the stability of most Mexican families. In addition, this lack of financial education has a negative impact on the development of entrepreneurial projects, generating greater economic and social problems, taking into account that entrepreneurship is a mechanism that contributes to the creation of jobs and encourages economic growth. Based on these premises, this study aims to identify the level of entrepreneurial culture and financial education among Universidad Veracruzana students, through a descriptive and exploratory analysis; results shown a high level of entrepreneurial culture and a medium level of financial education but a weak positive correlation among them.

**Keywords:** entrepreneurial culture; financial education; Latin America university context.

### **Introduction**

According to the OECD (2010), entrepreneurs are participants of particular relevance in innovation; as they help turn ideas into practical applications. In the United States, in 2007, companies under the age of five accounted for almost three-quarters of new net jobs. Successful business creation often comes with practice; hence the importance of experimentation, the entry and exit of the market. However, only a small part of the population receives education for the creation of companies. Education and training policies should help foster an entrepreneurial culture to instill the skills and attitudes necessary for a creative drive.

Among main topics for policy makers, financial education takes an important spot due to its impact among small business and entrepreneurs. This is why international organizations such as OECD, World Bank and International Monetary Fund have developed strategies to increase the levels of financial skills among developed countries, emerging economies and less developed regions. Then, entrepreneurial culture and financial education stand out as two fundamental issues on the international agenda, since elements are considered in favor of the efficient use of financial resources, as well as the identification of opportunities for the development of self-employment projects, contributing to local economic growth.

According to the National Commission for the Protection and Defense of Financial Services Users (CONDUSEF, 2012), financial education can be defined as the set of actions that imply learning to manage money better, being foresighted, consuming in a rational way, and learn to invest, know how to take care of your assets and use financial products and services with responsibility.

Similarly, Smyth (2011) points out that financial education is the process by which consumers improve the understanding of financial products and acquire a greater understanding of financial risks and market opportunities, by making economic decisions with information. In addition, he points out that an important part of our decisions is associated with financial behavior, which directly impacts his personal and family environment, from the search for funding for studies to planning for retirement. Thus, having an adequate financial education will favor an intelligent selection of financial products, based on well-informed decisions.

The benefits of having an adequate financial education also extend to the national economic level, since, as BBVA (2015) points out, greater economic and financial education helps explain the level of financial development in the country, and which ultimately leads to lower inequality. In this way, having policies in charge of promoting these issues would contribute to reducing inequality by allowing large groups of the population of a country to access the financial markets to monetize their savings. This can also favor an improvement and development of the domestic financial market and consequently contribute to economic growth.

However, the picture of financial education in Mexico is unfavorable, since as mentioned by BANAMEX & UNAM (2008) in the results of the First Survey on Financial Culture in Mexico, there is, in the majority of the population, a medium- or long-term vision in matters related to finances. In addition, this work identified an incipient "control and expenditure planning" culture. This is because, overall, about one in five households had a record of expenditures or planned income, debt and household savings.

In this sense, it is observed that in Mexico there is an environment with gaps and gaps in terms of financial culture, both training and information, which becomes more evident among the rural population and sectors of lower education and socioeconomic level, causing serious consequences, such as the absence of planning in the control of expenses, income and debt, lack of savings and a culture of foresight, which undoubtedly compromises the stability of most Mexican families.

In addition to this, this lack of financial education has repercussions in the area of business, and especially among the projects of micro, small and medium enterprises (MSMEs) and entrepreneurs, which, according to Carton, Hofer & Meeks (1998) are those people with the ability to identify market opportunities to create companies and thus generate value. Recently, the World Bank (2015a) stated that, until very recently, the motivation to become an entrepreneur was to earn a lot of money to have a relaxed life and full of amenities. But lately a new generation of entrepreneurs has emerged who, in addition to modern and profitable ideas, incorporate social and environmental benefits into their business plans.

This is evident since, as Lederman et al (2014) mention that there is a large gap between the capacity to access financing between large companies and the rest, with larger ones being widely favored. This difficulty faced by MSMEs to raise capital also implies greater demands on their use, which undoubtedly requires an adequate level of financial education. In addition, Lederman et al (2014) point out that it is possible that this barrier of access to financing that new companies experience is negatively affecting the entrepreneurial potential of Latin America and the Caribbean.

Considering the negative effect that credit scarcity produces on entrepreneurship, Cai (2015) states that during last years some financial institutions in African countries have developed strategies to reduce credit rates in order to promote entrepreneurial projects; for example, the Chase Bank of Kenya managed to reduce the interest rate paid by women's companies and works to exponentially increase the size of the loan portfolio for these types of enterprises. All these efforts allow more companies to invest in their businesses with reasonable costs. This creates new jobs and contributes to local economic growth.

In Latin America, the Mexican Federal Government created in 2014 the National Fund for Entrepreneurs which aims to stimulate national, regional and sectoral economic growth, through the promotion of productivity and innovation in micro, small and medium enterprises located in strategic sectors, which promotes a systematic strengthening of entrepreneurship development throughout the national territory, as well as the consolidation of an innovative, dynamic and competitive economy.

Also, Marín (2014) stresses the importance of entrepreneurs have the ability to evidence their knowledge in financial matters, because in this way they can overcome the challenges of the market. Similarly, Di Costanzo (2013) argues that a company that begins operations without basic financial education has a high chance of failure, while those that incorporate good financial practices increase their chances of remaining in the market. Thus, it can be seen that financial education has a great influence on the success of entrepreneurial projects.

Nevertheless, Blasco (2012) mentions that some of the main obstacles for enhancing entrepreneurship are the lack of financial resources or the restrictions to access to credit markets, public policies and a low entrepreneurial skills.

Once the importance of the topics of financial education and entrepreneurship in the national and international agencies has been identified, the need arises to identify one of the main spaces where strategies can be designed and implemented in favor of these topics: the University. This, as mentioned by Neck (2014), education is an essential factor to start a

business, and therefore the university gives the student the space where he can practice the venture, and at the same time can learn how to deal and manage the uncertainty of the market, which is part of the world of entrepreneurship.

Thus, universities have a fundamental role in the process of training competent individuals to face the demands of an increasingly competitive labor market, in which they will have to make use of financial tools and entrepreneurial skills. However, Lopez (2010) emphasizes the fact that the level of schooling is not directly related to the degree of financial education of individuals.

Based on the above, there is interest in identifying the level of financial education and how widespread is the entrepreneurial culture among university students in our country. However, given the large potential population to be addressed during this work, we intend to limit our scope to the context of Veracruz (southern Mexican federal entity), in which, the Veracruzana University represents the main house of studies given its presence and coverage in twenty-eight municipalities distributed in five regions: Xalapa, Veracruz, Orizaba-Córdoba, Poza Rica-Tuxpan and Coatzacoalcos-Minatitlán. Within these, the second largest number of students is the Veracruz region, which is limited in our immediate area of study.

Given these premises, the following research question is proposed that will lead to the development of this project: what is the level of financial education and entrepreneurial culture among the students of the Veracruz University, Veracruz region? Next, we present a series of arguments that validate the relevance of this work.

### **Justification**

The close relationship that exists between the level of financial education and the level of success of entrepreneurial projects is very important since they affect the pattern of economic growth in emerging economies. It is for this reason that the Inter-American Development Bank (IDB, 2014) has emphasized among senior officials of ministries and agencies of Science, Technology and Innovation of Latin America and the Caribbean the need to discuss public policies that promote entrepreneurship. In addition, this institution continues to promote the dissemination of financial education programs, since these have a fundamental impact on the well-being of citizens (IDB, 2015). Similarly, the World Bank (2013) notes that the relationship between productivity and economic growth has meant that governments and multilateral agencies in recent years have given more attention and support to entrepreneurship: that is, the ability to turn ideas into products and services. For example, the Mexican government has made legal reforms to encourage entrepreneurship and recently created the National Institute of Entrepreneurs (INADEM) to promote the culture and productivity of entrepreneurs and ease credit access through programs such as "Young Credit" which is designed for different profiles of young entrepreneurs with solid business projects (CONDUSEF, 2015).

As pointed recently, these efforts lie on the widely accepted premise that closely links business to economic growth and productivity (Lupiáñez, Priede and López-Cózar, 2014). In this sense, they emphasize that the business aggregate and the creation of new units represent the engine of the economy of the industrialized countries (García, Martínez & Fernández (2010) and Galindo & Méndez (2011)). Similarly, Álvarez, Giraldo & Martínez (2014) point out that the sum of entrepreneurial projects contribute to social and economic development at local and national level; being the local area where the positive effects are more evident, which translate into an increase in the level of employment and the income of the population.

However, Lupiáñez, Priede & Lopez-Cózar (2014) also emphasize the fact that among the empirical evidence there are no uniform results that allow a strong confirmation of this premise due to results vary depending on the context and the indicators used to quantify this relationship.

In addition, the premise that the lack of financial education has an impact on the development of young entrepreneurs (Singer, 2016) represents another area for further research on this subject, since it is difficult to conclude that lack of access to financing is one of the main constraints to innovation and the development of entrepreneurial projects (Lederman et al, 2014).

Based on the above, the development of this project acquires relevance since, according to CONDUSEF (2013), there is a severe lag in our country in the area of financial education, which is evident since due to the lack of information people do not know the advantages or disadvantages they can get from their use.

Similarly, the National Entrepreneur Observatory (2013) emphasizes that in Mexico, despite the fact that entrepreneurs and MSMEs generate a significant amount of jobs and income for the country, they suffer from a series of weaknesses; among them, the difficulty to credit access, lack of knowledge on the subject and low productivity. Thus, raised these needs;

we recognize the importance of continuing and contributing to the analysis with concrete proposals on these issues, since they represent areas of opportunity for economic growth and social development in our country.

In addition, these topics will remain strategic on the international agenda, as the World Bank (2015b) states that entrepreneurship and financial culture represent two of the major development tools. Added to this, in the context of the State of Veracruz, Mexico, there is little to no research regarding the level of financial education and entrepreneurial culture, jointly, among university students, which gives greater relevance to this work.

### Objectives

The general objective of this study is to identify the level of entrepreneurial culture and financial education among university students of the different areas of knowledge of the Veracruzana University, Veracruz region. Also, two specific objectives are set: Detect the competencies of university students related to the areas of financial education and entrepreneurship and develop a series of proposals to meet the identified needs, as well as strengthen the strengths in these areas.

In this way, it is intended that this work represents an academic reference for the study of financial education and entrepreneurial culture, which in turn can be reproduced in the national and international context in public and private educational institutions, fulfilling one of the main goals among universities: the generation and dissemination of knowledge to generate social development.

### Literature review

Some recent studies among entrepreneurial culture and financial education which are considered for the development of this study are shown in Table 1:

**Table 1: Literature review**

Author(s)	Main findings
Oseifuah, E. (2010).	This study considers South African young entrepreneurs; financial literacy seems to contribute in developing better entrepreneurial capacities.
Bae, T. et al (2014).	Results shown that there is a positive but weak correlation among entrepreneurial education and entrepreneurial intentions.
Njoroge, R. (2013).	The study, focused in the Kenian context, reports a positive relationship between financial literacy and entrepreneurial skills.
Musie, L. (2015).	There is a positive relationship between financial literacy levels shown by owners and small business performance; entrepreneurs with higher financial education levels reported greater business profits and higher labor demand.
Lusimbo, E. (2016).	Micro and small business owners with low financial literacy levels shown less efficient performance and lower profit growing rates.
Abubakar, H. (2015).	Study shows that there is a strong relationship between financial literacy and small business performance in Africa; lack of credit access or market constrains represent some of main obstacles to promote entrepreneurship in that continent.
Leifels, A. & Metzger, G. (2015).	Focused on the German context, this study states that lower financial literacy drives to entrepreneurial potential reduction. Nevertheless, coaching and training programs contribute to reduce this problem.
Ćumurović, A. & Hyll, W. (2017).	Financial literacy is an effective mechanism for enhancing entrepreneurial activities.

Source: prepared by the author using documents cited above.

### Hypothesis

After literature review, a set of hypothesis were established to contrast this study results with research in this field developed by authors mentioned in Table 1; these are:

Hypothesis of work (H0): There is a low level of entrepreneurial culture and financial education among the students of the Veracruzana University, Veracruz region, which is reflected in the lack of knowledge of these concepts, as well as in their inability to make correct decisions associated with access and use of financial resources.

Null hypothesis (H1): There is a high level of entrepreneurial culture and financial education among students at the Veracruzana University, Veracruz region, which is reflected in the identification of these concepts, as well as their ability to make correct decisions associated with access and use of financial resources.

Alternative hypothesis 1 (H2): There is a high level of entrepreneurial culture and a low level of financial education among the students of the Veracruzana University, Veracruz region, which is reflected in the identification of concepts related to entrepreneurship, as well as in their inability to make correct decisions associated with access to and use of financial resources.

Alternative hypothesis 2 (H3): There is a low level of entrepreneurial culture and a high level of financial education among the students of the Veracruzana University, Veracruz region, which reflects their inability to identify concepts related to entrepreneurship, as well as in their ability to make correct decisions associated with access and use of financial resources.

Alternative Hypothesis 3 (H4): There is a high level of entrepreneurial culture and an average level of financial education among the students of the Veracruzana University, Veracruz region, which is reflected in a satisfactory level to identify concepts related to entrepreneurship as well as an intermediate capacity to make correct decisions associated with access and use of financial resources.

Alternative Hypothesis 4 (H5): There is an average level of entrepreneurial culture and a high level of financial education among the students of the Veracruzana University, Veracruz region, which is reflected in an average level to identify concepts related to entrepreneurship, as well as high ability to make correct decisions associated with access and use of financial resources.

## **Methodology**

### **Type of study**

This work is based on the development of an exploratory, non-experimental and cross-sectional research. This, since it is intended to identify the level of entrepreneurial culture and financial education among the population under study; In addition, this work is non-experimental since the variables involved in its development are not manipulated, and of a cross-sectional type since the data will be collected in a single moment.

Regarding the characteristics of the information expected to be obtained and the techniques for its processing and subsequent interpretation, this study is considered to be of a quantitative and descriptive type.

### **Study limitations**

As an exploratory and descriptive study, this research does not pretend to develop a comparative analysis among five Universidad Veracruzana Regions or other universities (public or private). Also, the characteristics of data do not provide enough information to perform deep statistical analysis. Nevertheless, these limitations are considered as opportunities for further studies which could enrich research in this area.

### **Population and sample**

In terms of population, the universe is represented by the total number of students at the Veracruz University (UV) Veracruz region. In this sense, the latest online report issued by the Directorate of Institutional Planning of the UV for the 2015-2016 cycle, yields a total of 11, 181 undergraduate students distributed in thirty educational programs.

To determine the sample size, we adopt the procedure indicated by Aguilar (2005), which uses the following formula:

$$n = \frac{NZ^2PQ}{d^2(N-1) + Z^2PQ}$$

Where:

N = population 11, 881

n = sample

d = error allowed (0.05)

Z = reliability level (1.96)

p = probability of the event in favor (0.5)

$q$  = probability of the event against (0.5)

Once the formula was applied, a sample of 373 students was obtained; these were distributed based on the total enrollment for each of the thirty educational programs that make up the regional offer (check Annex 1). To round up sample size it was decided to increase the number of students up to 388. As inclusion criteria, only students with more than half of credit progress were considered, due to by that point they must have passed some courses which involved topics that promote financial education and entrepreneurial skills; new entry students were not surveyed as part of this research; open education system programs (which are given on an intensive basis during weekends) were not considered. Then, programs were grouped into five academic areas, which are shown in Table 2:

**Table 2: Programs by academic area**

Academic Area	Programs	Students (from total sample)
Administrative Economic	5	89
Health Sciences	8	94
Humanities	2	57
Technical	13	123
Biological Agropecuary	2	25
Total	30	388

Source: prepared by the author using data taken from Direction of Institutional Planning of Universidad Veracruzana, available at [http://www.uv.mx/informacion-estadistica/files/2014/01/Series-Historicas-15\\_16.pdf](http://www.uv.mx/informacion-estadistica/files/2014/01/Series-Historicas-15_16.pdf)

### Research instrument

The field study lied on the application of a survey composed by 52 items divided in two sections; the first part of the instrument was designed to measure the level of entrepreneurial culture among students and items were based on Tiftik (2014) and Yılmaz & Sünbül (2008), cited in Tiftik (2014); it is important to note that items considered from both cited studies were translated from the English to Spanish and some expressions had to be adapted to make them more appropriated for the Mexican context. The second part of the instrument was design to measure the financial education level and was constructed considering the work presented by Atkinson & Messy (2012).

### Analysis of results

Beginning with the analysis of the items focused on measuring the entrepreneurial culture among university students, most of them showed results at the high level, representing 54.12% of the total; if you add those located in the category "very high", the percentage increases to 65.46%. On the other hand, it is important to note that 2.84% of the respondents were at a "low" level and 0.26% at a "very low" level. However, it is significant that 31.44% of the sample showed a "medium" level (Table 3).

**Table 3: Entrepreneurial culture- total results**

Entrepreneurial culture		
Level	Total	%
Very High	44	11.34%
High	210	54.12%
Medium	122	31.44%
Low	11	2.84%
Very low	1	0.26%
Total	388	100.00%

According to results shown in Table 3, it is relevant that only 3.1% of students were located on the lowest levels and most of them showed important elements that reflect an entrepreneurial profile. Also, if students are grouped into three categories (high, medium and low), evidence in favor of the good state of entrepreneurial culture are even more robust. This is represented in Chart 1.

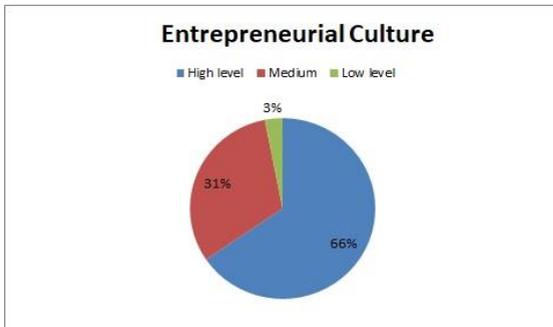


Chart 1: Entrepreneurial culture

In relation to the level of financial education, different findings were found, since 27.32% showed a "low" level and 5.15% "very low", representing 32.47% of the total; On the other hand, 47.43% were in the "medium" category, 18.81% in the "high" category and only 1.29% were "very high" (Table 4).

**Table 4: Financial education: total results**

Financial education		
Level	Total	%
Very High	5	1.29%
High	73	18.81%
Medium	184	47.42%
Low	106	27.32%
Very low	20	5.15%
Total	388	100.00%

As done with entrepreneurial culture, results were grouped into three categories and it led us to a very different scenario among topics covered by the instrument; financial education clearly reported lower levels than those related to entrepreneurial culture, as shown in Chart 2.

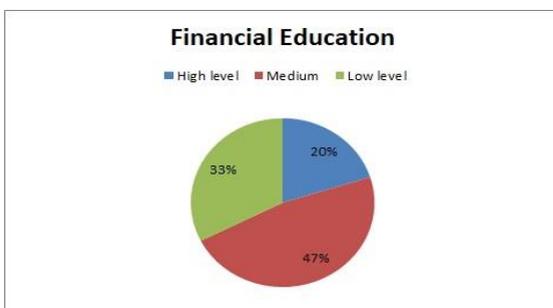


Chart 2. Financial education

It is important to note that just one student showed a "very low" level of entrepreneurial culture but when it came to financial education the sum in that category went up to twenty. Also, items in this topic were split into three areas: knowledge (items 1 to 9), behavior (items 10 to 15) and attitude (items 16 to 18); among these, behavior got the best scores (68%), followed

by knowledge (56%) and attitude (45%). Next, the Table 5 shows both aspects addressed in the instrument, so that they can be compared more easily.

**Table 5: Compared results among topics**

Entrepreneurial culture			Financial education	
Level	TOTAL	%	TOTAL	%
Very High	44	11.34%	5	1.29%
High	210	54.12%	73	18.81%
Medium	122	31.44%	184	47.42%
Low	11	2.84%	106	27.32%
Very Low	1	0.26%	20	5.15%
Total	388	100.00%	388	100.00%

Based on Table 5, it can be stated that there is a medium-high trend in the levels of entrepreneurial culture, while it is medium-low in financial education; a deeper analysis from general descriptive statistics reported that entrepreneurial culture items had lower standard deviation compared to those focused on entrepreneurial culture which is congruent with these findings (check Annex 2). Next, Table 6 compares the results by academic area:

**Table 6: Results by academic area**

Academic Area	Administrative Economic		Technical		Humanities		Health Sciences		Biological Agropecuary	
	E.C.	F.E.	E.C.	F.E.	E.C.	F.E.	E.C.	F.E.	E.C.	F.E.
Very High	14.61%	1.12%	17.02%	2.13%	3.51%	0.00%	8.94%	1.63%	8.00%	0.00%
High	55.06%	14.61%	54.26%	10.64%	59.65%	14.04%	49.59%	26.02%	60.00%	40.00%
Medium	28.09%	60.67%	27.66%	64.89%	29.82%	36.84%	37.40%	34.96%	32.00%	20.00%
Low	2.25%	23.60%	1.06%	20.21%	5.26%	35.09%	4.07%	29.27%	0.00%	40.00%
Very Low	0.00%	0.00%	0.00%	2.13%	1.75%	14.04%	0.00%	8.13%	0.00%	0.00%
Total	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%

Source: prepared by author. E.C.: Entrepreneurial Culture; F.E.: Financial Education.

Considering results provided in Table 6, it is clear that only the Biological Agropecuary academic area got students with both high entrepreneurial culture and financial education levels; nevertheless, also a high portion of surveyed obtained low financial education levels, so it is not possible to identify a really different scenario. Also, it is observed that students from Humanities area got the lowest scores in both dimensions.

As part from data analysis, a correlation test was performed and it was found that there is a positive but insignificant relationship between entrepreneurial culture and financial education levels among students; these results are provided in Table 7.

**Table 7: Correlation analysis**

	Financial education	Entrepreneurial culture
Financial education	1	
Entrepreneurial culture	0.12017762	1

## Discussion of results

After analyzing the data obtained from the application of the research instrument, it is observed that the results of this work resemble those presented by Bae et al (2014), considering the positive but weak relationship found among entrepreneurial

skills and financial education levels shown by students; also, it could be said that this study sets the first steps to a path to identify if, in our context, financial education leads to higher financial education levels, which could let us to results similar to Njoroge (2013) and Musie (2015). If students surveyed in this research are followed after starting an entrepreneurial project, a further study could provide valuable information to validate the premises set by Lusimbo (2016) and Leifels & Metzger (2015).

### Conclusion and recommendations

Definitely, the relationship between variables selected for this study is one of the most important issues in the international agenda, considering the labor market hardness and scarcity of financial products for micro and smalls enterprises; in the context of Universidad Veracruzana, Veracruz Region, students shown a positive trend in terms of entrepreneurial skills, taking into consideration that more than half of them reported high or very high levels; though, when it came to financial education results were less optimistic due to more than half of subjects were located from medium to very low levels; in general terms, it can be said that students in this region present a high level of entrepreneurial skills and a medium level of financial education.

Then, it can be stated that both work hypothesis and null hypothesis are rejected and alternative hypothesis 3 is accepted. Future studies in this context could lead to identify which factors are enhancing entrepreneurial skills and limiting financial education among students from different areas, considering that a higher level of financial behavior was found among surveyed.

Based on the above, it is suggested that Universidad Veracruzana develop programs focused on materializing entrepreneurial potential into micro and small business, through coaching strategies and technical support to design robust business plans. Then, it will be highly recommended to follow these entrepreneurial projects to identify how these evolve through time, gaining valuable information that could help future entrepreneurs. Also, it is desirable to increase extracurricular activities like workshops or webinars aimed to disseminate the benefits of good practice in financial education.

Finally, it is important to mention that this research marks the path for a series of studies focused in explaining the relationship between entrepreneurial culture and financial skills in the context of Southern Mexico, helping researchers to define better strategies that could turn into public policies related to these topics.

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#### Annex 1: Distribution of the sample through educational programs

Program	Enrolled	Percentage of total	Sample	Final sample
International Agribusiness	112	0.94%	3.52	4
Veterinary Medicine	651	5.48%	20.44	21
Dentist	621	5.23%	19.50	20
Physical Education	434	3.65%	13.63	14
Nursing	590	4.97%	18.52	19
Medicine	931	7.84%	29.23	30
Chiropractic	68	0.57%	2.13	3
Nutrition	529	4.45%	16.61	17
Psychology	446	3.75%	14.00	15
Bioanalysis	628	5.29%	19.72	20
Management	867	7.30%	27.22	28
Tourist Management	451	3.80%	14.16	15
Computer Systems Management	332	2.79%	10.42	11
Accountancy	818	6.88%	25.68	26
Administration and Business Management	277	2.33%	8.70	9
Communication Sciences	631	5.31%	19.81	20
Pedagogy	683	5.75%	21.44	22

Architecture	45	0.38%	1.41	2
Chemical Engineering	313	2.63%	9.83	10
Civil Engineering	728	6.13%	22.86	23
Topographical Engineering	108	0.91%	3.39	4
Engineering in Electronics and Communications	274	2.31%	8.60	9
Electrical Mechanical Engineering	29	0.24%	0.91	1
Naval Engineering	204	1.72%	6.40	7
Metallurgical Engineering of Materials	119	1.00%	3.74	4
Industrial Engineering	164	1.38%	5.15	6
Electrical Engineering	232	1.95%	7.28	8
Mechanical Engineering	284	2.39%	8.92	9
Informatics Engineering	152	1.28%	4.77	5
Mechatronics Engineering	160	1.35%	5.02	6
Total	11881	100.00%	373	388

Source: prepared by the author using data taken from Direction of Institutional Planning of Universidad Veracruzana, available at [http://www.uv.mx/informacion-estadistica/files/2014/01/Series-Historicas-15\\_16.pdf](http://www.uv.mx/informacion-estadistica/files/2014/01/Series-Historicas-15_16.pdf)

## Annex 2: Descriptive statistics

Financial education		Entrepreneurial culture	
Mean	2.83762887	Mean	3.73453608
Typical Error	0.04230771	Typical Error	0.03572656
Median	3	Median	4
Mode	3	Mode	4
Standard deviation	0.8333653	Standard deviation	0.70373169
Sample variance	0.69449772	Sample variance	0.49523829
Kurtosis	-0.1779926	Kurtosis	0.23889786
Skewness coefficient	-0.0916273	Skewness coefficient	-0.2467376
Range	4	Range	4
Minimum	1	Minimum	1
Maximum	5	Maximum	5
Sum	1101	Sum	1449
Count	388	Count	388

Source: prepared by author.

## **Learning Experiences in Higher and Further Education- An Innovative Socialentrepreneurship Project in a Public Mexican University**

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### **Abstract**

This innovative educational project is the result of the work of a group of academics, who met the challenges of the 21st century, added their specific visions and made contact with transdisciplinarity and the formation of a significant formation in their students of the Educational Administration Program with learning orientated to the transfer, that is to say new fields of application (Campirán et al, 2005); this transit was possible through the metacognition resulting from the synergy found at the Universidad Veracruzana (Mexico) and the HEC University Montreal (Canada) to generate spaces that transcend the classrooms and thus express this vision that would allow to refocus and redirect their educational goals (Campirán et al, 2005). Internationalization of social entrepreneurship is part of an educational bonding project led by the academic group CA-UV-367 "Entrepreneurship, Management and Internalization" from which academics articulate formally the critical and complex exercise for an object-relation of learning of different visions: academic formation (curricular design); accommodation (spiral organization); development of visions based on competencies (Campirán, 1999, in Morado, 1999) and integrative concepts (Campirán et al, 2005). The results obtained from the exercise and the use of the transdisciplinary vision approach greatly enriched the units of competence and the curricular contents of educational experiences: Strategic and economic planning over time promoted and strengthened in students their comprehensive and flexible training in addition to enhancing their resources and academic capabilities by projecting themselves as members of a global community.

**Keywords:** innovativeeducational project; social entrepreneurship; educational bonding.

### **Introduction**

According to OECD (2016) reports, innovation will be essential to promote major qualitative changes in education, as opposed to the quantitative growth seen during last years. These changes are needed to enhance efficiency and improve the quality and equity of learning opportunities globally. To achieve these goals, new skills must be developed through academic programs, such as critical, creative and complex thinking, social innovation and communitary responsibility; all these could be promoted linking the academic framework with real professional practice. Therefore, topics such as entrepreneurship and social innovation take relevance into curriculum design.

Also, Falch & Mang (2015) state that educational innovation has an important effect on economic growth; then, the role of education is to develop the skills needed in labor market. Educational system must provide the conditions to prepare better trained workforce.

Based on the above, the relevance of the innovative educational project (IEP) Internationalizing Social Entrepreneurship is that it led the joint work among a group of students which participated in an international competition which aimed at the creation of a social enterprise to solve a real social problem using an online educational platform; during this process, students were coached by professors part of the CA-UV-367 and advisors of the General and Regional Coordination of Bonding.

This educational innovative project contributed to the achievement of two competence units from two educational experiences: Economics and Strategic Planning. The Economic Competence Unit was designed to distinguish and explain economic characteristics and theories that explain the economic behavior of the organization in the design and analysis of conceptual maps, synoptic charts, critical lectures, case studies and essays in order to allow students to develop analytical, reflexive and proactive attitudes about the importance of the economy in the business world. This is relevant because through the study of economic theory the student understands that the problems of poverty, inequality and environment have not been solved with the application of orthodox economic models with multiple failures.

The Strategic Planning Competency Unit was design to analyze and create an integrative project through bibliographic and field research applied to the fundamental knowledge of strategic planning, and to generate with a responsible and proactive attitude strategic plans that allow companies to position and remain in the market through the achievement of competitive advantages; with a sense of commitment, autonomy and social responsibility. These contents were relevant for the project because a strategic business plan contributes to all commercial and non-profit activities; also, it is an administrative tool and allows entrepreneurs to know where they are and where the company is headed; as well as allow the advance of the same and contribute to overcoming the obstacles, managing to clarify its vision and to take advantage of the opportunities and resources (Stutely, 2000).

### **Objectives**

The main objective of this project consisted in the development of a proposal to solve the problem of single mothers who leave their children to the care of unqualified third parties, offering them a kindergarten and quality education service and, simultaneously, to support low-income students to obtain a part-time job that will help them finance their studies and thus avoid dropping out of school.

The proposed solution was designed from the transdisciplinarity (complex thinking) approach by intervening the theoretical, heuristic and axiological knowledge of educational experiences: Economics (economic theories) and Strategic planning (business plans and models); of the Line of Generation and Application of Knowledge, specifically Entrepreneurship and Social Companies; the development of mobile applications and a foreign language (English).

Thus, the collateral objective of the project was to show that the classroom is a dynamic space, integrated by several dimensions (simultaneity of processes, presence of certainty, uncertainty and genesis) where it is possible to carry out the exercise of complexity.

### **Methodology**

For this work the model of a Social Project was chosen because it was sought to generate in the students a learning experience that invited them to discover a social problem in its near context, which was the main theme of the competition, work autonomously and collaborative; to construct the learning the characteristics of the method proposed by Blumenfeld et al (1991):

- 1..An approach that is based on a real problem and involves several areas: high rates of teenage pregnancies; high rate of single working mothers; female desertion; limited job offer with part-time hours; low quality education for the children of single mothers; insertion into society of individuals "educated by television" or unskilled personnel.
- 2..Opportunities for students to carry out research that allows them to learn new concepts, apply information and represent their knowledge in a variety of ways: social economy (Flores, 2009); on-line course on: social enterprises (Sanchis, Villajos, & Ribeiro, 2012), sustainable development, business models (Stutely, 2000), marketing strategies for social enterprises, strategies for financing social enterprises; technological applications.
- 3..Collaboration among students, academics and others involved in sharing and distributing knowledge and experiences among members of the "learning community": creativity and innovation, social impact, systemic thinking and the green environment; public relations and marketing; financing for entrepreneurs.

4..The use of cognitive tools and learning environments that motivate the student to represent their ideas: most of the competition and the training were developed through a platform designed for it.

### Project stages

Pre competition stage: the project was considered to have an extension of one year, its complexity was reduced to the theme of social business; only the platforms of the Universidad Veracruzana and HEC Montreal University were used; to achieve the objectives various spaces were used: classroom, CA-UV-367 cubicle; facilities of the different faculties of the Veracruz University Veracruz region; the virtual university library and and virtual seminars conducted by professors experts in the subject of Social Economy, strategic business plan; social business, business models; marketing strategies (social networks); sources of internal and external funding (crowdfunding). Regarding autonomy, it was agreed that academics and students could control the progress of the project and students had the responsibility to find the meaning of being social entrepreneurs and belonging to an autonomous university; the expected results were reflected in the accorded products (sustainable social business model) and the guiding questions that were raised were: What does it mean for me to be a social entrepreneur of the Universidad Veracruzana?, with the sub-questions: What and who is an entrepreneur? What is a social enterprise? What does it mean to manage a social enterprise in Mexico? What does it mean to manage a social enterprise in Veracruz? Likewise, the expected product was a business model aimed at solving the problem of single working mothers and low-income university students.

Competition stage: competition results in Montreal (Canada) were: in the 2016 edition, competition admitted 44 teams from 30 different universities around the world; only 27 teams completed round 1 which had to comply with the following requirements: business concept, stakeholder analysis, feasibility of social support; 21 teams which completed round 2 had to fulfill next requirements: a brief speech of business presentation and check the ability to raise funds for their business; round 3 only was completed by 15 teams who had to attended in person training in Montreal and conducted the formal presentation of the business idea in 15 minutes before investors.

Post competition: after returning from competition, students produced a report of their experience; the information was analyzed and processed using the qualitative methodology (content analysis) by the members of the CA-UV-367, which could contribute to develop new research products on Entrepreneurship, Management and Internationalization.

### Conclusion

Beyond the impact on the two educational experiences mentioned at the beginning of the project, student participation in the SBC competition in Montreal (Canada) transcended to transdisciplinarity.

Adopt the exercise of complexizing the classroom represented a major challenge for academics which had to migrate in their educational exercise towards the ecological model that far exceeded the conventional university spaces; it was dealt with from the beginning of the competition with simultaneous spaces full of emergent situations during the 6 months of pre competition and during the training week. Likewise, a new relationship was developed among the university community to share the experience of faculty members, which generated 4 social business projects for the next edition of the competition.

Finally, there is no doubt that complexing the classroom is a major challenge and an experience-learning of life for students, but also for academics which are aware of the responsibility of dealing with humans and the possibility of forging and empowering socially responsible global individuals.

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## **Narrating the History: the Reinterpretation of Symbolic Reparation for the Reconciliation and Redemption of Child Victims of Conflict**

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### **Abstract:**

In Colombia there is a large sector of the population that has been the object of violation and ignorance of their human rights. They, like all victims of this type of violation, need to be repaired in a comprehensive manner. The concept of symbolic reparation that includes this integral reparation aims to reclaim the human being, to reconstruct it from the wounds and traces left by the violation of human rights in his memory. In a more sympathetic sense than is usually attributed to it, it seeks to bring the practice and experience of individuals to a level of abstraction that allows them to conceptualize a specific fact and articulate it with other concepts, so that the individual acquires adequate resilience. In this sense, the exercise and the experience of this reconstruction through the narratives, can provide certain conditions that make possible the process of symbolic reparation, which is exactly what it is tried to demonstrate with this investigation. This document is part of the research entitled "The narratives as a mechanism for the symbolic reparation of children victims of human rights violations", which seeks to understand the factors that make it possible to implement narratives as a mechanisms for symbolic reparation of children who are victims of human rights violations, as opposed to the symbolic reparations that have been erroneously ordered by the Inter-American Court of Human Rights and the Colombian Supreme Court and Constitutional Court.

**Keywords:** Human rights, human rights violations, Peace research, Child welfare, Social justice

### **Introduction**

*Your eyes have your age,*

*but your ears have the age of your parents.*

*Proverb of Afar People (Vázquez & Francica, 2016, p. 78).*

In Colombia there is a large sector of the population that has been victim of violation and ignorance of their human rights. They, like all victims of this type of rape, need to be repaired in a integral way. The concept of Symbolic Reparation that includes this integral reparation aims to reclaim the human being, to reconstruct it from the wounds and footprints that the violation of human rights left in his memory. In a more comprehensive sense than is usually assigned, Symbolic Reparation seeks to bring the practice and experience of individuals to a level of abstraction that allows them conceptualizing a particular fact, and articulating it with other concepts, so that the individual acquires a capacity of adequate resilience. In this sense, the exercise and the experience of this reconstruction through the narratives, can provide certain conditions that make possible the process of symbolic reparation, and that is precisely what this investigation is tried to demonstrate.

This paper is a result of the research entitled "The narratives as a mechanism for Symbolic Reparation of children victims of human rights violations" wich general objective is to understand the factors that make it possible to implement narratives as a mechanism for Symbolic Reparation of children victims of human rights violations in the department of Quindío. In addition, one of the specific objectives proposed within this research was to conceptualize, around the symbolic reparation, the different scope and elements that are proper to this measure, as well as to describe the elements that the narratives contribute within said process and that could be sufficient to achieve the objective of this repair. To do this, it was necessary to make an exercise of bibliographic revision around primary and secondary sources related to the topic of symbolic reparation and narratives, and also around certain jurisprudence of the Inter-American Court of Human Rights and of the

Constitutional and Supreme Courts of Justice of Colombia, all this in order to conceptualize about some of the categories of analysis that were identified within the aforementioned research, to conform the conceptual framework of the same and to develop the two objectives indicated above. The research to which the present article belongs is of a socio-juridical type, of qualitative class, and the method used is the Hermeneutic Method with a Biographical-Narrative approach. The instruments used to collect the information are the interviews, observations, autobiographical writings, life stories and photographs, in addition to the information that can be supplied by the Historical Memory Center of Colombia. The technique of analysis is discourse analysis.

### **The Duty to Repair Victims of Human Rights Violations**

For more than five decades, the Colombian context has been defined by an armed conflict of a non-international character that has, as one of its most important and emphatic characteristics, the presence of victims, direct and indirect, of all genres, conditions and ages. Such victims are because the conflict has ignored and violated their essential rights, their human rights, and in the special case of children, their prevailing rights. And that prevalence of the rights of children in Colombia is what leads us to affirm that the violation of the rights of those who are entitled, and that have been recognized as of a higher value because of its importance and need for promotion and protection, to the point of calling them "human rights" (UNESCO, 2012), is –and must be a priority focus for both the State and society in general.

However, according to the results of the on-site visit by the Inter-American Commission on Human Rights in 2013, the Colombian context was characterized not only by the existence of an internal armed conflict that left numerous victims of all ages and regions of the Country, but also because of the presence of a number of basic rights and needs that are unsatisfied in a large part of the population, and because of the inadequacy of the legal and governmental mechanisms available to achieve this satisfaction (Inter-American Commission on Human Rights, 2013, p. 269). And it is precisely these victims who need to be repaired –because they have been subjected to violation and ignorance of their human rights, and that reparation must be both patrimonial and perhaps –and this is what is proposed through this research, emotionally and ontologically.

Resolution 60/147, adopted by the UN General Assembly on 16 December 2005, sets out the basic principles and guidelines on the right of victims of human rights violations to lodge and receive reparations. In that resolution, the Assembly emphasizes the victims' right to be treated with compassion and respect for their dignity, and the right to access justice and redress mechanisms, and to clarify that while the duty to make reparation lies at the head of the direct responsible (which is often different from the State), it is the State that, in its guarantor position of the respect and application of human rights and international law on the subject, which is in the duty not only to incorporate those norms to the domestic law, but also to adopt all the procedures that effectively tend to ensure equitable, effective and prompt access to justice and to the establishment of sufficient resources for the victims reaches the correspondant reparation (United Nations, 2005). By virtue of such content, Resolution 60/147, insofar as it allows for the promotion of justice in the face of any serious violation or ignorance of human rights, includes a guideline necessary to guarantee and achieve the due fulfillment of all those International Treaties that promotes and recognizes the high character of human rights.

In this way, ensuring the establishment of reparation mechanisms and alternatives for victims of human rights violations is an international duty of the States to which they are committed, not by Resolution 60/147 (which is only a guideline developing truly binding instruments), but rather by subscribing to the various international instruments that recognize and declare the paramount importance of human rights, such as the Universal Declaration of Human Rights, the International Covenant on Civil and Policy, the Convention on the Rights of the Child, the Haya Convention and the Additional Protocols to the Geneva Conventions, among others<sup>1</sup>.

However, following the guidelines contained in the aforementioned Resolution, the Colombian State incorporated, through Law 1448 of 2011 related to Victims' Law and Land Restitution, a series of procedures and mechanisms that seek, among other things, to allow access of victims to reparation systems. This means that the Colombian State recognizes its duty to guarantee the victims –although only those who are victims of the internal armed conflict, access to reparation, which, in principle, seems to terms of UN Resolution 60/147.

In any case, it is necessary to recall that, as the Inter-American Court of Human Rights has pointed out, the obligation of States to make reparations to victims of human rights violations is, in itself, the rationale of the system of international

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<sup>1</sup> Judith Lichtenberg, "Negative Duties, Positive Duties, and the 'New Harms,'" *Ethics* 120 (2010): 557–578 at 561–562.

protection of human rights, from which it is inferred the exigibility of this duty to make reparation to the victims, by means of actions before said international jurisdiction:

The international protection of human rights should not be confused with criminal justice. States do not appear before the Court as defendants in a criminal action. The objective of international human rights law is not to punish those individuals, who are guilty of violations, but rather to protect the victims and to provide for the reparation of damages resulting from the acts of the States responsible.

The State has a legal duty to take reasonable steps to prevent human rights violations and to use the means at its disposal to carry out a serious investigation of violations committed within its jurisdiction, to identify those responsible, to impose the appropriate punishment and to ensure the victim adequate compensation (Inter-American Court of Human Rights, 1988, pp. 134, 174).

Likewise, in the Final Agreement for the Termination of the Conflict and the Construction of a Stable and Durable Peace, signed by the Colombian National Government and the Central Command of the Central Staff of FARC-EP on November 24, 2016 in the city of Bogotá, both parties entered into a series of commitments aimed precisely to securing a definitive end to the armed conflict between the State and the guerrilla group and establishing the minimum (although very specific) basis for building a solid peace. One of these commitments, as folio 127 et seq. of said Agreement, was the creation of an Integral System of Truth, Justice, Reparation and Non-Repetition, one of whose components is the following:

**Measures of integral reparation for peace-building:** These are measures that seek to ensure the integral reparation of victims, including rights to restitution, compensation, rehabilitation, satisfaction and non-repetition; and collective reparation of the territories, populations and groups most affected by the conflict and most vulnerable, within the framework of the implementation of the other agreements. To this purpose, existing mechanisms will be strengthened, further action will be taken, and everyone's commitment to redressing the damage caused will be promoted (High Commissioner for Peace, 2016, pp. 129-130) (Translated by the author).

Although this Integral System of Truth, Justice, Reparation and Non-Repetition is hardly in the stage of structuring, the text of the agreement thus signed may infer an obligation on the part of Colombian State, and even on the part of the ex-guerrilla group FARC-EP, to proceed –in the near future, to a reparation of the victims of the Colombian armed conflict, in the precise terms of Resolution 60/147 mentioned above, through the tools offered by said System, whose components are the (High Commissioner for Peace, 2016, p. 125):

- The Commission for the Clarification of Truth, Coexistence and Non-Repetition.
- The special unit to search for missing persons in the context and due to the armed conflict.
- The Special Jurisdiction of Peace.
- The set of integral reparation measures for the construction of peace.
- The Non-Repetition Warranties.

Thus, it is from these instruments, norms, judicial antecedents and expectations, from which arises the duty of the States, and specifically of the Colombian State, to repara the victims of human rights violations, understanding, of course, that the victims of the armed conflict are also, and for that reason, victims of serious violations of their human rights.

However, it being clear that there is a duty of the State in this regard, it is necessary to reflect close to who, in the current Colombian context, are holders of the right to reparation.

### **Characterization of Victims of Human Rights Violations**

Regarding the characterization of victims of human rights violations, Resolution 60/147 establishes that "victims" are all persons who have suffered damages, individually or collectively, including physical or mental injuries, emotional suffering, economic loss or impairment fundamental rights, as a result of acts or omissions that constitute a manifest violation of international human rights norms, or a grave breach of international humanitarian law, including the immediate family or persons in charge of the direct victim and the persons who have suffered harm in intervening to provide assistance to victims at risk or to prevent victimization (United Nations, 2005). As inferred from the above characterization, the quality of

victim occurs regardless of the context surrounding the victimizing acts, that is to say, regardless of whether the human rights violations occur within the framework of an international or non-international armed conflict or not.

However, Law 1448 of 2011 –which determines, at the domestic level, the duty of the State to establish and define the mechanisms to achieve reparation of victims, does establish a restriction in the sense of considering as such, only those persons that had been individually or collectively harmed by events that had occurred since 1 January 1985 and as a result of violations of international humanitarian law or of grave and manifest violations of international human rights standards that had occurred during the armed conflict (Article 3). Right now, in addition to Law 1448 of 2011 and its statutory decrees (including 4800 of 2011), no other legislation in Colombia establishes a duty, at the head of the State, to repare and compensate victims that had acquired this quality for another reasons differents than the internal armed conflict. This situation leaves all those people who have suffered different violations of their human rights for causes outside the internal armed conflict, out of the normative scope provided for there, which excludes a large section of the victimized population.

On the other hand, the Final Agreement for the Termination of the Conflict and the Construction of a Stable and Durable Peace signed by the Colombian National Government and the Central Command of FARC-EP, does not define precisely who will be understood in the condition of a victim capable of benefiting from the measures and mechanisms that will be implemented when the document be signed. What it does say, in a very vague reference to the Program for Integral Reparation of Victims (created by Law 1448 of 2011), is that a "victimization map" must be constructed, in wich –among other things were included and registered in the universe of victims inscribed in that mencioned Program for Integral Reparation of Victims (High Commissioner for Peace, 2016, p. 185). Although there is currently no certainty about this aspect within the current framework of post-conflict in Colombia, this could mean that the future process of recognition of victims will be somewhat less strict and rigorous than that which has been applied to the interior of the Unit for Integral Care and Reparation for Victims, but will continue to imply, in any case, a substantial limitation on access to the right to reparation, while again excluding all victims of human rights violations that would have reached this quality for another reasons differents than internal armed conflict in Colombia<sup>1</sup>.

In spite of the above, the victims that constitute the object of study and the proposal that is brought here are those children who have been violated in their human rights, including the right to special protection for physical development –mental and social, education, understanding and love of parents and society, to receive help in all circumstances and protection against all forms of neglect, cruelty and exploitation (United Nations, 1959), which are just some of the rights that the country's children have been deprived of, without distinction to the cause of the victimizing event. And it is not only within the context of an armed conflict that human rights violations occur; as expressed by the General Assembly of the United Nations through Resolution 60/147, by refraining from establishing, as a prerequisite of the right to integral reparation, that the violation of human rights had occurred for one reason or another determined.

Thus, it is already clear that there is a duty to repair and to whom have the right to claim such reparation. It is now necessary to go on to establish what are the characteristics that must meet the reparation to which the States are obliged, specifically the Colombian State.

### **What is the Repair to which Forces the UN 60/147 Resolution?**

In accordance with the terms of Article 18 of UN Resolution 60/147, reparation of victims of human rights violations must be complete and effective and include the following forms: restitution, compensation, rehabilitation, satisfaction and guarantee of non-repetition. The hermeneutic reading of this stipulation, based on an non-positivist (or inclusive, or axiological positivism) posture, makes it possible to infer that the intention of the UN General Assembly to establish the duty to make reparation in these aspects was to compel an integral reparation, in order to cover all the aspects that would have been affected by the violation of human rights. This has been confirmed by, inter alia, the Inter-American Court of Human Rights, for example, when it states:

Reparations are measures tending to eliminate the effects of the violations committed. Their nature and amount depend on the characteristics of the violation and on both the pecuniary and non-pecuniary damage caused. Such reparations shall

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<sup>1</sup> See, e.g., John Thøgersen and Ulf Schrader, "From Knowledge to Action – New Paths Towards Consumption," *Journal of Consumer Policy* 35 (2012): 1–5; William Young et al., "Sustainable Consumption: Green Consumer Behaviour when Purchasing Products," *Sustainable Development* 18 (2010): 20–31.

not result in the victims or their successors becoming richer or poorer and they shall be commensurate with the violations declared in the Judgment (Inter-American Court of Human Rights, 2006, p. 110).

This reparation, on the material and immaterial levels of the victim, has been called integral reparation or *restitutio in integrum*, which, in addition, is consistent with the classification of reparable items defined by the Office of the Special Rapporteur of the United Nations, within the Draft Principles and Basic Guidelines relating to the redress of gross violations of human rights, according to which reparation of victims should include restitution, compensation, **reconstruction of the life project**, satisfaction and guarantees of non-repetition (United Nations Commission on Human Rights, 1993). (Highlighted out of text).

It is worth mentioning, at this point, that for the purposes of this document, the reconstruction of the life project and measures of satisfaction are of particular importance. The Inter-American Court of Human Rights has defined the first, that is, the reconstruction of the life project –or life plan:

The so-called 'life plan' deals with the full self-actualisation of the person concerned and takes account of her calling in life, her particular circumstances, her potentialities, and her ambitions, thus permitting her to set for herself, in a reasonable manner, specific goals, and to attain those goals" (Inter-American Court of Human Rights, 1998, p. 37).

The second, that is, the measures of satisfaction, involve the inclusion of provisions such as verification of facts and full public disclosure of truth, search for missing persons, official statements or judicial decisions that restore dignity, reputation and rights of the victim, public apologies including acknowledgment of the facts and acceptance of responsibilities, commemorations and tributes to the victims, and the inclusion of precise references to the violations in the teaching of international standards of human rights and international humanitarian law (United Nations, 2005).

The reparation of victims, which must be, as has been said, in a comprehensive manner, entails not only the coverage of the pecuniary aspects that will eventually serve to restore assets and resources lost during the rape –insofar as this is possible, but also involves the satisfaction of certain aspects that were affected by the same violation of human rights, aspects closely linked to both the life project and the victim's emotions.

### **Scope of Integral Repair and Rol of Symbolic Repair**

Having said all this, it is pertinent to bring up the proposal named by Velásquez Zapeta, in 2008, as Maya Kem strategy. According to this, the integrality in the reparation of victims is reached when there is "the synergic articulation of the compensation measures that are applied in a certain place, at the same time and with the democratic participation of the same beneficiary population, at community level, municipal, regional or departmental" (Velásquez Zapeta, 2008, p. 199) (Translated by the author). This strategy involves three forms of work: the active participation of the victims in the design, planning and execution of the repair strategy; respect for victims as subjects of rights and as the ultimate reason for all activity; and the conception of the strategy as a dynamic of flexible application of compensation measures:

Material restitution operations are conceived as a medium around which qualitative and intangible operations (such as cultural restitution and psychosocial reparation) are developed, and it is hoped that these intangible measures will be able to remain longer in each community and that achieve the desired effects of increasing self-esteem and self-valuation of people as citizens subjects of rights (Velásquez Zapeta, 2008, p. 200) (Translated by the author).

However, as stated above, the Colombian context makes it possible to highlight the presence of child victims who have been or have been subjected to ignorance and violation of their human rights, and who, for this reason, need to be repaired, not only from a patrimonial-material perspective, but also, and in addition, from an emotional-immaterial, integral, and ontological perspective. Within that concept of integral reparation that seeks to claim being and allow the reconstruction of his life project from the wounds and traces that the violation of human rights left in his memory, symbolic reparation plays an important role for these effects as long as it seeks to bring the practice and experience of individuals to a level of abstraction that allows one to conceptualize a given fact and articulate it with other concepts so that the individual acquires adequate resilience. This has been hinted in a large part of international doctrine: "[symbolic reparation] can fulfill a relevant psychological function, helping the personal rupture with the traumatic past to which has been bound since the moment of the violation, and helping to integrating it to the present" (Beristain, 2010, p. 120) (Translated by the author).

Thus, the purpose of symbolic reparation consists precisely in allowing the victim, on the one hand, to redefine and resignify his own perception, that is, the perception he has of himself in front of the world around him, and on the other side, to rebuild his project of life from the new story that he has set it. This is precisely the same claim of integral reparation raised

within the Maya Kem Strategy. In this sense, it is considered that the exercise and the experience that this process of resignification and reconstruction make the victim through the narratives, enables the achievement of the claims and objectives of the integral reparation to which States are bound, in the way that is going to be explain in the next chapter.

However, attention should be drawn to the fact that in the Final Agreement for the Termination of the Conflict and the Construction of a Stable and Durable Peace subscribed by the Colombian Government and the FARC-EP, no further mention is made of this type of repair. At first, it is established that the Tribunal for Peace:

Without prejudice to the competence of the State Council in respect of monetary reparations, it [the Tribunal for Peace] may establish symbolic restorative obligations to the State and organizations respecting due process and provided that the organization or State has omitted effective procedures to prevent punishable conduct (High Commissioner for Peace, 2016, p. 162) (Translated by the author).

And then, in a second and final moment, it was agreed that collective reparation plans with a territorial approach should include, as one of its elements, "Material and symbolic measures aimed at attending the damage [...] guided to direct victims, individual and collective, such as actions of dignity, memory, homage and commemoration, infrastructure works and commemorative architecture "(High Commissioner for Peace, 2016, p.180).

Thus, although the symbolic reparation fulfills this remarkable resignifying function of the victim, being one of the most important and dignifying aspects of the integral reparation ordered by UN Resolution 60/147, it has not had –until the moment, the scope that corresponds within the Colombian post-conflict scenario.

### **Why the Narratives?**

*We are voices in a chorus that transforms lived life into narrated life*

*and then returns narrative to life,*

*not in order to reflect life,*

*but rather to add something else,*

*not a copy but a new measure of life;*

*to add, with each novel, something new, something more, to life.*

*Our life and everyone's life –there is no narrative adventure that,*

*somehow, is not a personal as well as a collective adventure,*

*the experience and destiny of one and all.*

(Fuentes, 1985)

Within a society in conflict such as Colombia, the victims –not only of the armed conflict but all those that are of the different violations of human rights, in addition to claiming recognition as such, demand an effective reparation that allows them to attend to their resilience process. Such a process does not occur, as has been said, by obtaining a pecuniary compensation or similar, but requires a true commitment towards the recognition of the other as the constructive subject of existence, reality and subjectivity of each victim. It requires the insertion and use of symbols that are part of the imaginary of individuals and that allow the apprehension of new values within the daily life of each being. In this sense, it is considered that the identification of the narratives that facilitate that process of resilience, and the understanding of the tools that each of them can contribute in that process, is the mechanism that can possibly transform the silence of children who are victims of human rights violations, in real, individual, and powerful voices, that will reinterpret the process of adaptation, overcoming and reconstruction of a new reality.

Why the narratives? It was previously said that integral reparation has a purpose of rebuilding the social fabric, and that such integrality is achieved insofar as the compensation strategies involve simultaneously the strateegy of redress and the individual himself as a subject of reparation. However, it is not possible to define narratives based on a precise notion of a particular activity, because it would be reducing its ability to articulate and produce meaning within a discourse.

Narratives, according to Anderson's understanding of them, are a two-way discursive process that involves the narrator and all the world which surrounds him, to construct a new and improved meaning of life:

Narratives refers to a form of discourse, the discursive way in which we organize, account for, give meaning to, and understand, that is, give structure and coherence to, the circumstances and events in our lives, to the fragments of our experiences, and to our self-identities, for and with ourselves and others. Narrative is a dynamic process that constitutes both the way that we organize the events and experiences or our lives to make sense of them and the way we participate in creating the things we make sense of, including ourselves... Our stories form, inform, and re-form our sources of knowledge, our views of reality... however, narrative is more than a storytelling metaphor; it is a reflexive two-way discursive process. It constructs our experiences and, in turn, is used to understand our experiences (Anderson, 1997, pp. 212-213).

Therefore narratives, whatever their form, and the methodologies that they incorporate (which contemplate routes that allow the inclusion of the voice and memories of the victims, the retrieval of documentary material, oral testimonies which leads to historical enlightenment and reconstruction of local memories, and make possible this symbolic reparation in addition to the generation of new knowledge and a certain guarantee of non-repetition), presupposes the reconstruction of the narrator's vision of events, a reconstruction that can be achieved either by written forms, or sounds, pictographic or other means. And precisely because of this, because the process of reconstruction of events involves the very voices of those who suffered –or still are suffering the violation of their human rights, the approach that should guide this process is the biographical-narrative, which allows and makes possible –according to Antonio Bolívar, the hermeneutic interaction of the following four elements:

(a) A narrator, who tells us about his life experiences; (b) An interpreter or researcher, who interpolates, collaborates and "reads" these stories to produce a report; (c) Texts, which include both what has been narrated in the field, and the subsequent report elaborated; and (d) Readers, who are going to read the published versions of narrative research. Therefore, the examination of narrative tales involves complex relationships between narrator, informants who have told us stories, and readers who interpret narrative forms from their frames of reference. Biographical accounts are texts to be interpreted (interpretandum) through another text (interpretans), which is basically the research report (Bolívar, 2010, p. 80)(Translated by the author).

Now, as the author mentioned above points out, once the stories that constitute the particular vision of each victim have been obtained, this narrative/story becomes a text/speech capable of being interpreted and, above all, capable of raising the voice of each one of the victims and resist the oblivion with which time and indifference conceal the individual and collective reality of each violation of human rights. In this sense, the recognition of the harm and pain that individually and collectively has suffered each victim, is especially important insofar as it allows, not only the individualization of each child as a particular subject within the conflict –and the postconflict, with its different and particular conditions and contexts that confer him or her a special and unique sense to his loss and his pain, but also allows the individualization of the precise measure of symbolic reparation that will enable, in that particular child, his repair, individual and –why not personalized.

And that is precisely the fault of the current measures of symbolic reparation that both the Colombian Constitutional Court and the Inter-American Court of Human Rights are ordering in those cases related to non-international conflicts and transitional justice: See, for example, the measure of symbolic reparation ordered by the Inter-American Court of Human Rights in the case of the Rochela Massacre v. Colombia, in which it was ordered:

A plaque with the date of the events and the names of the victims will be placed at the Courthouse of San Gil municipality, Santander department. Likewise, a photographic gallery of the victims will be installed in a visible and dignified place, with prior authorization from their representatives" (Inter-American Court of Human Rights, 2007, p. 81).

What does this measure say about each one of the victims whose names were recorded on that plaque? How can sons and daughters, wives and husbands, family and close friends feel repaired for the loss of their loved ones, by the inclusion of their names on a commemorative plaque? How can it talk about the particular context of each one of these victims, about the work they were doing, about their importance within a community, within a family? These immobile, inert measures, even when they try to recover the historical memory of the victims, do not really fulfill the purpose of the symbolic reparation of all the victims involved in that loss.

The exercise through narratives, on the other hand, focuses on the individuality of each person –in this case in each one of the children who have suffered some violation of their rights during the conflict, to intervene in an active and positive way

in the process of narration, comprehension and resignification of each life experience, in order to contribute to the reconstruction of both the project of individual life that was affected by the conflict and the social fabric that was broken on the occasion of the same.

However, this exercise cannot remain solely in the recovery of such narratives/stories. The life histories narrated by children victims of human rights violations, in order to have the reparative effect that they are expected to have, should be read and, above all, interpreted in the mentioned two-way discursive process. As González-Montegudo said, quoting Fraser:

'Learning and change result from the integration of concrete emotional experiences with cognitive processes: conceptual analysis and understanding'. Through learning, the adult symbolically travels from dependence to autonomy, from passivity to activity, from selfishness to altruism, from self-rejection to self-acceptance, from imitation to originality, from narrow interests to broad interests (Fraser, 1995:9) (González-Montegudo, 2017, p. 46).

For this reason, it is proposed a methodology of analysis –comprehensible and interpretive based on hermeneutics, but not that one which is possible within a single discipline, but that one which constitutes an interdisciplinary exercise, since human realities can not be approached, in the full extent of their complexity, from a single disciplinary field. For this reason, the narrative biographical method, which requires a hermeneutic perspective –in this case interdisciplinary, stands as the best mechanism to achieve the reading of the speeches that will constitute and shape the narratives, as the way that summarized by Bolívar:

Narrative-biographical research, as a branch of interpretive research, shares some of the general methodological principles of qualitative research, especially that interpretive or hermeneutic perspective, whose object is essentially discursive texts (Denzin and LINCOLN, 2006; VASILACHIS, 2006) (Bolívar, 2010, p. 79)(Translated by the author).

Thus, the mechanism proposed here through narratives becomes a dialogical exercise between victims and readers that, precisely because of this characteristic, makes possible reflection and with it also a change. One thing will be to read the conflict from the statistical data, or even from the same Peace Agreement, and another will be read it from the narrative made by anyone who has been affected by it, or by any other violation of their human rights. As the sociologist Sam Richards points out, regarding the possibilities offered by direct dialogue between the parties to the conflict: "These conversations, which previously seemed impossible to have, generate reflection, and reflection generates change" (Richards, 2016) (Translated by the author).

### **Conclusion: Biographical-Narrative Exercise as an Act of Symbolic Reparation**

According to the insinuations above, narratives have some properties to make the narrator give a certain meaning to his reality, according to the experience and the ontological resources available to him, but also according to that rational process with which he deals with that reality; but this process can be –in many cases determined precisely by the wounds and emotions to which the traumatic experience leads the victim. And it is that, according to Bruner, life, experiences and reality in them are meaningless, because it is the individual, each person who lives, experiences and is immersed in a reality, who confers to this reality the sense that his judgment and his reflection allow him.

[...] The mimesis between life so-called and narrative is a two-way affair: that is to say, just as art imitates life in Aristotle's sense, so, in Oscar Wilde's, life imitates art. Narrative imitates life, life imitates narrative. "Life" in this sense is the same kind of construction of the human imagination as "a narrative" is. It is constructed by human beings through active ratiocination, by the same kind of ratiocination through which we construct narratives. When somebody tells you his life—and that is principally what we shall be talking about—it is always a cognitive achievement rather than a through-the-clear-crystal recital of something univocally given. In the end, it is a narrative achievement. There is no such thing psychologically as "life itself" At very least, it is a selective achievement of memory recall; beyond that, recounting one's life is an interpretive feat. Philosophically speaking, it is hard to imagine being a naive realist about "life itself" (Bruner, 2004, p. 692).

Thus, the narrative process of a life story involves an expression of the way in which the person perceives and processes internally their experience and their own perception of their place in the world. In this way, a victimizing fact such as those involving a violation of human rights will be perceived –and narrated by the victim of the same, by the child who suffered this violation, in a way that will directly correspond to the capacity that has that child to understand that situation, to process it in his mind and to find a way to overcome it. And although the above-mentioned author argues that people are habituated to a certain way of perceiving their reality and their experience in the world, so they make it a kind of guide to structure all their experience and their future life (Bruner, 2004, p. 708), the fact is that narratives, because they involve a form of

expression, an act of language (written, musical, pictorial, etc.) and therefore an "act of meaning" (Bruner, 1990) the capacity to provide to each child victims of human rights violations with the necessary tools to build and transform their reality, so they can understand it and, with it, give it a new, renewed sense that calms the pain and close the wounds with which this reality marked them.

In 2011, Angus & Greenberg indicated, in what they called a Dialectic-Constructivist Narrative Model applicable to patients with a diagnosis of depression, that the process by which the patient exposes the narratives, the accompanying life stories, was foundational to he could give a new emotional meaning to his experience, and could attain a new understanding of himself (Angus, et al., 2012, p. 55). Although this model was designed for the treatment of patients with depression, it was intended to achieve that the experiences and perceptions that had led the patient to that state of depression, could be understood and articulated –through narratives– to other perceptions and images of himself, that allowed him to reach an emotional transformation, an emotional change, a healing of his wounds.

Further-more, they note that it is the narrative scaffolding of emotional experiences that provides a framework for the organization and integration of felt emotions with unfolding action sequences. For Angus and Greenberg (2011), core emotional experiences such as pain, hurt, sadness or loving compassion need to be situated and symbolized in the context of personal stories so that important information about a client's needs and goals, and the personal meaning of what happened, can be further articulated and understood...

The meaning of an emotion is understood when it can be organized within a narrative framework that identifies what is felt, about whom, in relation to a specific need or issue. As such, the reflexive processing and symbolization of clients' emotional experiences, in the context of salient personal stories, is viewed as a key intervention strategy that enables clients to meaningfully integrate their narrative and emotional lives, as a vehicle for therapeutic change (Angus, et al., 2012, p. 55).

According to the process written by these authors, narrative expression would allow victims of human rights violations a sincere and deep understanding of their own emotions, while allowing the visualization of different perceptions of themselves and their value in the world. In this way, it is considered that the implementation of this Model would be appropriate to achieve the other purposes of symbolic reparation, that is, to heal the wounds that the violation of human rights left in the child victims of the same.

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## Growing Importance of Machine Learning in Compliance and Regulatory Reporting

Dhrubajyoti Dey

### Abstract

Machine Learning is unquestionably one of the most exciting technology fields in the world today. The pace of discovery is almost unimaginably fast, and it seems each day we learn of new advancements, new technologies, new applications, and new opportunities. It's inspiring, but also overwhelming. In this paper we will take a examine the role of Machine learning in Financial sector

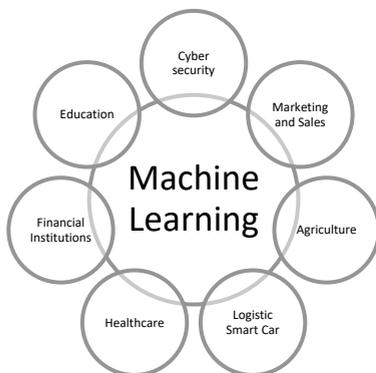
**Keywords:** Machine Learning, Regulatory Reporting , AI, Deep Learning

### Introduction:

Over the past few decades Machine Learning (ML) has become one of the backbones of information technology and with that, It has already revolutionized fields from image recognition to healthcare to financial markets.

Machine learning is magical, it teaches computers to do what comes naturally to creatures: learn from experience. Computational methods are used by ML to "learn" information directly from data without relying on a predetermined equation as a model. The algorithms improve their performance as the number of samples available for learning increases.

Few Real World Applications of ML-



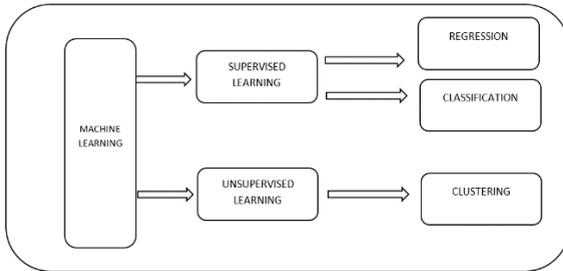
### Machine Learning Mechanism

Machine Learning (ML) is a highly interdisciplinary field which derives and builds upon ideas from statistics, computer science, engineering, cognitive science, optimisation theory and many other disciplines of science and mathematics. Broadly ML can be classified in 2 segments namely Supervised learning and Unsupervised learning .

Supervised learning is simply a formalization of the idea of learning from examples. In supervised learning, the learner (typically, a computer program) is learning provided with two sets of data, a training set and a test set. The idea is for the learner to "learn" from a set of labelled examples in the training set so that it can identify unlabelled examples in the test set with the highest possible accuracy

For example, All the recommendations at Amazon, Facebook, Google, Netflix, Youtube, etc. contains supervised learning techniques. All features or products of any companies such as face recognition, image classification, speech recognition would have used Supervised learning techniques

Supervised learning is extensively used in areas such as Bioinformatics , Database marketing , Handwriting recognition , Information retrieval , Object recognition in computer vision , Optical character recognition , Spam detection ,Pattern recognition



Unsupervised learning is more subjective than supervised learning, as there is no simple goal for the analysis, such as prediction of a response . The term “unsupervised learning” or “learning without a teacher” is generically associated with the idea of using a collection of observation  $X_1, \dots, X_n$  sampled from a distribution  $p(X)$  to describe properties of  $p(X)$ .

Clustering is basically grouping a set of data examples so that examples in one group (or one cluster) are more similar (according to some criteria) than those in other groups. This is often used to segment the whole dataset into several groups. Analysis can be performed in each group to help users to find intrinsic patterns. For instance, clustering individuals based on demographics might result in a clustering of the wealthy in one group and the poor in another

This is a data-driven method that can work well when there is adequate data; for instance, social information filtering algorithms, such as those that Amazon.com use to recommend books, are based on the principle of finding similar groups of people and then assigning new users to groups. In few cases, such as with social information filtering, the information about other members of a cluster (such as what books they read) can be sufficient for the algorithm to produce meaningful results. In other cases, it may be the case that the clusters are merely a useful tool for a human analyst. Unfortunately, even unsupervised learning suffers from the problem of overfitting the training data. There's no silver bullet to evade the problem because any algorithm that can learn from its inputs needs to be quite powerful.

Unsupervised learning has produced many successes, such as world-champion calibre backgammon programs and even machines capable of driving cars! It can be a powerful technique when there is an easy way to assign values to actions

### Machine learning to Deep Learning

Deep learning is making major advances in solving problems that have resisted the best attempts of the artificial intelligence community for many years .Deep learning can be based on both supervised and unsupervised methods . Deep learning allows computational models that are composed of several processing layers to learn representations of data with multiple levels of abstraction.

These methods have dramatically improved the state-of-the-art in speech recognition, visual object recognition, object detection and many other domains such as drug discovery and genomics. Deep learning discovers intricate structure in large data sets by using the **Backpropagation** algorithm to showcase how a machine should change its internal parameters that are used to compute the representation in each layer from the representation in the previous layer.

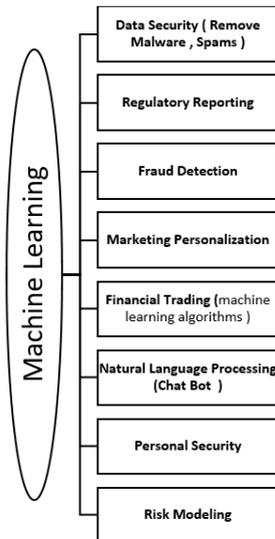
### Application within Financial Institutions ( FI)

With the advance of digital world , the amount of data gathered in Financial institutions (FI) have increased rapidly. The source of data for a Financial institutions could be many e.g. emails, internet banking, voice call, social media, websites etc . This information can be used to provide solution to meet the requirement of the customer which might be very unique and could be otherwise known and offered. Also After the financial crisis in 2008, many new regulations and supervisory measures were introduced that required FIs to report more detailed and more frequent data on more aspects of their business models and balance sheets

Data is critical not only for regulatory purposes but also for internal reporting, risk management purposes (i.e. in implementing the policies and practices set at the top of the organization), and identifying, assessing and adequately

measuring risk areas. Additionally, Financial institutions need to have reliable data and manage it adequately in order to conduct predictive analytics on customer transactions, account activities, credit card balances and loan portfolios, and to better gauge their preferences, receptivity to marketing programs, and changes in the pattern of their activities.

From the perspective of the Financial institutions revamping the infrastructure represents their biggest challenge and Machine learning can be efficient tool to analyse the data and report the correct data .



### ML in Regulatory Reporting

With millions of transactions taking place every day, it will be impossible for humans to study what is going on and identify patterns. Therefore, the analytics tools themselves must be able to evolve, taking into account new information and comparing it to past data in order to make decisions about the validity of transactions. Rather than having associates spending weeks, potentially months glued to a computer screen, intelligent programs can improve efficiency and reduce cost by elevating human involvement to reviewing sample sets, interrogating search results and analysing the end product.

The industry's current focus has been improving regulatory reporting procedures for banks and financial services firms, such as increased automation and digitization of Know Your Customer (KYC) rules, Anti-Money Laundering (AML) rules, and tax reporting

Machine learning, robotics, artificial intelligence and other improvements in automated analysis and computer thinking create enormous possibilities when applied to compliance. Data mining algorithms based on machine learning can organize and analyze large sets of data, even if this data is unstructured and of a low quality, such as sets of e-mails, pdfs and spoken word.5 It can also improve the interpretation of low-quality data outputs from payments systems. Machine learning can create self-improving and more accurate methods for data analysis, modeling and forecasting as needed for stress testing. In the future, artificial intelligence could even be applied in software automatically interpreting new regulations.

Machine learning identifies complex, nonlinear patterns in large data sets and makes more accurate risk models. By adjusting algorithms based on newly acquired information, their predictive power improves through use. This has several potential applications in compliance. In stress testing and risk management, it would benefit definition of models, the calculation and simulation of stress scenarios, and improve the accuracy and granularity of statistical analyses.

Big financial services firms are starting to use robotic process automation, natural language processing, and natural language generation to gather and organize structured and unstructured data for a wide range of business and compliance processes – from credit scoring, product pricing, limit management, and loan reviews to fraud management, vendor risk management, compliance testing, collateral management, report generation, and claims processing. This advanced

automation improves efficiency and reduces compliance costs. Perhaps even more important, it enables a firm's valuable and scarce analysts and experts to do the jobs they were hired to do, instead of spending most of their time manually collecting data and updating spreadsheets.

Machine learning has a long way to go and it will be interesting to see how the world adopts to this new culture

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## Professional Discourse as Social Practice

Silvia Blanca Irimiea

### Abstract

Professional discourse (PD) has come under close scrutiny for the last two-to-three decades. The discipline termed 'professional discourse' developed side by side with the related fields of organizational discourse, workplace discourse, institutional discourse, and more recently, corporate discourse, all related to or rather subservient to specific forms of communication. From the earliest studies and continuing today, communication-related studies have been interdisciplinary, drawing on sociology, psychology, anthropology, linguistics, and any discipline that could shed light on human behaviour in particular settings. It is the purpose of the present article to show the link between professional discourse and social practice and to link it to sociological theories. The study goes out from a presentation of PD (Gunnarson 1997), the differences between the terms 'institutional discourse' and 'professional discourse' as proposed by Sarangi and Roberts (1999: 15-19), Koester's definition of 'institutional discourse', Gotti's notion of 'specialist discourse', Drew and Heritage's (1992:3) notion of 'institutional talk'. The characteristics of PD are viewed in terms of the functions it may perform and draw on Chiappini and Nickerson (1999), Linell (1998), Mertz (2007), and Kong (2014). Social practice and social practice theory, on the other hand, build on the tenets of Bourdieu (1989), Giddens (1984), Schatzki (2002), Reckwitz (2002), Jackson (2005) and Holtz (2014). While discourse, in general, has been viewed from the social structuration perspective by SFL and CDA scholars, the PD relationship to social practice followed the social constructionist approach. PD is explicated through the role discourse plays in professional socialization and identity creation (Kong 2014, Smith 2005). Other notions, such as Wenger's (1998) 'community of practice', 'shared repertoire' are discussed in relation to the use of PD as well. Finally, possible directions for further research inquiry are put forward.

**Keywords:** professional discourse, social constructionist theory, social practice, professional socialization, identity formation

### Introduction

The research paper seeks to examine the way in which professional discourse relates to social practices and the role(s) it performs vis-a-vis society.

Professional discourse studies have developed in the last two-to-three decades. As a discipline it has been dealt with in a scholarly manner by many applied linguists and discourse analysts. The first notable work on professional discourse is *The Construction of Professional Discourse* (Gunnarson et al., 1997), an anthology which became referential for the study of professional discourse. According to Gunnarson (1997), professional discourse emerged from the overall discipline of applied linguistics and applied discourse analysis and belongs to the area of languages for specific purposes (ESP) or specialized languages. The discipline termed 'professional discourse' developed side by side with the related fields of organizational discourse, workplace discourse, institutional discourse, and more recently, corporate discourse, all related to or rather subservient to specific forms of communication.

From the earliest studies and continuing today, communication-related studies have been interdisciplinary, drawing on sociology, psychology, anthropology, linguistics, and any discipline that could shed light on human behaviour in particular settings. It is the purpose of the present article to show the link between professional discourse, social practice and sociological theories. The scholars who addressed the relationship between discourse, in general, or other forms of discourse, such as political, media, educational, organizational, etc. and social practice theories embraced the structuration theory proposed by Giddens (1979/1994). The approach has been reflected in the collection of papers on SFL and CDA *Systemic functional linguistics and critical discourse analysis: studies in social change* (Harrison and Young 2004). Both SFL and CDA have developed indepth analyses of discourse in several settings, inviting researchers to find new transdisciplinary ways to continue the investigations of discourse and to theorize on the dialectics of discourse. In contrast,

professional discourse has been investigated less thoroughly from a *social constructivist* perspective (Kong 2014, Smith 2005).

The present study goes out from a presentation of PD which is indebted to Gunnarson (1997), from the differences between the terms 'institutional discourse' and 'professional discourse' as proposed by Sarangi and Roberts (1999: 15-19), Koester's definition of 'institutional discourse' (2010), Gotti's notion of 'specialist discourse' (2003) and Drew and Heritage's (1992: 3) notion of 'institutional talk'. The characteristics of PD are viewed in terms of the functions it performs and draw on the works of Chiappini and Nickerson (1999), Linell (1998), Mertz (2007), and Kong (2004). Social practice and social practice theory, on the other hand, build on the tenets upheld by Bourdieu (1989), Giddens (1984), Schatzki (2002), Reckwitz (2002), Jackson (2005) and Holtz (2014). The PD relationship to social practice is then explicated through some theoretical principles grounded on *constructionist* views and on the role discourse plays in *professional socialization* and *identity creation*. Other notions, such as Wenger's (1998) 'community of practice', 'shared repertoire' are discussed in relation to the use of PD as well. Finally, possible directions for research inquiry are put forward.

The research is based on and valorizes the research of four previous studies on professional discourse ('Professional discourse, Professional workplace discourse', 'Workplace discourse', and Organizational and institutional discourse') published in 'Rethinking Applied Linguistics' (Irimiea, S. 2017).

### **Professional discourse and the related discourses**

*Professional discourse* has a relatively recent history but has developed rapidly into a complex interdisciplinary study. It emerged from (social) realities and has become the object of discourse analysis, or rather applied discourse analysis, and as part of applied linguistics. It has been approached as a complex interdisciplinary study to which some methods of analysis used for the study of its subservient disciplines have been applied.

Professional discourse, as well as workplace and institutional discourse have generated a debate among discourse analysts regarding their identity and their association with other fields of professional specialism. Bargiela-Chiappi and Nickerson (1999) speak about three types of discourse: a discourse called by Gunnarson et al. (1997) 'professional discourse', an 'institutional discourse' described by Agar (1985), Drew and Sorjens (1997), and a 'business discourse' (Bargiela-Chiappi and Nickerson (1999). Professional discourse was described by Gunnarson et al. (1997: 5) in the introduction to their book *The Construction of Professional Discourse* as belonging to some domains like legal, medical, social welfare, educational and scientific for which it represents 'a unique set of cognitive needs, social conditions and relationships within society at large'. Bargiela-Chiappi and Nickerson argue that 'beyond the specificity of individual professional discourse there are common underlying processes' (1999:1), without, however, highlighting them. *Institutional discourse* as promoted by Agar (1985) was viewed as an 'interaction between an expert and a lay person'. According to these definitions, Bargiela-Chiappi and Nickerson classify professional discourse as 'a hyper-category that encompasses several others' and suggest that or 'rather it is a collective category where discourse is intended in the singular and towards which other institutional genres converge by virtue of sharing some of its characteristics' (1999:1). In contrast, *business discourse* 'can be seen to be sharing in many of the general characteristics of professional discourse not only through *intertextuality* but also through *interdiscursivity*, that is through constitutive linguistic features which can be found in various business discourse genres' (Idem.). Bargiela-Chiappi and Nickerson (1999:1) consider that 'the status of the interactants could be seen as a decisive element in the distinction between professional and business discourse: as already mentioned above, in the former (but not in the latter) a lay person is often involved and the professional discourse is therefore of an institutional nature'.

Yet, some other authors, like Almut Koester (2010), following a longer research tradition, launched the notion of 'workplace discourse', described as a type of discourse that belongs to professional discourse, to institutional discourse and also to business discourse. Koester goes out in his argumentation from Wenger's (1998) 'community of practice' category and from Swales' (1990: 24-27) 'discourse community' notion. Wenger's (1998: 72-73) *community of practice* was based on three components: mutual engagement, joint enterprise and shared repertoire. Swales' *discourse community* consisted of six components: (1) a set of public goals, (2) mechanisms of communication among its members, (3) participatory mechanisms aimed at providing information and feedback, (4) one or more genres in the communicative repertoire to further its aims, (5) a specific lexis, (6) a threshold level of members with a suitable degree of relevant context and discursive practice (Swales, 1990: 24-27, quoted in Koester 2010: 8). Koester's book lays emphasis on how discourse community uses discourse, or more specifically, how it uses 'one or more genres'. In his book Swales, like many other analysts, opted for a rhetorical stance, paying more attention to the description of genres and overlooking the contribution of communities. In contrast, other analysts belonging to the social constructionist school of genre, including Freedman and Medway (1994),

focused more on 'linking genres to the values and epistemology of the discourse community' (Koester, 2010: 8). According to Koester, Wenger's notion of 'shared repertoire' is a more comprehensive notion than the notion of 'genre', as it embraces much more, both linguistic and non-linguistic elements and is defined as 'notions, words, tools, ways of doing things, stories, gestures, symbols, genres, actions and concepts' (Wenger, 1998: 82).

## **The emergence and development of professional discourse studies**

### **Designations**

Professional discourse emerged from the overall discipline of applied linguistics and applied discourse analysis (Gunnarson, 1997). It belongs to the area of languages for specific purposes (ESP) or specialized languages and can be assigned different other designations, such as *special languages*, *specialized languages* and more recently, *Academic and Professional Languages*. Raquel Martinez Motos (2013) imports the term *Academic and Professional Languages* from Alcaraz (2000). Gunnarson (1997: 285) cautiously referred rather to 'applied discourse analysis' than to 'professional discourse' although most of her work is centred on professional discourse. As editor (along with Linell and Norberg) she also titled an anthology 'The Construction of Professional Discourse (1997)', an anthology which became referential for the study of professional discourse in the 1990s.

The first decade of the 21<sup>st</sup> century has launched a new concept of society, a 'knowledge-based' society, characterized by *interdisciplinarity* and a pronounced tendency towards *specialization*. It also continued the uncertain identity of these types of discourse by developing other designations. The term 'Academic and Professional Languages' (Motos, 2013:4) appears to be the most recent term used with reference to what has been called traditionally *technical language*, *special language*, *specialized language*, *language for specific purposes*, *professional language*. The term, coined earlier by Alcaraz (2000), refers to the language used by specific knowledge or professional communities or groups, such as chemists, lawyers, physicians, etc., to account for the shared values and institutions and the use of the same genres and terminology in their intra-community communication.

At the same time, Kong (2014) uses the designation 'professional discourse' to refer to the same type of language. Given the lack of consensus among scholars regarding the designation and the boundaries that might separate the concepts we shall refer only to 'professional discourse' as it was adopted by Kenneth Kong (2014).

### **The practice-related origin of professional discourse and its theoretical tenets**

According to Kong (2014), professional discourse studies have diverged into two directions: on the one hand, the applied discourse studies in the form of case studies and conversation or interaction analyses emerged earlier than the theory-related tenets of the discipline. They go back to the early 1970s and are indebted to the applied discourse research carried out mainly in educational settings. This research was associated with and focused on classroom interaction. Kong points out that 'professional discourse analysis has been deeply entrenched in the traditions of the teaching of English for Specific Purposes (ESP), in Britain and on the European continent, and the teaching of composition and rhetoric in the US'. He also notes that 'This pedagogical focus has shifted attention away from the central issues of power and domination to the more practical values of use and function.' (2014: 2)

On the other hand, the theoretical tenets of professional discourse, focused entirely on what was called 'professional discourse', emerged later, in the late 1990s, stimulated by the development of microanalyses in the field. The theoretical framework of professional discourse (PD) grew out of the interest of researchers in more reality-bound areas of society, where discourse is used in real-life communication for the purpose of carrying out activities and solving problems. One scholar to address the issue consistently was Gunnarson in 1997.

Both the theoretical framework and the practical research were focused on language use in authentic, work-related settings. Several analysts, such as Bazerman and James Paradis (1991) focused on writing in professional communities, Drew and Heritage (1992) viewed spoken discourse in a variety of professional settings, while Firth A. (1995) analyzed intercultural negotiations.

The studies carried out in the first decade of the 21 century, attempted to define what 'profession' and 'professional' mean. According to a very succinct definition, *professional discourse* is the language used by professionals, such as lawyers, doctors and engineers. Gradually, the term 'professional' was extended to many other new professions, which are part of a phenomenon that Gee et al. (1996) call the 'new work order'. Kong defines professional discourse as 'the language produced by a professional with specialist training to get something done in the workplace' (Kong, 2014: 2). In an attempt

to show the differences, Kong's definition blends all three major features: 'a professional', 'specialist training' and 'workplace', although the fact that this particular discourse is used in the workplace may raise ambiguities or confusion.

However, the broadest definition of professional discourse is provided by Linell (1998), who affirms that 'professional discourse can be divided into three categories:

- (1) intraprofessional discourse, or discourse within a specific profession, such as communication among academics;
- (2) interprofessional discourse, or discourse between individuals from or representatives of different professions, such as communication between medical doctors and pharmaceutical sales persons, or between accountants and engineers; and
- (3) professional—lay discourse, such as communication between lawyers and their clients, or between advertisers and their potential customers' (quoted in Kong, 2014: 3).

Kong speaks about an additional category of discourse, the *regulatory professional discourse*, a discourse used to regulate or control a profession. He argues that

'This category includes, for example, the codes of practice issued by a hospital to doctors and nurses. Regulatory professional discourse, usually taking an occluded form, should belong to the categories of intraprofessional or interprofessional discourse. Certainly, regulatory discourse can be written by peers or professionals of other categories but there is a very significant difference compared with other kinds of communication, mainly in that regulatory discourse has a very strong normative function in shaping and forming the profession in question' (2014: 3).

Just like any kind of discourse, the main function of professional discourse is to provide and exchange information. Kong adds to this function or dimension another important dimension, 'the *interactional or affective function of language in professional contexts*, where interpersonal negotiation of meaning is always at stake' (Idem.).

Just like any form of discourse or communication, professional discourse may be targeted at the following actors: (1) professional peers, (2) different professionals and (3) laymen. Finally, it can be used as a regulatory means to control the practice of professionals themselves.

### **Social practice and social practice theories**

Notions such as 'social practices', 'social', 'society' have become highly debated issues associated with an increasing number of disciplines that study individuals and their activities. The discussion of discourse and its role in social practice can start from the assumption that 'language is the product of culturally, historically and ideologically driven generalizations and classifications which tend to stereotype individuals and solutions to problems' (Rojek et al. 1988, quoted in Kong, 2014:3).

Activities, behaviours, routines, emotions, etc. take place in a social environment, since an individual cannot live, function, and survive unless he lives in a group or community of human beings. All human dwellings develop in a social context, thus sociologists, anthropologists, psychologists, linguists, etc. also study the 'social', which reversibly, is constituted by 'the behaviour of individuals who have some freedom to choose among alternatives and hence the individual and his/her incentives and decision-making strategies cannot be neglected' (Holtz, 2014, 2.1).

Social practice theories (SPT) go back to theorists such as Bourdieu (1989) and Giddens (1984) and view practices as the 'central starting point for understanding social systems' (Idem.). Giddens (1984) is the promoter of the theory of *structuration*, which views social practices as 'mediating between actors and structure and puts them in central stage' (Idem.). Giddens postulates that 'The basic domain of study of the social sciences, according to the theory of structuration, is neither the experience of the individual actor, nor the existence of any form of societal totality, but social practices ordered across space and time' (1984:2).

Social practices have received growing research attention as a promising area that can provide valuable insights into everyday activities, routines and relationships among human beings. According to Holtz (2014, 1.1.), they refer to 'everyday practices and the way these are typically and habitually performed in (much of) a society'. The practices are important, even vital to humans, are meaningful and represent 'parts of their everyday live activities' (Idem.). Quoting Reckwitz (2002), Holtz explains that these practices are 'routinely performed and integrate different types of elements, such as bodily and

mental activities, material artefacts, knowledge, emotions, skills, and so on' (2014, 1.2.). Reckwitz provides a comprehensive definition of social practices:

'a *practice*'...is a routinized type of behaviour which consists of several elements, interconnected to one other: forms of bodily activities, forms of mental activities, "things" and their use, a background knowledge in the form of understanding, know-how, states of emotion and motivational knowledge. A practice – a way of cooking, of consuming, of working, of investigating, of taking care of oneself or of others, etc. – forms so to speak a "block" whose existence necessarily depends on the existence and specific interconnectedness of these elements, and which cannot be reduced to any one of these single elements' (2002: 49-50).

The 'block' of these elements forms an 'enduring, self-stabilizing pattern' (Holtz, 2014), whose elements seem to "glue together" (Røpke 2009). Røpke opines that 'a practice is reproduced by individuals, while new individuals are recruited to the practice' (Holtz: 2.4.). Holtz (quoting Reckwitz 2002) suggests that social practice 'constitutes a situation that captures individuals in a specific behaviour which adds to the reproduction of this practice across space and time' (Idem.). Hence it follows that *individuals* are 'carriers of practices' who do not freely accept or choose between practices on the basis of their free choice, on the usefulness practices bear to them or on the basis of their concepts or determination, but who are "recruited" to practices according to their background and history' (Reckwitz 2002, quoted in Holtz 20014: 2.4).

Theorists, including Schatzki (2002), Reckwitz (2002), Shove and Pantzar (2005) and Warde (2005), conceptualized practices and concluded that in the literature of social practices 'there is no generally accepted or dominant list of elements that constitute a practice' (Holtz, 2014: 2.5.). However, in their conceptualization of practice, three components are important: material, meaning and competence components. It would be noted that these categories are not clearly defined, have no clear boundaries, and are 'partly embodied in the practitioner' (Idem.). These components are linked by individuals when engaging in a practice (Idem.).

The conceptual framework of practices is basically formed by individuals, whose role is to integrate the components in the performance of practices and processes, which link the components (Shove and Pantzar 2005). Shove and Pantzar (2005) suggest that a *practice* is a configuration of three components: *material*, *meaning* and *competence*, which are partly embodied in the practitioner. The material component represents all physical aspects of the performance of practice and human body. It includes all material artifacts and bodily activities. Shove and Pantzar (2005) also postulate that 'The components are linked by individuals when performing a practice' (Holtz, 2014). For example, the activity 'going to work' is made up by going to the bus stop, buying a ticket, getting on the bus, taking a seat, etc. The *meaning* component includes the issues that are important for the material component, such as understandings, beliefs and emotions. In the example 'going to work' they represent the issues: price, social status, flexibility, etc. Finally, *competence* involves all the skills and knowledge that are instrumental in performing the practice. In the given example, they refer to: driving skills, knowledge of public transport, buying tickets, bus stops, etc. Shove and Pantzar (2005) assume that the individual who is an 'empty container', in which 'meaning and competence are embedded and evolve', links the components 'making the practice as a composition of components complete' (Holtz, 2014).

Theorists hold the view that for a practice to be successful, a basic required feature is 'coherence'. It ensures two qualities to practices: persistence and spread which, in order to function require at least two conditions: cognitive consistency (Read and Simon 2012) and routine behaviour. The latter means that human actions are based on habits which are performed, 'efficiently, effortlessly, and unconsciously repeated or transferred from similar situations in the past to the current situation' (Holtz 2014: 3.7.). Theorists opine that competence and material must fit and that the 'fit' is inherent in human nature or in 'deeply ingrained aspects of the respective culture' (Idem.). If the components 'fit', the routine runs smoothly and the individuals do not feel the need to change it.

However, social practice theory does not explain how the components 'glue together', how certain practices become successful, are spread and preserved, while other practices are more prone to extinction.

## **Professional discourse and social practice**

### **Discourse as social practice**

From the relatively broad range of discourses, political discourse has been prevalently investigated by Systemic Functional Linguistics and Critical Discourse Analysis scholars as *social practice* and as a *means* of analyzing current global changes. The endeavour of SFL to study the relationship language bears to society stems from the very mission SFL has devoted

its research to. Systemic Functional Linguistics (SFL) has developed in the last 45 years as a theory and research area which examines the functions that language performs in society. To this purpose, language scholars have directed their attention to the examination of 'real' language events 'to understand the purposes language serves in a variety of contexts, and to understand the way language itself functions' (Young and Harrison, 2004:1). In a collection of papers on SFL and CDA edited by Harrison and Young in 2004 and titled *Systemic functional linguistics and critical discourse analysis: studies in social change*, SFL scholars have problematized different aspects affecting social life and social change both at global and national level, trying to find out how national (Fairclough 2004, Abdullah 2004, Hoon 2004) or institutional identity is being shaped by texts and discourses. SFL scholars investigated the discourses used in such areas as culture (Adendorff 2004), education and schooling (Christie 2004), legislation (Carvalho Figueiredo 2004), the media (Polovina-Vukovic 2004), bureaucracy (Harrison and Joung 2004), business, etc. Their intent was to show how discourses are used to create or alter identities and to provide linguistic evidence of how discourses structure and are structured by institutions in government, education and industry. In pursuing these purposes the authors analyzed the data resulting from some selected texts, most of which pertain to political issues and the mentioned ones.

From among the SFL oriented researchers who engaged in this study, Meurer (2004) comes as close as possible to Giddens' *structuration theory* and shows how it can be used to SFL and CDA analyses. Meurer uses structuration theory and social practice to analyze Noam Chomsky's *On the Bombings* (2004) text. In addition, Meurer demonstrates how 'intercontextuality' (a concept derived from and in analogy to 'intertextuality' and 'interdiscursivity') can determine and be influenced by other texts, discourses, genres and social practices.

Fairclough (2004) analyses Tony Blair's *Foreword* to a UK Department of Trade and Industry White Paper called *Our Competitive Future: Building the Knowledge Economy*, where he employs: 'texturing', modality representations of the processes (material, existential, relational and verbal) and relations, the actors involved in the processes (human, non-human), agency- non-agency features, the relationship between sentences (additive, contrastive, elaboration, etc.), the number of sentences and clauses and their relationships, the overall semantic pattern or rhetorical formation of the text to cast a glimpse at how texts and interactional analysis can reflect social changes. Furthermore, he uses these features to theorize on the dialectics of discourse. Fairclough concludes that the discourse in question is a new discourse constituted in relation to or as a result of the subversion of other discourses. Fairclough did not analyse the text from the points of view of genre and style, 'as a form of political action' and as a form of 'constituting the identity of a political leader'. He asserts that 'Discourses can be socially constructive, i.e. social life can be remodelled in their image', but admits that 'there are no guarantees in that regard' and that 'There are conditions of possibility for discourses to have such constructive or performative effects' (Fairclough *et al.* 2002). He also suggests that such a text is 'positioned' in complex chains or networks of texts with which it 'contracts intertextual relations, both retrospective and prospective' (2005:114), and that the concept of *recontextualization* can illuminate the dynamics of these relations (Bernstein 1990). Fairclough introduces the concept of *orders of discourse*, which stand for 'the linguistic moments of networks of social practices, whose elements are discourses, genres and styles.' (Idem.) Starting from there, Fairclough invites researchers to embrace 'transdisciplinary' ways for discourse investigations and text analyses and to link linguistic analyses to social analyses thus helping linguists contribute more substantively to social research.

### **Professional discourse as social practice: professional discourse and social constructionism**

In contrast to discourse, in general, professional discourse has been investigated less systematically and less thoroughly in relation to society and social practices and/or social change. The research oriented towards social practices and society has been grounded on social constructionist theories and less applied to specialized texts and genres representing professional discourse. Professional discourse has been approached through interactional discourse analysis, written and oral discourse and genre analyses, and through rhetorical analyses. In spite of some forthcoming studies carried out in professional discourse, the studies cannot be subsumed to a coalesced research method or movement. The theoretical stance adopted by professional discourse researchers has rather been social constructionist-grounded as reflected in Kong's work *Professional Discourse* (2014).

One obstacle in the broader and more indepth study of professional discourse in relation to society has been the somewhat unclear identity of professional discourse due to its convergence with so many other discourse types. Professional discourse refers to discourse used in a specific profession or context, such as education, politics, health, etc. domains which can be associated with institutions and organisations, which, in turn, have been investigated by SFL, CDA, institutional and organizational discourse scholars.

Another reason for the lack of a sustained interest in professional discourse and the lack of a coherent movement can be partly explained through the researchers' concerns which have been channelled in the direction of genre analyses. Such a research area seemed more instrumental in teaching teachers, professionals and students how to use profession-specific genres and texts, both in writing and in oral communication in order to help them become successful in their professions. Kong (2014: 3) acknowledges this assumption in the following words: 'the pedagogical focus has shifted attention away from the central issues of power and domination to the more practical values of use and function'. He recognizes the advancements made in other areas of discourse, admitting that 'there are many issues that have been intensely raised in other cognate approaches (e.g. Critical Discourse Analysis) but remain unanswered or even unexplored in the analysis of professional discourse'. Kong adds that 'There are several theoretical assumptions that have to be spelt out before we move on, such as social constructionism and social practice, socialization and identity, and indexicality, reflexivity and performativity' (Idem.). This is the reason why Kong has devoted a great deal of attention to these issues.

According to the *social constructionist* perspective, discourse is 'a set of meanings, metaphors, representations, images, stories, statements and so on that in some way together produce a particular version of events ... Surrounding any one object, event, person, etc., there may be a variety of different discourses, each with a different story to tell about the world, a different way of representing it to the world' (Burr 1995: 48 quoted in Kong 2014:3). This definition of discourse is reverberated by Gee, who understands discourse with capital D as 'ways of being in the world, or forms of life which integrate words, acts, values, beliefs, attitudes, and social identities'(1996:127). From these definitions, Kong infers that 'Any artifacts are hence constructed out of certain cultural, historical and ideological contexts and cannot be assumed to be natural or context-free'(Kong 2014: 3).

In respect of the relation discourse bears to social practice Kong states that:

In a similar vein, discourse has been regarded as a form of social practice in which users of any discourse are not aware of their own actions in an interaction. They behave the way they do just because it is the way of being and acting in that particular situation. For example, classes have been conducted in the traditional format of Initiation-Response-Follow-up, which means it is always the teachers who initiate questions, topics and so on, and it is always the students who respond to them, leading to the follow-up acts of the teachers. (2014:4)

The example provided by Kong in the quoted lines accounts for the use of discourse by different actors or interactants as a 'form' of social practice in line with the social constructionist perspective. Hence Kong draws the conclusion that

'Teachers and students cooperatively construct this social practice every day without tacit knowledge or overt awareness of the pattern but it is this very pattern that leads to a particular classroom reality and consequently the unequal power distribution between teachers and student'. (Idem.)

Kong's example is suggestive in several respects: first, it reaffirms the scholars' tendency to revert to examples drawn from teacher-student interactions and to draw on pedagogical issues; second, it states that both interactants, i.e. both teacher and students, are co-participants in the construction of a social practice; third, the participants in the practice act unawares of the pattern they enact; fourth, a particular social practice turns into a classroom (e.g. contextualized social) 'reality'; fifth, the pattern, or social practice perpetuates an unequal role and power distribution in society. Since the interaction between teacher and student is an unequal one but does not have other social consequences or implications, at this point Kong does not pursue the issue further.

### **Written professional discourse**

In regard to the written manifestations of professional discourse, Kong quotes Rafter and Rubin (1988) and suggests that

'written text is a form of social constructionism because (1) writers construct mental representations of the social contexts such as audience and power difference during the writing act; (2) writing as a social process can articulate or constitute social contexts; (3) a text may be a collaborative effort of a group of people; and (4) writers assign "consensual values" to writing, thereby constructing a particular dimension of social meaning'(Idem.).

The quoted fragments clearly suggest that professional discourse and professional written discourse represent forms of 'social constructionism' thereby revealing the social constructionist underpinnings of his writings.

Kong further notes that the reader of a written text engages in a social interaction in which he negotiates the meanings like in a face-to-face interaction. Kong quotes Smith, who interprets the text-reader interaction as a 'text-reader conversation'

where: 'first, a reader has to activate a text and becomes an active agent of the text; second, the reader has to respond to it in any ways relevant to his or her work'(Idem.).

Smith (2005) assumes that written texts play an important role in 'constructing social organization in different locations and at different times', a role which she explains:

The capacity to coordinate people's doings translocally depends on the ability of text, as a material thing, to turn up in identical form wherever the reader, hearer, or watcher may be in her or his bodily being...Texts suture modes of social action organized extralocally to the local actualities of our necessarily embodied lives. Text- reader conversations are embedded in and organize local settings of work. (166, quoted in Kong, 2014: 4)

According to Smith (2005), first, texts, if they are well written, in their material and established form, play an essential role in coordinating people's actions wherever people act. Second, texts ensure the integration of social actions into the social context, which she calls 'local actualities of our necessarily embodied lives'; third, and very importantly, such 'conversations' 'are embedded in and organize local settings of work', which in our interpretation refers to the local professional or workplace environment.

In addition to these considerations, Smith (2005) points out the reasons why texts may have a universal value and may be used by people 'independent of local time, place or person': texts used permanently or constantly create patterns or standards, and due to printing technologies they can be used by any social organization or user, for the same purposes' (quoted in Kong, 2014: 4), we might add.

From the above quoted fragments, Kong concludes that 'written text should be regarded as a social action or social practice that happens at a particular time when the writing is created. It is activated again when a reader reads it and responds to it in an appropriate way, possibly leaving a long gap between production and reception' (2014:4). At the same time, Kong warns that such an interpretation of texts is too general ignoring at least two factors: on the one hand, the subjectivity of the receptor or reader, who is at liberty to interpret the text in his own way, second, the nature of the text may be different, thus resulting in different effects, and third, the social context in which a text is used may differ from the one in which it was generated, hence it may also result in misuses or misinterpretations.

### **The social roles played by professional discourse: professional socialization, identity formation, reflexivity, performativity**

We shall consider some stances in which professional discourse accomplishes social roles or functions. Discourse has acquired several specific roles vis-à-vis the use of language and the society in which it is used. First, it plays an important role in *professional socialization*, which is 'the process by which individuals acquire specialized knowledge, skills, attitudes, norms, and interests needed to perform their professional roles acceptably' (Eden 1987, quoted in Kong, 2014: 5).

Kong (2014) estimates that the role discourse plays in professional socialization is important for at least two reasons: on the one hand, professional 'attributes' or 'frames' are acquired mainly through discourse or through what Wenger (1998) calls 'mutual engagement' (understood as engagement in interactions) and 'shared repertoires'. This is a complex process which takes place in a community of practice, which in turn is based on the commonly constructed collection of social practices (in essence, 'shared repertoires') resulting from interactions ('mutual engagement').

On the other hand, the importance of discourse for professional socialization is made relevant in the *competence* of a professional, a competence which rests mainly upon his or her ability to use the 'specialist or special language', or rather appropriate language, in a particular situation and work environment. This reversible and cyclic process makes the use of 'professional' discourse extremely important for the *professional identity* of a professional. A professional is identified by the community he belongs to and by his discourse. A mismatch or gap between the pretended professional identity and the language used may create doubts about the real identity of the professional and may result in social unacceptability or dismissal. McClean (2010) compared letters of advice written by law students and those written by professional lawyers and concluded that the identity-forming process of a professional lawyer is a permanent accommodation of contradictory and incompatible voices. Similarly, Dressen-Hammouda (2008) demonstrated that novice geologists use different writing strategies than expert geologists.

However, the studies told little about how these groups of professionals construct their identities in written professional discourse and what particular aspects are involved. In addition, Ochs (2001: 228) points to the need to find the 'over-

arching, possible universal, communicative and socializing practices that facilitate socialization into multiple communities and lifeworlds. Kong upholds the view that

'Attributes and frames inherent in a profession are part of the identity a professional is claiming to have, and the language used by professionals has an indispensable role to play in creating and indexing those professional attributes and frames. Language use specific to a profession and the identity a professional claims to have create a mutual and inseparable relationship. The reason why a professional speaks and writes in certain ways is because he or she carries or is developing a legitimate identity which is projected in his or her discourse.' (2014: 6).

*Reflexivity* is another concept to 'respond to the social environment, diluting the importance of individual agency in social action' (Kong, 2014: 8). It is a concept that refers to the social practices that are reflected in utterances. For example, reflexivity is regarded as a 'reflexive action to respond to the needs and immediate context through an unconscious effort of language users' (Idem.) 'Reflexivity', 'indexicality', and 'performativity' are relatively new to professional discourses studies and have been borrowed from cultural and linguistic anthropology and applied to professional discourse, where the three concepts are fairly well established. (Agha 2006; Duranti 1997; Hanks 1996).

Reflexivity is underscored by the notion of *performativity* (Bauman and Briggs 1990; Butler 1990), another concept that stands for 'the production of our social and cultural identities through creative use of contextual and interactional resources' (Idem).

### Further questions to be answered

In spite of the progress registered by professional discourse studies, there are many questions that may trouble the scholarship. A first question to be raised may relate to how the concepts of *power*, *domination* and *control* are entrenched in professional discourse and what pressures do the power holders exert on the employees by using discourse? Going out from the assumption that 'language is the product of culturally, historically and ideologically driven generalizations and classifications which tend to stereotype individuals and solutions to problems' (Rojek et al. 1988, quoted in Kong, 2014:3) further studies can look at community discourse from this point of view. According to the social constructionist perspective, discourse is 'a set of meanings, metaphors, representations, images, stories, statements and so on that in some way together produce a particular version of events' (Burr 1995: 48), so research could be driven in the direction of finding out how these representations account for the power position assumed by those holding it in a workplace or among professionals.

Language is bound to society, to its use in society for different social or professional purposes. It is similarly bound to social practices and, finally, politics, the politics involved in the issues pertaining to a profession. Then, politics will reflect different ideological approaches or tenets that belong to a 'profession' or are inherent to it. Ideology in professional discourse must be looked at from the points of view of the definition of ideology and its functions vis-à-vis professional discourse, the cognitive processes involved and the linguistic representation they may have. Ideology is also characterized through social dimensions and representational dimensions. All these representations and their modes of linguistic realization must be analyzed in close connection with the performers or participants in the professional processes (activities), in cognitive processes, in relational and representational processes.

In order to determine the identity-creating variables, research should first consider samples of *intraprofessional discourse* or discourse within a profession (Linell, 1998) and then check the variability of the samples in the context of interprofessional discourse, that is discourse between individuals or representatives of different professions (Linell, 1998), and in the context of professional-lay discourse interaction.

### Conclusions

Professional discourse has become a research area in the last two-to-three decades. The discipline termed 'professional discourse' developed side by side with the related fields of organizational discourse, workplace discourse, institutional discourse, and more recently, corporate discourse, all related to or rather subservient to specific forms of communication.

Professional discourse, just like other communication-related studies, has been studied as an interdisciplinary area, drawing on sociology, psychology, anthropology, linguistics, and any discipline that could investigate or explain human behaviour in particular settings. The purpose of the present article was to show the link between professional discourse and social practice and to link it to sociological theories. Professional discourse has been positioned within the framework of sociological theories which could help linguists understand how language, as a social construct, is shaped by the context

in which it occurs and, reversibly, how the contexts are influenced by discursive events. It stood also in the intent of the author of the present paper to highlight this dialectical view of the relationship between language and society.

The study showed the differences between the terms 'institutional discourse' and 'professional discourse' as proposed by Sarangi and Roberts (1999: 15-19), Koester's definition of 'institutional discourse', Gotti's (2003) notion of 'specialist discourse', Drew and Heritage's (1992: 3) notion of 'institutional talk'. The first and second decades of the 21st century continued the discussions on the blurred boundaries of these types of discourse, sometimes changing the designations, thus creating more uncertainties.

Against the background of other debates regarding the notions of 'profession' and 'professional' aimed at clarifying the concept of professional discourse, Kong defines it as 'the language produced by a professional with specialist training to get something done in the workplace'(2014:2).

The concept of social practice and social practice theory were based on the tenets of Bourdieu (1989), Giddens (1984), Schatzki (2002), Reckwitz (2002), Jackson (2005) and Holtz (2014). While discourse, in general, has been viewed from the *social structuration* perspective by Systemic Functional Linguistics and Critical Discourse Analysis scholars, the relationship of professional discourse to social practice was interpreted by the promoters of professional discourse in the *social constructionist* vein. The SFL and CDA researchers have adopted Giddens' structuration theory and have carried out complex analyses whereby they demonstrated the dialectics between discourse and the social context, or the New Capitalism (Meurer 2004, Fairclough 2004). In contrast, professional discourse adepts have embraced the social constructionist theory, but were less involved in demonstrating the interdependent relationship between language/discourse and the underlying social context. Kong (2014:3) recognizes the advancements made in other areas of discourse, admitting that 'there are many issues that have been intensely raised in other cognate approaches (e.g. Critical Discourse Analysis) but remain unanswered or even unexplored in the analysis of professional discourse'. Kong adds that 'There are several theoretical assumptions that have to be spelt out before we move on, such as social constructionism and social practice, socialization and identity, and indexicality, reflexivity and performativity' (Idem.).

Professional discourse was explicated in the present study through the role it plays in professional socialization and identity creation (Kong 2014, Smith 2005). Adopting Wenger's (1998) notion of 'community of practice', Kong (2014) suggests that in the process of professional socialization, i.e. 'the process by which individuals acquire specialized knowledge, skills, attitudes, norms, and interests needed to perform their professional roles acceptably' (Eden 1978), quoted in Kong 2014:5), professional 'attributes' are acquired mainly through discourse or through 'mutual engagement' and 'shared repertoires' (Wenger 1998).

Professional discourse is extremely important for the *identity* of a professional given that a professional is identified by the community he belongs to and by his discourse, while a mismatch between the pretended professional identity and the language used may be sanctioned by the professional community.

Finally, professional discourse researchers have moved a long way ahead, but in spite of the progress registered by professional discourse studies, there are many questions that require further consideration from the scholarship. Issues such as *power*, *domination* and *control* expressed in professional discourse, the formation of professional community identity and individual identity, the contribution of individuals to professional community discourse and so on represent possible directions for further research inquiry.

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## Policy in Relation with Health of Citizens

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### Abstract

Policy is a key factor of development and demolition of a particular country, especially Kosovo as a new country in the region. Studies showed that there is a link between economic policy, inequality and health of the population. One of the biggest surprises in the literature and studies in Europe and America is that there are few studies on policy variables and their impact on health and income. Health is the main factor, affecting the social and the welfare, also lack of health come as a result of political factors (Vincent Navarro, 2008). Rudolf Virchow stated that "Medicine is a social science while politic is nothing except the high-level medicine". The biggest development in the political field, were done by avoiding affects, welfare and directly affects health of citizens (Navarro V., 2000). Recently there were too many changes in governments confusing population so we wanted to study the current policy and to clarify if policy is a factor that affects health. Participants in this research were 86 citizens (64% males) in five cities of Kosovo chosen systematically sample. We used four questionnaires: Self-created questionnaires to measure the current state of the political based on two other questionnaires, we used Ault Hope Scale (AHS) (Snyder C. R., et. Al., 1991) to measure hope, Centre for Epidemiological Studies Depression Scale (CES-DS) (Radloff., 1977) to measure situation of current depression in general population and The Satisfaction with Life Scale (SwLS) (Diener et al., 1985) to measure satisfaction. (Data were analyzed using the statistical Package for social science (SPSS, 22). Results show that citizens are disappointed by the current political situation in Kosovo (72.5 %). Also 73.2% of the respondents accepted that they are too agitated to recent political events, which consequently follows that 47.2% of them have been depressed. These studies show that political situation is an indicator factor in health and wellbeing of citizens directly, or indirectly by increasing the scale of depression and anxiety. Policy is the main discussion topic in society and also in family so there is plenty of space to study the current policy and the effects on social wellbeing.

**Keywords:** Policy of Kosovo, Political emotional state, Political influence, Wellbeing

### Introduction

A policy is a deliberate system of principles to guide decisions and achieve rational outcomes. A policy is a statement of intent, and is implemented as a procedure or protocol. Policies are generally adopted by the board of directors or senior governance body within an organization, where procedures or protocols are developed and adopted by senior executive officers. Policies can assist in both subjective and objective decision making (University of Sidney 2016).

Health Policy is intended to be a vehicle for the exploration and discussion of health policy and health system issues and is aimed in particular at enhancing communication between health policy and system researchers, legislators, decision-makers and professionals concerned with developing, implementing, and analyzing health policy, health systems and health care reforms (University of Sidney 2016). Health is the main factor, affecting the social and the welfare, also lack of health come as a result of political factors (Vincent Navarro, 2008).

Wellbeing refer to being well in general rather than within any specific area of life. In keeping with this relatively common usage we define consummate wellbeing as on overall evaluation of an individual's life in all its aspects (Ed Diener et. al., 2009). Summer (1996) introduced an important distinction between objective and subjective definition of wellbeing. Subjective wellbeing require a reference to the individual's own interests needs, preferences or desires. Objective wellbeing is focused in different component for ex. physical health, social health etc.

Summer (1996) also said that there is a connection between subjective wellbeing, policy, economy and others social realities. This means that subjective health is directly connected to the income (economy) and economy is directly connected to policy, so policy is a big indicator in general wellbeing, happiness and real life problems.

Health is the main factor, affecting the social and the welfare, also lack of health come as a result of political factors (Vincent Navarro, 2008). Rudolf Virchow stated that "Medicine is a social science while policy is nothing except the high-level medicine". The biggest development in the political field, were done by avoiding affects, welfare and directly affects health of citizens (Navarro V., 2000).

Richard Layard (2006) studied happiness and the causes of the happiness. When you ask people what makes you happy objectively, probably they will answer "money". So Richard study the happiness and the income. He came with some results that money and income status makes people happier. According to other studies this means that if the economic status of a country is greater probably people will be happier and have more income. Redistributive policies are accompanied by a continuous discussion on the question of how much income inequality is justified (Pen and Tinbergen, 1977; Sen, 1997).

As material wealth keeps cumulating, the necessity for additional growth becomes less obvious and this reflects in 'diminished happiness returns' (Easterlin, 1974).

Also Easterlin found no relationship between income inequality and average happiness. He did find a curvilinear relationship between the wealth of nations and average happiness and concluded that we can apparently live with relative income differences, but not with poverty in an absolute sense. Likewise, Fahey and Smith (2004) found no correlation in 33 European nations in 1999, while Bjørnskov et al. (2007) did not find any correlation for 60 nations in the years 1999-2004.

Berg, M.C et al (2010) studied 119 places comparing wealth and happiness. His results showed that policy is an indicator of a wealthy life and indirectly affects happiness of a population. There are not significant differences between countries, this means that people are used to live with the income they already have, even though the economy of a country is different from other countries.

The objective of this study is to identify the causes that everyday policy creates. As we know policy is a key factor of development and demolition of a particular country, especially Kosovo as a new state in the region. So we tried to compare general depression of population with happiness and current policy state.

### **Hypothesis**

H1: Policy is an indicator of depression

H2: Current policy impact satisfaction

H3: Policy also impacts hope

### **Methodology**

#### **Sample**

Participants in this research were 86 citizens (64% males) systematically chosen, every third house in each cities in five cities of Kosovo. Average of citizens (40.7%) did finish high school and they reported their health state as good.

#### **Instruments**

We used four questionnaires: Self-created questionnaires to measure the current state of the political based on two other questionnaires, we used Ault Hope Scale (AHS) (Snyder C. R., et. Al., 1991) to measure hope, Centre for Epidemiological Studies Depression Scale (CES-DS) (Radloff., 1977) to measure situation of current depression in general population and The Satisfaction with Life Scale (SwLS) (Diener et al., 1985) to measure satisfaction.

#### **Procedure**

In the beginning the project was organized in that way to identify the objectives and phases in which this project will go through. Then we started collecting data in the field. We asked for permission from every person we chose to complete the questionnaires then to continue with the other procedures. Questioners were self-administrated and the time it took to complete all the questions was 15-20 minutes. We checked each questions to make sure that participant did not forget any

of the questions, because every non-complete question would doubt the reliable of the study. This procedure was used in 5 cities of Kosovo with a systematic sample. All the data was analyzed and concluded in relevant results.

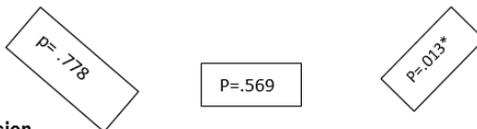
## Results

Results will present the main findings of the study by using the adequate concluding analyses to give an answer to the research hypothesis, and to give an explanation to the aim of the research.

Triangle results 1. Correlation of Satisfaction-Hope-Depression

### Satisfaction Hope

N	Minimum	Maximum	Mean	Std. Deviation
86	8.00	31.00	19.1047	5.25587
N	Minimum	Maximum	Mean	Std. Deviation
86	18.00	52.00	30.7326	7.49812



### Depression

N	Minimum	Maximum	Mean	Std. Deviation
86	19.00	46.00	30.3023	4.99428

Results presented in “triangle”1. shows the correlation all descriptive results about depression, hope and satisfaction. Also this “triangle” shows different correlation between those 3 measures. Depression correlates with Hope ( $p=.013$ ), while there isn't any correlations between Depression – Satisfaction and Satisfaction – Hope.

### Fast facts and results about policy

- 14.0% are disappointed with the way actual government lead.
- 39.5% think that there is hope and the life in Kosovo will be better.
- 81.5% are frustrated about current political state in Kosovo.
- 73.2% are concerned about the recent political events.
- 58.1% think that political state is not getting any better.
- 57% think that compering the political state before 2008 right now we stand much better.
- 61.6% of people don't think that they have strength and power to change anything in the current political state.
- 54.6% are convinced that the future will be better that the present in Kosovo.
- 59.3% consider that corruption is one of the biggest lack in the current policy
- 44.2% are worried every day for the current political state.

	Debate about policy in family	Debate about policy in work place with colleague	Debate about policy during free time with friends
Pearson Correlation	1	.537**	.669**
Sig. (2-tailed)		.000	.000
N		86	86
Pearson Correlation		1	.737**
Sig. (2-tailed)			.000
N			86
Pearson Correlation			1
Sig. (2-tailed)			
N			

Table 1. Correlation of debate about policy in social life

Table 1. shows that there is a correlation between debate in family and debate in work place ( $p=.000^{**}$ ) and there is correlation between debate in family and debate with friends ( $p=.000^{**}$ ). Also there is correlation between debate in work place and debate with friends ( $p=.000^{**}$ ).

## Discussion

Based on this research we have come to some results that support the lecture about the indirect impact of policy and that political debated exist in our everyday life. During our analyses we did not find any direct impact of policy in social health also in mental health directly. But those findings prove that policy is an indirect problem for well-being. According to this our first hypothesis were accepted. In the results part you can find different questions that we created always basing on previous measure about depression, hope and satisfaction, according to the question based on depression we conclude that policy is an indirect indicator in depression.

The second hypothesis is also accepted. Same as the first one: According to the questions of policy based on satisfaction we conclude that also policy is not a direct indicator but impact satisfaction in another ways.

The third hypothesis is accepted too. Based on results of the questions about hope that we created we conclude that peoples hope for the future are much better but the results of hope about policy shows that people aren't hopeless yet. As we say, hope dies last.

The results also shows some different results about the direct impacts. There is a correlation about depression and hope ( $p=.013^*$ ) but not between hope-satisfaction neither depression- satisfaction. This means that depression has a direct impact on hope but is not the first factor about satisfaction. Previous studies showed that satisfaction depends in general health, income, economy, work, family; and all these factors are indicated by policy, so policy is a second indicator in satisfaction.

Results also showed the correlation of debate in different places with different people. There is a correlation ( $p=.000$ ) between three kind of debates; in family, in workplace and during free time.

## Conclusions and recommendations

Based on the results we conclude that policy is an indicator in many ways, but not directly in health and well-being. Also we conclude that policy is part of our everyday life also during free time. We debate about policy even though results showed that we aren't satisfied about the current political state.

We recommend further research about policy as first factor indicator. So different studies about policy and social life, economy, income then comparing the results with the findings we have got and complete the study we started.

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## Climate Change and Moral Excuse: the Difficulty of Assigning Responsibility to Individuals

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### Abstract

A prominent argument in the climate ethical literature is that individual polluters are responsible for paying the costs of climate change.<sup>1</sup> By contrast, I argue in this paper that we have reason to excuse individual agents morally for their contributions to climate change. The paper explores some of the possible constraints agents may face when they try to avoid harming the climate, constraints that might be acceptable reasons for excusing people's contributions to climate change. Two lines of arguments are discussed. The first concerns the soft *internal* constraint: that democratic citizens do not experience their individual failures as failures *per se*. In other words, they do not psychologically 'feel' they are doing anything wrong.<sup>2</sup> The second argument concerns the soft *external* constraint: a number of studies have shown that many consumers report that while they are concerned about environmental issues, they struggle to translate their concern into green acts.<sup>3</sup> Put differently, while individual citizens may think they are morally obliged to avoid harming the climate, they struggle to fulfill these obligations. I argue that these constraints do not constitute reasons for not blaming individual agents. Instead, individual agents can be morally excused for contributing to climate change because external constraints on agency make climate change a case of imperfect duty, that is, a duty that is hard to fulfill.

### I. Introduction

Much of the discussion on climate responsibilities has focused on how individual agents are morally culpable for climate change.<sup>4</sup> Relatively little attention has been paid to whether individual agents should be morally excused for their contributions to climate change.<sup>5</sup>

In this and the following sections of this paper, I consider several reasons to justify morally excusing individual agents for climate change. Two preliminary assumptions should be noted. First, the agents in question meet no hard constraints and arguably qualify as moral agents.<sup>6</sup> Second, the relevant moral agents are polluters who contribute (to some extent) to environmental harm and climate change by, for example, refraining from acting in climate-friendly ways such as recycling, turning the thermostat down, using public transport or cycling instead of driving a car.<sup>7</sup>

The first reason for excusing individual agents contributing to climate change proposes that it is unfair to blame them for the harm they cause if they did not know they were harming the climate and future generations. This argument presumes a *knowledge deficit*: people might not know the environmental impact of their choices and behavior. Indeed, the full consequences and net effect of, for example, driving an environmentally unfriendly car, can be difficult to predict. A premise for the knowledge deficit argument is that agents should only be excused for what some have called 'non-culpable

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<sup>1</sup> Jamieson, "When Utilitarians Should Be Virtue Theorists"; Stephen Gardiner, "Is no one responsible for global environmental tragedy? Climate change as a challenge to our ethical concepts," in Denis G. Arnold (ed.), *The Ethics of Global Climate Change* (Cambridge: Cambridge University Press, 2014): 38–59.

<sup>2</sup> For recent exemptions, see Elizabeth Cripps, *Climate Change and the Moral Agent: Individual Duties in an Interdependent World* (Oxford: Oxford University Press, 2013). Cripps defends "direct" individual duties "when it is impossible or unfeasibly costly to promote collective action" (Cripps, Chapter 6); and Gardiner, "Is no one responsible?," which discusses whether political institutions may breed "the elimination of responsibility at the individual level," 55.

<sup>3</sup> See, e.g., Ibo van de Poel et al., "The Problem of Many Hands: Climate Change as an Example," *Science and Engineering Ethics* 18 (2012): 49–67 at 55; and *Author*.

<sup>4</sup> Fahliquist, "Moral Responsibility for Environmental Problems—Individual or Institutional?": 115.

<sup>5</sup> van de Poel et al., "The Problem of Many Hands": 54.

<sup>6</sup> Henry Shue, "Normative and Empirical Evaluation of Global Governance" (Unpublished, 2006): 1-8 at 3.

<sup>7</sup> *Ibid*.

ignorance'.<sup>1</sup> Likewise, Shue argues that people cannot be excused for something they could have been expected to know.<sup>2</sup> He argues that "one must be forgiven for not knowing 99.9% of what is knowable. The costs of acquiring information, and the sheer impossibility of acquiring more than a little, are a fairly obvious reason for not holding individual persons responsible for all the havoc they wreak through lack of well-informed foresight."<sup>3</sup> Thus, the relevant question is: what can we expect people to know? I answer this question below.

Another type of reasoning assumes that people generally know the consequences of their choices and actions but lack the motivation to act accordingly because of the cost and availability of environmentally friendly products. Here, one may talk about a *motivation deficit*. The premise of one argument for the motivation deficit is that people are "simply psychologically incapable of responding to global environmental problems like climate."<sup>4</sup>

The motivation deficit is defined by the fact that people are not "feeling enough": "Global warming ... doesn't cause our blood to boil."<sup>5</sup> Similarly, Persson and Savulescu argue that "human beings are not by nature equipped with a moral psychology that empowers them to cope with the moral problems" such as climate change.<sup>6</sup> Moreover, it is possible to find support for the motivation deficit in the empirical research on green consumer behavior: non-green consumer choices can be explained by lack of information and the high cost of green products.<sup>7</sup> If we assume the knowledge or the motivation deficit, the following argument can be proposed:

**1. The moral deficit argument:** (1) People do not know the environmental impact of their choices and behavior and thus do not know what they should do in order to make green choices. (2) Even if (1) is false, people lack an incentive to make green choices because of the cost and availability of environmentally friendly products. (3) If (1) or (2), agents can be morally excused for non-green choices. (4) Thus, agents can be morally excused for non-green choices

A problem with this argument, however, is that (3) is implausible as a principle for determining whom it is fair to morally excuse. It could be the case that people ought to know what environmental impact their choices have even if they do not. Moreover, since knowledge about climate change has been widely distributed through the IPCC reports since 1990, the knowledge deficit has been generally considered to be an illegitimate reason for non-action since then.<sup>8</sup> Hence, if we presume that the relevant moral agents are living in a well-functioning democracy with press freedom and free access to scientific knowledge, a reasonable assumption is that these agents have access to the relevant knowledge about what causes climate change. Thus, the first moral deficit argument fails because people can be expected to know more or to pursue the available knowledge about, for example, a product's long-term consequences, and thereby be motivated to pay more for more environmentally friendly products.<sup>9</sup> In other words, individual agents cannot be excused for not knowing enough about products that cause long-term environmental harm if they are responsible for seeking the knowledge in the first place. I take the same to apply for the motivation deficit, assuming that people would change their motivation if they had sufficient amounts of knowledge.

Another question is whether agents can translate their knowledge into concrete actions. This challenge concerns the soft *external* conditions that might constrain citizens' actions and choices. Several vital energy resources and public services

<sup>1</sup> Gardiner, "Is no one responsible": 59.

<sup>2</sup> Daniel Gilbert, "If only gay sex caused global warming", *Los Angeles Times*, July 2, 2006; discussed and quoted from Gardiner, "Is no one responsible": 58.

<sup>3</sup> Ingmar Persson and Julian Savulescu, *Unfit for the Future: The Need for Moral Enhancement* (Oxford: Oxford University Press, 2012): 1.

<sup>4</sup> Young et al., "Sustainable Consumption": 27.

<sup>5</sup> See, e.g. Simon Caney, "Cosmopolitan Justice, Responsibility, and Global Climate Change," Chapter 7 in Stephen M. Gardiner, et al. (eds.), *Climate Ethics: Essential Readings*.

<sup>6</sup> This argument depends on the level of knowledge required. To show that the argument fails we need to agree on the requirement of knowledge level and accessibility to knowledge. For present purposes I set this discussion aside.

<sup>7</sup> See Maria Csutora, "One More Awareness Gap? The Behaviour–Impact Gap Problem," *Journal of Consumer Policy* 35 (2012): 145–163. For further empirical studies of the attitude-behavior gap, see, e.g., Maria Csutora, "From eco-efficiency to eco-effectiveness? The policy-performance paradox," *Society and Economy* 33 (2011): 161–181; Tim Jackson, "Motivating sustainable consumption: A review of evidence on consumer behaviour and behavioural change," *Energy & Environment* 15 (2005): 1027–1051; Maurie J. Cohen and Joseph Murphy, *Exploring Sustainable Consumption: Environmental policy and the social sciences* (Amsterdam: Pergamon, 2001); and Folke Ölander and John Thøgersen, "The A-B-C of Recycling," *European Advances in Consumer Research* 7 (2006): 297–302.

<sup>8</sup> Sinnott-Armstrong, "It's Not My Fault," Chapter 18 in Stephen M. Gardiner et al. (eds.), *Climate Ethics: Essential Readings*.

<sup>9</sup> van de Poel et al., "The Problem of Many Hands," 54.

cannot be said to be in the direct control of individuals in any meaningful sense. For example, consider the heating system in a local school. Parents may know that the heating system is not based on a renewable energy resource, and this may give us reason to claim that they have an obligation to change the energy resource. In the empirical literature this is called the *locked-in* syndrome, which occurs when high-income groups or countries are locked into an environmentally and climate unfriendly lifestyle due to non-green public infrastructure.<sup>1</sup> Let us call this a *locked-in challenge*.

Addressing a similar challenge, Sinnott-Armstrong has argued that individual responsibility for driving a non-green car does not matter because of the imperceptible harm that a single car may cause.<sup>2</sup> If the long-term environmental impact of green choices and behavior are only marginally better than non-green choices and behavior, we may conclude that it is beyond the individual's capacity to change the ecologically destructive consumption that society causes. The latter argument is slightly different from the *locked-in* argument. Let us call the latter a *no-impact challenge*. The alternative moral deficit argument looks like the following:

2. The moral deficit argument: (1) People's pro-environmental behavior does not have a green impact. (2) Even if (1) is false, democratic citizens in the course of their daily activities do not have the capacity to make a huge green impact. (3) If (1) or (2), agents can be morally excused for their non-green choices and actions. (4) Thus, agents can be morally excused for their non-green choices and actions.

Several things should be noted. First, we may question whether it is correct that people cannot make a difference. It seems reasonable to presume that every individual contribution leads to at least a tiny incremental effect. On the other hand, we may argue that the comparative effect of green choices in some cases is very small. This does not, however, seem to provide a strong case for a moral excuse. Another more challenging argument for excusing individual agent's moral deficit is reflected in the issue of public transportation. If Peter is living in an area without public transportation, it is impossible not to have a car. If Peter wants to reduce his ecological footprint, he needs to move to another city or country with a more climate-friendly public infrastructure. If Peter decides not to move, it is impossible to blame Peter for using his car given the circumstances that leave him no other option.

Another question, however, is whether Peter can be blamed for not moving to a more environmentally friendly behavioral space. The answer to this question depends on how much we can demand from individual agents in a liberal society. In the next section, I discuss this as a question of whether governmental authorities are allowed to coerce individual agents to move to another city or country. In most liberal opinion, governments are not allowed to do so. The argument is especially strong in the right-libertarian view, which emphasizes people's negative rights to self-ownership and physical integrity. I now consider the right-libertarian version of the moral deficit argument.

## II

In the previous section, I argued that lack of knowledge is not a sufficient excuse for contributing to climate change and that the no-impact argument would require people to move to a more climate-friendly communities. In this section, I discuss whether democratic citizens can be coerced to do something to which they do not voluntarily consent. The relevant question is how we morally weigh agents' voluntary decisions in contrast to governmental climate policies. One line of argument is whether it is reasonable to hold an agent acting under compulsion responsible for anything.<sup>3</sup> Let us start with a variant of the argument, which emphasizes the moral significance of voluntarism. Consider the following right-libertarian argument:

3. The right-libertarian moral deficit argument: (1) People cannot be forced to do something to which they are not voluntarily committed. (2) Avoiding climate harm requires more than voluntary commitments. (3) If (1) or (2), agents can be excused for their non-green choices. (4) Thus, agents can be excused for their non-green choices.

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<sup>1</sup> Isaiah Berlin, "Two Concepts of Liberty," (1958), in *Four Essays on Liberty: Isaiah Berlin* (Oxford: Oxford University Press, 1969): 7; and Robert Nozick, *Anarchy, State, and Utopia* (New York: Basic Books, 1974): 160–163.

<sup>2</sup> For a good exploration of this issue, see Henry Shue, *Basic Rights: Subsistence, Affluence and U.S. Foreign Policy*, 2nd ed. (Princeton, NJ: Princeton University Press, 1996), Chapters 1–2. For recent contributions in regard to global poverty and climate change, see Pablo Gilibert, "The Duty to Eradicate Global Poverty: Positive or Negative?," *Ethical Theory and Moral Practice* 7 (2004): 547–8; Elisabeth Ashford, "The Alleged Dichotomy Between Positive and Negative Rights and Duties," in Charles R. Beitz and Robert E. Goodin (eds.), *Global Basic Rights* (Oxford: Oxford University Press, 2009); and Lichtenberg, "Negative Duties, Positive Duties.

<sup>3</sup> See, e.g., Philip Pettit, *Republicanism: A theory of freedom and government* (Oxford: Oxford University Press, 1997): 17–18; Thomas Pogge, *Politics as Usual: What Lies Behind the Pro-Poor Rhetoric* (Cambridge: Polity Press, 2010); and Ashford, "The Alleged Dichotomy", 93: 101).

In order to adopt this argument, two assumptions need to be accepted. First, the libertarian argument presumes the relevance of negative liberty, i.e. the right to be left to the rule of one's own will.<sup>1</sup> The concept of negative liberty presupposes the distinction between negative and positive duties. In contemporary philosophy, this distinction is widely accepted as a key concept; this is the case even though several scholars have criticized its moral and conceptual significance.<sup>2</sup> Negative duty is generally defined as the duty not to harm others, whereas a positive duty renders someone aid. Distinguishing negative from positive duties allows one to negatively delineate people's moral obligations. The moral significance of distinguishing these two sets of duties is normally considered to be a question of whether the agent has to "act" or "refrain from acting." As long as people are not required to do something, but are only asked to refrain from doing something, negative moral duties are believed to be consistent with people's negative liberty.

This leads to the second assumption of the libertarian argument, namely the proposition that people's negative duties are more stringent than their positive duties.<sup>3</sup> The basic idea is that as long as people refrain from harming other people, they have fulfilled their duties. Agents should not be burdened with duties that exceed their negative right not to be violated or to be interfered with in their private lives.<sup>4</sup> If these two assumptions are accepted, one should also accept the libertarian moral deficit argument that people can be morally excused for caring more about their private welfare and well-being than they do for the environment and future generations.<sup>5</sup>

To evaluate the plausibility of this argument, let us again consider the example of the infrastructure-deprived society. Because Peter lives in a behavioral space without public transportation, the cost of not having a car is very high. It is especially high if schools, supermarkets and offices are located in remote places (under the assumption that people have cars). In order to reduce his ecological footprint, Peter would need to move to another location with climate friendly public infrastructure. According to libertarian reasoning, if we presume that Peter's climate harm is caused mainly by CO<sub>2</sub>-emitting car-driving, and the only way he could lower his climate impact would be to move to a city or country with a comprehensive public infrastructure system, we cannot blame him for his climate impact. Fahlquist makes a similar point. By addressing the lack of money and infrastructure, which is assumed to be the result of many years of political decisions, and cultural and economic factors, she argues that it does not make sense to blame democratic citizens since the context of alternatives does not provide the conditions for morally culpable actions.<sup>6</sup>

There are, however, two questions here which need to be disentangled. One concerns the issue of what democratic citizens are responsible for in the context of a climate-unfriendly infrastructure. The other concerns whether the democratic citizens are allowed to resist a request from, let's say, a legitimate democratic government that aims to build a more climate-friendly infrastructure that includes moving Peter and other people to another location. A proponent of right-libertarianism will embrace both arguments. By contrast, an opponent of right-libertarianism will morally excuse democratic citizens if a societal and institutional climate friendly infrastructure is absent, but accepts that a legitimate government may replace people. I tend to embrace the second option. Notwithstanding this, let us continue the discussion of the libertarian argument to see if it provides a reasonable argument for the first option.

Libertarian reasoning suggests that a government is not allowed to coerce Peter to move because the government is not allowed to infringe on Peter's *negative* right and freedom to decide where he wants to live. Hence, distinguishing negative from positive duties allows us to accept the exclusion of the positive duties to protect the environment. If the agent has a negative right not to be burdened with costly and time-consuming positive duties (to protect the climate) that conflict with the will of the agent, the distinction between negative and positive duties provides a reason to morally excuse an agent for contributing to climate change.

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<sup>1</sup> For further elaboration on negative freedom as non-inference and non-dominance, see Philip Pettit, *A Theory of Freedom. From the Psychology to the Politics of Agency* (London: Polity Press, 2001): 128–129.

<sup>2</sup> Note that it is possible to argue that individual carbon emissions constitute a harm and thus entail a stringent negative duty. Broome, for example, concludes that rectification of climate change is in principle costless because polluters are paying back for what they undeservedly received. Marc D. Davidson, "Wrongful Harm to Future Generations: The Case of Climate Change," *Environmental Values*, 17:4 (2008): 471–488; and Broome, *Climate Matters*. For present purposes I set this argument aside.

<sup>3</sup> Fahlquist, "Moral Responsibility for Environmental Problems": 112–123.

<sup>4</sup> Note that Broome argued in *Climate Matters* that individual carbon emissions constitute a harm and thus entail a stringent negative duty.

<sup>5</sup> Gilbert, "The Duty to Eradicate Global Poverty": 547–8.

<sup>6</sup> Lichtenberg, "Negative Duties, Positive Duties": 575.

The libertarian version of distinction between negative and positive duties and rights prioritizes the protection of the agent's negative right to self-authority over that agent's positive duties to protect the climate. However, before we accept the libertarian version of the moral deficit argument, we may question the soundness of the reasons for which we would embrace the distinction between negative and positive duties and the claim that negative duties are more stringent than positive ones. If these two points are not accepted, the libertarian argument fails.

### III

Two points criticizing the distinction between positive and negative duties should be considered. First, one may criticize that negative duties are considered more stringent than positive duties, and address the plausibility of premise in 3(2) that *to avoid climate harm requires more than voluntary commitments*. One claim may be that in order to avoid long-term climate harm, negative duties are insufficient: positive duties are also required. Let us call this argument *the negative duties are not enough* argument. The argument goes like this: Negative duties demand that individual agents are morally obliged to avoid harming other people. In the modern global world, however, fulfillment of what negative duties demand also requires positive duties.<sup>1</sup> Gilabert has succinctly summarized the point in relation to global poverty; the same point applies is applicable to climate change:

Satisfying negative duties is not enough for securing the absence of global poverty even if all of presently existing poverty can be traced back to the impact of harmful policies by the global rich. [...] A negative duty to compensate for previous harm done may suffice to justify a redistribution of resources compensating present victims at a certain time t1. But given unavoidable differences in natural and social endowments, it is only to be expected that some people will, at time t2, be unable to stay afloat in the new social framework if it does not include a permanent and enforceable positive duty to help those in need.<sup>2</sup>

The point is not that negative duties are wrongly conceptualized, as we shall see in the second critique, but that they provide insufficient reason for global and climate justice. Negative duties are not more stringent than positive duties because the moral objectives of negative duties cannot be fulfilled by negative duties alone. As Gilabert argues, positive duties are required as well. Lichtenberg agrees with Gilabert's critique of giving priority to negative duties. For example, he argues in a recent article that "negative duties – duties not to harm – are more demanding than has usually been thought, and in this respect they resemble positive duties to render aid."<sup>3</sup> In other words, avoiding global harm is so demanding that positive duties are required as well. Positive actions are needed, i.e. the global rich and the current generation have to comply with a set of new rules and adapt to changes in patterns of behavior.

Libertarians generally consider that behavioral changes and the need for compliance come with the cost of infringing upon people's negative rights to self-determination. Lichtenberg, however, argues that:

... much avoidable suffering in the world could be remedied without great cost to those who would have to act or refrain from acting. [...] A crucial condition of keeping the costs – whether material or psychic – to individuals low is that they act, or refrain from acting, as part of a collective effort rather than as isolated individuals. Acting collectively diminishes costs for individuals in several ways. Suppose, for example, a city prohibits the use of plastic bags in supermarkets and chain pharmacies, as San Francisco recently did. The policy immediately relieves the individual of two kinds of effortful action.<sup>4</sup>

If social norms and rules diminish the overall social costs on an aggregated level, the cost argument fails. If *the negative duties are not enough argument* is accepted, the libertarian approach to negative duties seems implausible because of its

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<sup>1</sup> Ibid., 576.

<sup>2</sup> See Thomas Pogge, "Cosmopolitanism and Sovereignty", *Ethics* 103 (1992): 48–75; Martha Nussbaum, "Patriotism and Cosmopolitanism" and "Reply", in Joshua Cohen (ed.) *For Love of Country* (Boston: Beacon Press, 1996); Onora O'Neill, *Bounds of Justice* (Cambridge: Cambridge University Press, 2000).

<sup>3</sup> Right-libertarianism espouses the principle that each agent has a right to equal negative liberty and self-ownership where negative liberty and self-ownership are the absence of forcible interference from other agents. See e.g. Jan Narveson, *The Libertarian Idea* (Philadelphia: Temple University Press, 1988); and Jan Narveson and James P. Sterba, *Are Liberty and Equality Compatible?* (New York: Cambridge University Press, 2010). Right-libertarianism is to be distinguished from left-libertarianism, which holds that natural resources belong to everyone in some egalitarian manner.

<sup>4</sup> For a similar argument, see Shue, *Basic Rights*: 164–166. For a recent discussion, see Abigail Gosselin, "Global Poverty and Responsibility: Identifying the duty-bearers of human rights," *Human Rights Review* 8:1 (2006): 35–52.

neglect of the view that eradicating global harm requires positive duties as well. Note, however, this argument may not convince the libertarian.

One important clarification needs to be added. Scholars criticizing the distinction between positive and negative rights are primarily interested in what we could call *passive* rights holders, i.e. those whose rights may be infringed upon by anthropogenic climate change and environmental harm. In the climate ethics literature, passive rights holders are usually the global poor and the future generations whose rights may be infringed upon.<sup>1</sup> Others, right-libertarian scholars, for example, often draw attention to what we could call *active* rights holders (i.e. duty-bearers) whose negative rights should not be infringed upon.<sup>2</sup> A key example of active rights holders is the global rich whose rights to non-interference in their lifestyle and behavior may be infringed upon by political regulation and moral obligations.<sup>3</sup>

To put it differently: despite the fact that it seems reasonable to claim that positive duties are as morally significant as negative ones, a libertarian can uphold the significance of the libertarian moral deficit argument by addressing the negative rights of the active rights holders. The reason for this is that libertarians give priority to the negative right not to be coerced by claiming that duty-bearers' negative rights cannot be infringed upon without further justification. This argument may hold even if one accepts that positive duties are necessary in order to give the passive rights holders what they are entitled to. When securing the rights of passive rights holders, negative and positive duties are equally morally significant. Thus, a proponent of libertarianism can reaffirm the significance of the moral deficit argument because it is impermissible to infringe upon the active duty-bearer's negative rights. There is an asymmetry in the libertarian point of view between what the duty-bearers (i.e. active rights holders) are obliged to do and what the passive rights holders are entitled to.

#### IV

In this section I turn to the second critique of the moral deficit argument, which may convince the libertarian to reject the moral deficit argument. This critique rejects the analytical relevance of distinguishing between positive and negative duties. The libertarian argument may accommodate the assumption that positive duties and negative duties are equally significant. But if the distinction between positive and negative duties is rejected, the libertarian argument fails because the (negative) rights of the active rights holders will not be more stringent than the (positive) duties for the passive rights holders. Thus, the libertarian moral excuse of individual agents' for their contributions to climate change fails if the distinction between negative and positive duties is wrongly conceptualized.

The critique of the distinction between positive and negative duties begins by asking how we know whether a duty is a negative or a positive duty. Let us consider Lichtenberg's plastic bag example. The prohibition of the use of plastic bags in supermarkets seems to be an example of a positive duty, i.e. consumers have to change their behavior and comply with the legislation; they must either bring their own bags or carry their goods in other ways. Yet the plastic bag example may just as easily be formulated in a negative fashion: people should *refrain from using plastic bags*. On the other hand, the positive understanding of duties may be defended by drawing attention to the fact that the City of San Francisco has conducted a positive act, i.e. it has deliberately banned the use of plastic bags in supermarkets. This approach, however, does not solve the problem. Other negative duties, such as refraining from violating other people's private property rights, are also based on city, state or federal legislation. In spite of that, libertarians maintain that private property rights are a negative right and that people have a negative duty not to infringe the property rights of others.

The example of the plastic bags demonstrates that the distinction between negative and positive duties and rights is frequently constructed arbitrarily, or in the words of Bennett, caused by "unexplained linguistic intuitions."<sup>4</sup> Similarly, Singer argues "[w]hether a rule is appropriately or better expressed in negative or positive terms is purely fortuitous – a function of grammar, idiom, and circumstance. Neither form is always superior."<sup>5</sup> The claim is that negative and positive rules are

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<sup>1</sup> Jonathan Bennett, "Morality and Consequences", *The Tanner Lectures on Human Values* (delivered at Brasenose College, Oxford University, May 9, 16, and 23, 1980): 52.

<sup>2</sup> Marcus G. Singer, "Negative and Positive Duties", *The Philosophy Quarterly* 15: 59 (1965): 97–103 at 103.

<sup>3</sup> *Ibid.*, 99.

<sup>4</sup> Jonathan Bennett, *The Act Itself* (Oxford: Oxford University Press, 1995): 42.

<sup>5</sup> The debate on the equivalence thesis refers to the discussions of abortion, euthanasia and global poverty. See e.g. Philippa Foot, "The Problem of Abortion and the Doctrine of the Double Effect," in *Virtues and Vices in Moral Philosophy* (Oxford: Clarendon Press, 1978): 19–32 (originally appeared in the *Oxford Review*, no. 5, 1967); Peter Singer, "Famine, Affluence, and Morality," *Philosophy & Public Affairs* (1972): 229–43; and James Rachels, "Killing and Starving to Death," *Philosophy* 54: 208 (1979): 159–171. For a general discussion of this issue, see Shelly Kagan, "Does Consequentialism Demand Too Much? Recent work on the limits of obligation,"

analytically equivalent. Hence, “[i]t makes no difference whether we state the rule in the positive form, ‘If one says something, then one should tell the truth (to the best of one’s knowledge and belief)’, or in the negative form, ‘If one says something, then one ought not to lie.’”<sup>1</sup>

Following Singer, the difference is caused in large part by rhetoric or emphasis. Depending on context and social circumstances, linguistic phrases may take on a different meaning. Consider, for example, the phrases “refraining from using plastic bags” and “allowing for green choices in the supermarket”, which – let us for the sake of the argument assume – identify the same social phenomenon. The distinction between positive and negative duties may have some practical relevance, but it reflects no significant analytical difference. It is merely a question of corresponding ideas that are expressed in different ways.

## V

If it is accepted that the distinction between positive and negative duties is wrongly conceptualized, the libertarian version of the moral deficit argument cannot be accepted. The libertarian argument cannot provide the reasons why individuals should be morally excused for their contributions to climate change. The libertarian, however, may suggest a counterargument. One may agree with Singer that it is irrelevant whether social events and political states of affairs are described in positive or negative terms because they contain neither a significant moral nor conceptual meaning. At the level of individual agency, however, we have reason to believe that it does make a difference because a non-consequentialist account of moral blame considers it morally significant when people do something (i.e. act) or refrain from doing something (i.e. omission).

Note that the relevant distinction here is not positive versus negative, but intended *acts* versus unintended *omissions*. When an agent acts, there are typically some intentions behind the act: the agent aims to achieve intended goals. The result may include unintended consequences as well. When an agent omits to do something, the omission may be intended or unintended. The relevant point here is that agents may not be morally culpable if climate change is caused by unintended consequences of acts and/or by unintended omissions related to innocent daily activities. The issue here is not whether the harm is caused by intended or unintended acts, which would be a variant of the knowledge deficit argument that I rejected above. It is the difference between omissions and acts that is essential. I argue below that this has implications for whether agents can be morally excused for climate change.

However, one may argue, as Bennett convincingly does, that the differentiation between acts and omissions reflects no relevant moral content: it is not the act itself but its consequences that matter: non-acts (i.e. omissions) have as many possible causal consequences as acts have.<sup>2</sup> If we are interested not in actual physical movements but in the causal effects of movement versus the causal effects of no movement, the distinction is redundant. Let us consider the plastic bag example again. We may agree that the moral content of the action not to use plastic bags does not consist in the physical movement of using a plastic bag compared to using one’s own reusable bag. Rather, the relevant moral content consists of the climate effects the different bags may have. Hence, it is morally irrelevant whether the causal effects are the result of an action or a non-action.

This issue touches upon the discussion of the equivalence of killing someone and letting someone die.<sup>3</sup> Most people agree that the spatial and temporal location of harm, such as starvation and environmental pollution, is morally arbitrary. We may feel a difference between experiencing the death of a person as opposed to hearing about a famine in the news. But a psychological explanation of our feelings is not a moral justification, of course.<sup>4</sup> Rachels and others argue for the equivalence thesis, namely that letting someone die is as bad as killing someone.<sup>5</sup> He uses the example of someone who

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*Philosophy & Public Affairs* 13:3 (1984): 239–254. More recent contributions include Kasper Lippert-Rasmussen, “Are Killing and Letting Die Morally Equivalent?,” *Danish Yearbook of Philosophy* 33 (1998): 7–29.

<sup>1</sup> Rachels, “Killing and Starving”: 162.

<sup>2</sup> Ibid., 163.

<sup>3</sup> Singer, “Famine, Affluence”: 231.

<sup>4</sup> While it is worse to harm people intentionally than to harm them as a by-product of other actions, one may argue that it merely makes the latter type of action less culpable, rather than excusable. For present purposes, I set aside the discussion of the difference between less culpable and excusable.

<sup>5</sup> Note that there is no consensus on the relevance of distinguishing between perfect and imperfect duties. For a good overview of the discussion, see e.g. Te E. Hill, Jr., *Dignity and Practical Reason in Kant’s Moral Theory* (Ithaca, New York: Cornell University Press,

refuses to give a sandwich to a starving child. Let us call this the *sandwich example*. Another much-discussed class of examples includes *rescue cases*, in which an agent fails to rescue a drowning child from a pond.<sup>1</sup> The main argument in the killing/letting someone die example is based on the fact that the moral reason for claiming that killing is wrong are the same moral reason by which we find failing to feed a starving person morally objectionable. Thus, it seems reasonable to claim that spatial and temporal location is morally arbitrary, and that we therefore have no reason to assess the two cases as morally different.<sup>2</sup>

Despite the plausibility of this equivalence thesis, several points should be considered. Proponents of the equivalence thesis tend to take a consequentialist approach that determines the wrongness of killing someone in terms of the negative effects for the killed person. It is only if we accept a consequentialist account that we are forced to reject the moral significance of distinguishing killing from letting die. If one is a non-consequentialist moral philosopher considering people's duties or intentions, the distinction between positive and negative acts sustains its relevance. The relevant moral content of using reusable shopping bags reflects exactly the point of interest that draws attention to people's duties or intentions to act in an environmentally friendly manner.

It seems that the non-consequentialist moral philosopher has a reasonable argument. If the relevance of an individual agent's intentions is rejected or ignored, the result may be a diluted concept of what is morally impermissible, in which seemingly daily activities (such as driving an environmentally unfriendly car and thereby failing to avoid harming the climate) are morally judged in the same manner as an agent who deliberately kills someone. When discussing which acts are morally culpable, people's intentions should be considered relevant. Despite the fact that the same moral ideas evaluate consequences of omissions and actions, as Rachels argues, we are not allowed to say that we cannot use the same reasons to blame individual people for omissions and actions. At the least this line of thought applies if we reject a consequentialist account of moral wrongdoing and take people's intentions into account, which I take to be reasonable at the individual level of agency.

## VI

A consequentialist does not stress the causal chain, but draws attention to the total outcome – for example, the total number of people being harmed by climate change. Note that although we agree with the consequentialist that the total outcome of a complex network of acts, behavior and policies is morally bad, we cannot necessarily accept the inference that killing someone and letting someone die are morally equivalent. The discussion about killing someone and letting someone die concerns what kinds of acts and behavior individual people are obliged to pursue.

Despite the morally objectionable outcomes, it seems unfair to blame an agent for not avoiding acts that harm future generations if the culpable act the person has conducted is one of the examples discussed above, such as using a plastic bag in the supermarket or driving a climate unfriendly car. Thus, the equivalence thesis cannot be accepted if it is considered morally significant to distinguish deliberately harming someone from failing to avoid harming someone (i.e. a negative duty) or from failing to aid (i.e. a positive duty). The case of climate harm is much more complex than the sandwich case mentioned above. In fact, the sandwich case does not help us understand the moral dilemmas of climate change. It is wrong to reduce the morally objectionable challenges that global politics is currently facing to a question of blaming individual agents for conducting morally objectionable acts (such as failing to harm the climate). In the case of climate change, the causal relationship between the perpetrator and the victim is much more multifaceted than omitting giving a sandwich to someone.

In order to distinguish more clearly cases similar to the sandwich case from those of climate change, one may distinguish between perfect and imperfect duties.<sup>3</sup> Drawing on a Kantian framework, we can say that it is impermissible to treat humanity as merely a means and not also as an end. This moral imperative can be translated into a maxim defending

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1992): Chapter 8; and Robert Johnson, "Kant's Moral Philosophy," *The Stanford Encyclopedia of Philosophy* (Summer 2012 Edition), Edward N. Zalta (ed.), URL = <<http://plato.stanford.edu/archives/sum2012/entries/kant-moral/>>.

<sup>1</sup> For example, Aaron Maltais, "Radically non-ideal climate politics and the obligation to at least vote green," *Environmental Values* 22:5 (2013): 589–608, argues that people have a first-order obligation to vote for green parties.

<sup>2</sup> Pablo Gilabert and Holly Lawford-Smith, "Political Feasibility: A Conceptual Exploration," *Political Studies* 60 (2012): 809–825 at 811.

<sup>3</sup> *Author*.

perfect duties to do X if there is a precise claim against agent A. This is relevant in the case of killing someone. Agent A has a perfect duty not to kill Agent B (because B has a claim against A).

In a context such as climate change, the claims against A are more imprecise because there are multiple courses of actions by which to pursue A's moral obligations (i.e. to treat humanity as an end). In such cases, it can be claimed that A has only an imperfect duty to avoid causing climate change through the conduct of daily activities. The reason is that nobody has a precise claim against A. Notice that imperfect duties are as morally obligatory as perfect duties. The difference refers only to the fact that concrete acts pursuing imperfect duties are less clear and determinate, whereas concrete acts pursuing perfect duties are clear and determinate.

In the sandwich case, it is obviously morally impermissible to refuse to give a sandwich to a starving child. The relevant duty-bearer has a perfect moral duty to give the sandwich to the child because the child has a clear claim against the relevant duty-bearer. Likewise, in short-term cases of environmental harm, the duty-bearers are obvious. No one is allowed or can be morally excused for spilling oil in the sea. In long-term cases of climate change, however, it is less clear which acts are morally impermissible and which are not, and which would be an infringement of the duty-bearer's negative rights. Most people would accept that individuals have moral obligations towards the environment and future generations. One reasonable suggestion could be that everybody is morally obliged to treat future generations as a moral end. In long-term cases of climate change, the moral obligations reflect imperfect duties where morally permissible acts are imprecise. The moral deficits of individuals are not merely caused by infringement on what is morally impermissible, but by the fact that what it is morally impermissible is unclear in the first place.

If we accept this view of the challenges of climate change, we have reason to excuse democratic citizens for their omissions if they are related to imperfect duties. This is not an argument that imperfect duties are morally permissible or that democratic citizens are not obliged to fulfill their imperfect duties in the same manner as they fulfill perfect duties. To accept the moral significance of imperfect duties is only to say that democratic citizens frequently face difficulties in fulfilling their imperfect duties due to the uncertainty and imprecise character of those duties. It is also to say that these difficulties should be considered morally significant and hence reasons for morally excusing people for their omissions.

To conclude: this paper addresses the normative criteria for whether individual agents should be morally excused for their contributions to climate change. I have argued that there are significant moral limits on assigning moral responsibility to individual agents by virtue of their moral rights, which should not be infringed upon. I have suggested that in the case of climate change individual agents are excused if they do not intend to cause climate change. A premise for this is that the distinction between acts and omissions is accepted. One decisive argument for this distinction is that it is unfair to take a consequentialist approach to people's acts and omissions. When we evaluate people's acts and omissions from a moral standpoint, I have claimed that we should strive to take their intentions into account. If people do not aim or intend to harm the global climate but their behavioral spaces do not allow them to act otherwise, I have argued that they are excused for failing to avoid harming the climate.

Note the implication that individual agents, such as democratic citizens, are morally responsible for contributing to acts and societal behavior if they know the negative consequences of their actions. In other words, people are responsible for all cases that resemble the moral dilemma of the sandwich case. Thus, in a completely green society, no one would be morally excused because acting in a climate unfriendly way would be like failing to give a sandwich to a starving child. Although the current moral dilemmas of climate change, sustainability and global justice do not resemble the moral dilemma illustrated in the sandwich case, one can argue that people are morally obliged to try to transform the moral dilemma of climate change into a question similar to the sandwich case. One example could be the moral obligation to vote for green parties that presumably would invest in green technologies, efficient energy systems and green transport that would help individuals perform climate-friendly acts.<sup>1</sup>

This refers to what some have called the *diachronic* aspect of responsibility that holds agents responsible for not having placed themselves in a position to be able to do what is morally required.<sup>2</sup> However, in many cases and in the case of climate change in particular, which is characterized by a complex and indirect route between cause and consequence, individual agents cannot unilaterally put themselves into the right moral position. This is an important point if we accept the

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<sup>1</sup> D. Kopycińska, 1999. *Wpływ aktualnej „wyceny” norm etycznych w Polsce na poglądy przyszłych menedżerów*. [in:] *Etyka biznesu*, J. Ditel, W. Gasparski, ed. PWN, Warszawa, p. 205.

<sup>2</sup> A. Bergman, 1989. *Ethique et gestion*. [in:] *Encyclopedie de gestion, Economica*, Paris, pp. 1110-1120.

above account of individual agents' lack of capacity to change the unfriendly climate environment that still dominates most countries in the world. I maintain that it is unfair and may defeat the purpose to focus on the question of what democratic citizens as single individuals should be held responsible for. However, these arguments to the contrary notwithstanding, democratic citizens should be held jointly or collectively responsible for not having done enough about the issue of climate change earlier in order to improve the possibilities of being able to do something now.<sup>1</sup>

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<sup>1</sup> P. Żuraw, 2012. *The Idea of Professional Ethics Code in Accounting Recommended by Accounting Association in Poland Annales. Ethics in Economic Life*, 15, p. 125.

## Latvian Teachers' Perspectives on Early Childhood Educational Practice

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### Abstract

The Education Law of Latvia recognizes early childhood education as an educational level in which multi-dimensional development of the child as an individual, strengthening of health and preparation for the acquisition of primary education takes place. Currently, early childhood education is undergoing considerable transformations and transition to a competence-based approach. Teachers' perspectives serve as significant indicators for analysis of current educational situation and therefore highlight the core areas for enhancing early childhood educational practice. The design of the study is based on qualitative research using data from a survey and focus group discussions. The aim of the study is to identify and analyse teachers' perspectives on early childhood educational practice. In accordance to the aim, the following research questions were posed: (1) what is early childhood teachers' personal meaning of good educational practice; (2) what factors could contribute to enhance the early childhood educational practice in future? To identify teachers' perspectives, a survey was conducted with early childhood teachers implementing curriculum in municipal early childhood education institutions around Latvia. The answers to two open-ended questions as a part of a larger questionnaire were analysed. The in-depth examination of perspectives was reached by implementing several focus group discussions. Data were analysed using the method of qualitative content analysis. The findings revealed wide diversity in teachers' personal meaning of good educational practice. The issues related to developmental psychology-based learning outcomes and school-readiness still dominate among teachers' perspectives. Postmodern views on a child emphasizing children's diversity and uniqueness were often mentioned as well. The factors contributing to good educational practice were categorized into four main areas such as organization of the pedagogical process, teachers' competences, environment of an early childhood setting, collaboration with parents. In general, Latvian teachers' perspectives demonstrate readiness for transition to a competence-based approach in early childhood education. However, identified contributing and hindering factors should be taken into account during the process of transformations.

**Keywords:** early childhood educational practice, Latvia, teachers' perspectives.

### 1. Introduction

The vision of the future of Europe is characterized by smart, sustainable and inclusive growth (European Commission, 2010). The improvement of quality of education is crucial for all the growth dimensions, starting from the first degree of education, i.e., early childhood education and care. Over the recent two decades early childhood education has become more and more important in the European educational policy. It is acknowledged that early childhood education, complementing the central role of the family, has a profound and long-lasting impact which measures taken at a later stage cannot achieve (European Commission, 2011). The necessary investments in early childhood education are often reasoned on economic grounds: investing in the development of a young child allows to save on the financial resources that would be necessary at later stages of education or life to correct an unfavourable situation. At the same time a rapidly increasing tendency to focus on the social aspects when measuring the positive impact of early childhood education is noted (Milotay, 2016).

High-quality early childhood education provides long-term benefits in terms of achievement and socialization during educational process as well as later in working life. If started in time, it facilitates individuals' later learning (Commission of the European Communities, 2006).

Simultaneously researchers admit that in general, Europe still lacks an established rule for affordable, high-quality early childhood education. One of the reasons for that is the absence of a politically powerful constituency as "children cannot

vote, nor lobby, nor donate to political campaigns" (Milotay, 2016, 121). Therefore, despite of the consensus on the importance of early childhood education and its valuable contribution to child's development there is a belief among researchers that in Europe high-quality early childhood education has not taken root, "certainly not from a child's and child's rights perspective" (Milotay, 2016, 121).

In Latvia, early childhood education is given a significant place. Its status has been determined by the Education Law of Latvia recognizing early childhood education as an educational level in which multi-dimensional development of the child as an individual, strengthening of health and preparation for the acquisition of primary education takes place (LR Saeima, 1998). The play is defined as a basic teaching method in early childhood education. The State Pre-school Education Guidelines determine the focus on the promotion of comprehensive and harmonious development of a child as an objective of early childhood education, considering his or her development patterns and needs, the necessary knowledge, skills and attitudes for an individual and social life (Ministru kabinets, 2012).

Early childhood education providers in Latvia are mainly municipal early childhood settings. Early childhood education can be acquired in groups at schools offering such curricula. Within the last decades the number of private early childhood settings has increased significantly, especially in the capital of the country.

All children are entitled to early childhood education from the age of 1,5. Thus, Latvia belongs to a small group of European Union countries where children have legal entitlement to early childhood education from a very early age (OECD, 2016). Participation in early childhood education is compulsory from the age of 5. Early childhood education is to a large extent responsibility of municipalities. According to the legislation, duty of the municipality is to ensure that children whose place of residence has been declared in the administrative territory of the municipality have the possibility to acquire early childhood education in the educational institution that is the closest to the child's place of residence (LR Saeima, 1998).

Regulations state that early childhood teachers should be trained at a higher education level. After graduation teachers are expected regularly to continue their professional development.

Currently, early childhood education is undergoing considerable transformations and transition to a competence-based approach. It is crucial that the need for a new approach naturally rises from educational practice. Teachers' perspectives serve as significant indicators for analysis of current educational situation and therefore could highlight the core areas for enhancing early childhood educational practice.

The aim of the current study is to identify and analyse teachers' perspectives on early childhood educational practice.

In accordance to the aim, the following research questions were posed: (1) what is early childhood teachers' personal meaning of good educational practice; (2) what factors could contribute to enhance the early childhood educational practice in future?

The key principles of high-quality early childhood education that regulate the European early childhood education and care system form the theoretical basis of the study.

## **2. Theoretical background**

The European educational policy acknowledges that access to universally available, high-quality inclusive early childhood education and care service could be beneficial for all (European Commission, 2011) meaning not only children but also parents and other family members. Theoretically, the structure of the early childhood education quality can be divided in three inter-dependent components: (1) structural quality; (2) process quality and (3) outcome quality (European Commission, 2014).

The structural quality includes measures characterizing the general design and organization of the early childhood education and care system like regulations concerning the financing of the early childhood education, health and safety requirements, regulations related to the staff qualification, the design of the curriculum, the adult-child ratios. The process quality define the general principles underpinning the implementation of the curriculum like the child's participation, the role of the play, interactions between children and staff, peer communication, the parental involvement. The outcome quality includes measures of children's development, socialization, school-readiness, preparation for further learning and life. Thus, the early childhood education quality becomes a complex concept underpinning all the areas in the provision of the early childhood education.

In addition, the following transversal principles of high-quality early childhood education have been declared: (1) a clear image and voice of the child should be valued, (2) parents are the most important partners and their participation is essential, (3) a shared understanding of quality (European Commission, 2014).

The European early childhood education is underpinned by strong quality framework. However, researchers mention the risk that quality could be understood very narrowly, i.e., as an attribute of services for young children that ensures the efficient production of predefined, normative outcomes (Dahlberg & Moss, 2006). Instead of technical fulfilment of requirements, the modern early childhood institution should be understood and developed "as a public institution, a forum and a children's space, a site encounter and relating, where children and adults meet and commit to something where they can dialogue listen and discuss in order to share meanings" (Dahlberg, Moss, & Pence, 2013).

### **3. Research design**

#### **3.1 Research instrument and procedure**

The design of the study is based on qualitative research using data from a survey and focus group discussions. To identify teachers' perspectives, the survey was conducted with early childhood teachers implementing curriculum in municipal early childhood education institutions around Latvia. The answers to two open-ended questions as a part of a larger questionnaire were analysed. The open-ended questions were used in order to collect as many subjective personal opinions as possible. Further analysis of the survey data was focused on identifying the most essential ideas of good educational practice in teachers' view which afterwards were categorized in larger groups.

The in-depth examination of perspectives was reached by implementing several focus group discussions. The categories revealed by the teachers' survey were discussed in a focus group of experienced early childhood teachers.

The data from a survey and focus group discussions were analysed using the method of qualitative content analysis.

#### **3.2 Research sample**

180 early childhood teachers were involved in the study. Respondents had obtained the first-level higher education in early childhood pedagogy (35%) or had earned the Bachelor or Master degree (45%). Part of the respondents (20%) have been currently acquiring the qualification simultaneously working in an early childhood setting that is a common trait in Latvian educational situation. Teachers' experience of working with young children ranged from 0 to 36 years (mean time = 14 years). Although the respondents have been selected, using non-probability sample principle, the sample reflects the populations' diversity in such aspects as the urbanization degree of an educational institution, language of instruction, teachers' pedagogical work experience. Respondents represent all statistical regions of Latvia, but the majority (65%) represents teachers working in the educational institutions of the capital city.

All participants of the study were involved in the survey. For participation in focus group discussions a group of 9 experienced teachers was selected. The participants were teachers having received at least the Bachelor degree in early childhood pedagogy and having over 10 years of pedagogical work experience in an early childhood setting.

### **4. Results and discussion**

The analysis of early childhood teachers' perspectives revealed wide diversity in teachers' personal meaning of good educational practice. The factors contributing to good educational practice were categorized into four main areas such as organization of the pedagogical process, teachers' competences, the environment of an early childhood setting and collaboration with parents.

#### **4.1 Organization of the pedagogical process**

To organize the pedagogical process successfully, most of the respondents point to the necessity to decrease the amount of children in a group. The optimal size of a group according to the teachers ranges from 10 to 12 children in groups under the age of 3 and from 15 to 18 children in groups for children from the age of 3.

Although there are no limitations for the group size at the legislative level, municipalities mainly can ensure the children living in their administrative territory the access to early childhood education only by organizing groups with a large number of children. Teachers admit that the group size in recent years has not decreased but rather has increased. In groups of the respondents participating in the survey, the number of children ranges from 15 – 16 children in the groups for children

under the age of 3 to 18 – 24 children in the groups for children from the age of 3. The situation differs only in early childhood settings located in distant rural regions where all young children living in the administrative territory are enrolled in mixed-age groups that are comparatively small.

Teachers acknowledge that having a large group of children prevents them from taking every individual's needs into account. The large number of children makes it difficult to offer children various activities according to their abilities and interests. Teachers often avoid the inclusion of activities that require children to interact in subgroups or to conduct some exploring project actively because they recognize that the atmosphere in a large group, when actively acting, becomes too noisy and chaotic. Teachers admit that in larger groups it is difficult to ensure children's safety and discipline them by using positive approaches. The recent studies implemented in Estonia, Finland and Sweden (Ugaste & Niikko, 2015; Pramling, Williams, Sheridan, & Hellman, 2016) show similar teachers' perspectives towards the large amount of children in one group. Teachers emphasize the following reasons for having a smaller group: (1) focus on the individual child, (2) children's influence, (3) limited conditions for excursions, (4) time for documentation (Pramling, Williams, Sheridan, & Hellman, 2016), (5) difficulties in fulfilment of the curriculum objectives and the children's preparation for school, (6) time to concentrate and to observe the children individually and to take into account each child's personal and developmental needs, (7) overcrowding and necessity for precise planning and organising of activities (Ugaste & Niikko, 2015).

The teachers' opinions about the need for grouping children according to their age differ a lot. Teachers point out the benefits of working with age-homogeneous groups as well as with age-heterogeneous groups. In Latvia children are organized in groups by following either the school model grouping children together by age or the family model combining children of different ages (OECD, 2016). Despite of the fact that teachers recognize the individual traits of each child's development, the majority of teachers consider an age-homogeneous group being a better solution to meet children's developmental needs. Although there are no national assessments for monitoring children's developmental outcomes during or at the end of early childhood education the issues related to the developmental psychology-based learning outcomes and school-readiness still dominate among teachers' perspectives. Postmodern views on a child emphasizing children's diversity and uniqueness were often mentioned as well.

Teachers preferring to work with mixed-age groups emphasize the benefits like children's mutual cooperation in their daily life, faster progress of younger children in acquiring the early childhood curriculum, opportunity to pay more of individual attention to the children at the last school year before enrolling in primary education thus ensuring stronger school-readiness of children. However, several teachers working in mixed-age groups note difficulties to meet interests of all children if the age range is very broad (e.g., from the age of 2 to 6).

Teachers mention also homogeneity (or balance) of the group in terms of ethnicity that coincide with results revealed by recent research (Ugaste & Niikko, 2015; Pramling, Williams, Sheridan, & Hellman, 2016) but to a considerable extent contradicts to the growing multicultural trends in modern education.

Teachers also emphasize the need for a skilled teacher assistant that can fully support the children in their learning process. Although the title of the position called a nurse during the Soviet period now has been changed to a teacher assistant, they still mainly take care of children's daily needs and fulfil household tasks to ensure hygiene requirements. Even though professional development curricula has been offered for teacher assistants, there are no formal requirements for their qualification and professional development at the state level. An individualized and differentiated approach to the needs of children requires from the teacher assistant both involvement in activities with children, and support for the teacher in the preparation of teaching materials and organizing the pedagogical process, but often the competence of the teacher assistant does not meet the new educational needs.

Thus, organization of the pedagogical process, in teachers' opinion, includes the following categories to be enhanced: (1) group size, (2) homogeneity of groups, (3) skilled teacher assistants.

#### **4.2 Early childhood teachers' competences**

The European educational policy acknowledges that the quality of the early childhood practitioners and their pedagogical activities, interactions and knowledge have a major impact on children's well-being and development (OECD, 2015). However, the empirical experience shows that teachers often have insufficient knowledge and skills to meet the needs of rapidly changing society and education. Recent research on early childhood teachers' professionalism (Peterson et al., 2016) states that in terms of effective professional development it is crucial to identify the right strategies that help practitioners stay updated. There is no doubt that well-educated and skilled staff are able easier to overcome the difficulties

which they encounter in their daily practice. Some early childhood teachers even believe that the teachers' competence could be a key factor to solving the problem of too many children in the group (Pramling, Williams, Sheridan, & Hellman, 2016). Compared with the Latvian teachers' statements, the above-mentioned research findings seem to have overestimated the significance of teachers' competence. Some respondents acknowledge that when starting their pedagogical work they often felt unprepared as started to work simultaneously acquiring the qualification or had an insufficient amount of practical seminars during their studies.

Although the state regulations determine that all the early childhood teachers should be trained at the higher education level, novice teachers point out the lack of practical skills of planning, working with documentation as well as managing behavioural problems of children. Teachers emphasize the increasing number of children with special needs as well as children having different ethnic and cultural background in their groups and therefore growing need for knowledge in these areas. The communication with parents has also been mentioned, especially concerning the interaction with parents behaving aggressively.

To sum up, according to teachers' opinions, during the initial education and further professional development more attention should be paid to the following areas of teachers' competence: (1) inclusion of children with special needs, (2) interaction with children having different ethnic and cultural background, (3) establishing successful communication with parents, (4) management of children's behavioural problems, (4) novice teachers' planning skills.

### **4.3 Environment of an early childhood setting**

Environment of an early childhood setting was mentioned only in the meaning of physical environment and comparatively with other factors was pointed out less. Although the size of group space mostly is appropriate to the number of children as it is regulated by safety and hygiene requirements, several teachers state that they would like to have more space for organizing creative and active playing or learning activities for children. Teachers' desire to work with modern teaching materials and ICT resources was stated as well.

To sum up, the following categories concerning the environment of an early childhood setting were mentioned by teachers : (1) diversity of educational materials, (2) sufficient size of the group space, (3) use of ICT equipment.

### **4.4 Collaboration with parents**

The majority of questioned teachers believe that successful collaboration with parents is an essential factor that promotes good educational practice. Parental involvement in preparing children for school, family-organized exercising to correct child's speech imperfections as well as organizational support from parents in activities like group festivities and field trips as well as investments in group space improvement and decorating, collecting nature materials for children's educational needs, the improvement of institution's territory are among the benefits that successful collaboration between an early childhood setting and parents can provide in teachers' opinion.

Simultaneously, teachers indicate the need for educating parents to promote their understanding about the aims and contents of modern early childhood education, children's psychological and intellectual maturing processes and comprehension about how parental interest or disinterest in their child's daily life and his or her development affects child's well-being in an early childhood setting. Teachers note that parents often don't understand or don't take into account children's needs, e.g., in cases when children are spending 10 or more hours in an early childhood setting daily. The international research similarly shows that more than 9 out of 10 children attend an early childhood setting for more than 30 hours per week (European Commission/EACEA/Eurydice/Eurostat, 2014).

Typically for a post-Soviet state, the modern early childhood education of Latvia deeply roots in a long-lasting centralised and well-developed early childhood education system (Žogla, Černova, & Kalniņa, 2011). Similarly, in Estonia the educational work was based on centralized curricula and was at best only moderately adapted to local cultural contexts (Kimer, Tuul & Ūun, 2016; Tuul, Ugaste & Mikser, 2011). After the collapse of the Soviet Union and becoming an independent country in 1991, in Estonia (and similarly in other Baltic countries, i.e., in Latvia and Lithuania) a distinctive move from the old Soviet-style state-controlled models of pedagogy was implemented by developing principles of early childhood pedagogy that would match the renewed values and ideals of the society (Robertson, Kinos, Barbour, Pukk, & Rosqvist, 2015). Despite of the changes in early childhood education contents, the well-developed system, that Latvia and other Baltic states had in early childhood education in the 50 year period from 1940's to 1980's, largely was saved. Researchers admit that the well-developed system cause also its "dark sides" like increasing parents' disinterest in

children's everyday life, decrease of family responsibilities as well as heightened expectations for children's skills and achievements especially for literacy and numeracy that stem from parents' and grandparents' personal experience rooting in principles and requirements of the Soviet-period pedagogy (Žogla, Černova & Kalniņa, 2011). Flexible adaption to parents' needs like opening hours of most of early childhood settings from 7 a.m. to 7 p.m., catering three times a day, the legal entitlement to early childhood education from the age of 1,5 as well as strong emphasis on children's school-readiness significantly facilitates parents' daily life at the same time redirecting a considerable part of parents' upbringing functions to the staff of an early childhood setting.

Some teachers believe that an increasing tendency to send children from ethnic minority families to early childhood settings where the language of instruction is Latvian, roots in parents' neglecting their children's needs as well. Teachers stress that the language barrier that these ethnic minorities children have, is negatively affecting their well-being, especially at an early age because the barrier does not allow them to integrate in the life of the group and pedagogical process. The above-mentioned factor is specific for the educational context of Latvia as well as other Baltic states. Since 2000 Latvian is the state language determined by the legislation but the general education up to the secondary education can be acquired in the state language and ethnic minorities languages of instruction (e.g., in Riga, the capital of Latvia among 150 municipal early childhood settings there are 71 institutions with Latvian as the language of instruction, 45 institutions with ethnic minority language of instruction, i.e., Russian, and 34 institutions carrying out both curricula). Parents are free to choose among the institutions offering curricula in Latvian or Russian. Teachers often meet a tendency that parents choose the curriculum with Latvian language of instruction for their children although the family does not speak Latvian at home. Thus, when the child enters an early childhood setting he or she is not familiar with the language of the pedagogical process. The teachers working in institutions with the Latvian language of instruction for the most part do not support such a choice of parents believing that children experience considerable difficulties by attempting fully to get involved in activities and collaborate with peers. Moreover, the children lose the chance to learn Latvian at lessons that fit their level of skills as it is in the curricula with ethnic minority language as the language of instruction.

Categorising the viewpoints it was concluded that in teachers' opinion, positive collaboration between the educational institution and parents fostering good educational practice includes the following factors: (1) parental involvement in preparing children for school, (2) parents' interest in child's daily life in an early childhood setting and his or her development, (3) understanding and taking into account children's needs, (4) parents' organisational support in carrying out educational activities, (4) practical contribution to institution's improvement.

#### **4.5 Discussion**

The early childhood education of Latvia is going through a considerable transformation that is still quite unclear for a lot of teachers in spite of the wide resonance in society, especially concerning the questions of the practical implementation. Focus group discussions of the current study revealed that teachers feel insecure in this situation and therefore are waiting not only for thoughtful decisions from the government but also fundamental support in areas of methodical recommendations and professional development.

Recently implemented and in the next school year upcoming changes like transition of full-staff teachers' workload from 30 contact hours to 36 contact hours per week, new state regulations on teachers professional work quality assessment as well as change of the starting age for the school to the age of 6 instead of the former age of 7 and new trends and requirements for the educational process and documentation in accordance with the transition to competence-based approach in the early childhood education, make many issues related to everyday educational practice very sensitive for practitioners, thus providing a risk that the voices of the teachers can be too critical and exacerbated negatively.

It is important also to point out that the results of the study cannot be generalized due to the use of a non-probability sample just to some extent representing the entire landscape of the early childhood education of Latvia as well as due to the fact that teachers' perspectives represent very subjective self-assessment of their work and professional environment that might not completely correspond with the situations that can be observed in the practice.

Despite of the above-mentioned facts, in general, the teachers' perspectives on early childhood educational practice deeply root in general democratic tendencies characterizing the education of Latvia since 1990's on both – state legislative and institutional – levels and represent mostly child-centred beliefs (Ozola, 2017) thus demonstrating teachers' readiness for transformations and challenges of modern early childhood educational practice.

The studies recently carried out in the Baltic states (Kimer, Tuul, & Õun, 2016; Monkeviciene, Stankeviciene, Autukeviciene, & Joniliene, 2017; Ozola, 2017; Peterson et al, 2016; Robertson, Kinos, Barbour, Pukk, & Rosqvist, 2015; Tuul, Ugaste, & Mikser, 2011; Ugaste & Niikko, 2015; Žogla, Černova, & Kalniņa, 2011) demonstrate similar trends in meeting the challenges of modern educational practice in Latvia, Estonia and Lithuania.

## 5. Conclusions

The analysis of the early childhood teachers' perspectives revealed wide diversity in teachers' personal meaning of good educational practice at the same time showing similarities in their opinions. Based on the data obtained from the teachers' survey and focus group discussions along with the qualitative content analysis of the data, four main areas of the factors contributing to good educational practice were identified such as organization of the pedagogical process, early childhood teachers' competences, environment of an early childhood setting and collaboration with parents.

Although the results cannot be considered being completely reliable nationally, the collected teachers' perspectives highlight several characteristic trends concerning every of the above-mentioned areas.

Organization of the pedagogical process, in teachers' opinion, include the following categories to be enhanced: (1) group size, (2) homogeneity of groups, (3) skilled teacher assistants. The issues related to developmental psychology-based learning outcomes and school-readiness still dominate among teachers' perspectives. Postmodern views on a child emphasizing children's diversity and uniqueness were often mentioned as well. Teachers' statements demonstrate their motivation to carry out an individualised and differentiated approach considering children's personal and developmental trends. At the same time teachers express their desire to work with a homogeneous or balanced group concerning the age and ethnicity of children. Thus, some of perspectives to a considerable extent contradict to the growing multicultural trends of modern education.

According to teachers' opinions, during the initial education and further professional development more attention should be paid to the following areas of teachers' competence: (1) inclusion of children with special needs, (2) interaction with children having different ethnic and cultural background, (3) establishing successful communication with parents, (4) management of children's behavioural problems, (4) novice teachers' planning skills.

The following categories concerning the environment of an early childhood setting were mentioned by teachers : (1) diversity of educational materials, (2) sufficient size of the group space, (3) use of ICT equipment.

Teachers believe that a positive and successful collaboration between the educational institution and the parents that is fostering good educational practice, includes the following factors: (1) parental involvement in preparing children for school, (2) parents' interest in child's daily life in an early childhood setting and his or her development, (3) understanding and taking into account children's needs, (4) organisational support in carrying out educational activities, (4) practical contribution to institution's improvement.

In general Latvian teachers' perspectives demonstrate readiness for transition to a competence-based approach in early childhood education and represent general tendencies of democratization characterizing the education of Latvia currently. However, identified contributing and hindering factors should be taken into account during the process of transformations.

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## Certificate of Ethics in Accounting and Professional Independence of Accountants

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### Abstract

Ethical standards in accounting constitute an important element in the functioning of economic entities and in presenting reliable financial information used by all stakeholders when taking important decisions. In order to analyse the issue of using accounting ethics, a survey which indicated the determinants of unethical behaviour and the possibilities for improving the situation in terms of their observing and ways of strengthening their independence was conducted. Following the study, a concept of implementing an account books certificate which estimates their accuracy in the legal and ethical aspects was formulated.

**Keywords:** Certificate of Ethics in Accounting and Professional Independence of Accountants

### Introduction

When analysing the concept of social responsibility, the issue that constitutes the background for this concept, which is ethics, must be mentioned. Companies which want to be seen as socially responsible should maintain a high level of corporate culture and remember about ethical conduct. Codes of ethics which should include information about the values, convictions and standards of behaviour accepted by a company are the instrument that facilitates observance of ethical standards. Codification of standards of conduct proves that a company observes high ethical standards. It is for the Management Board of a company to formulate the rules of ethical conduct so that employees' attention is drawn to a certain value system and they are also encouraged to create a positive image of their company. Making right business decisions that base on ethical standards contributes to building proper relations with the environment, it inspires stakeholders' trust and creates positive image of a company.

Unethical behaviour of business people observed both in Poland and abroad has practically no negative implications. It may be assumed that the absence of serious condemnation of unethical practices in business as well as their justifying give rise to the low ranking of ethical standards in the hierarchical structure of values.<sup>1</sup>

The introduction of appropriate procedures should facilitate performing ethical evaluations by persons responsible for the decision-making process. Ethical standards should be clear and comprehensible for everyone and respected in a given entity.<sup>2</sup> Introducing internal codes of ethics by modern companies and creating codes of professional ethics has become common, and their analysis and interpretation constitutes a subject of various studies and trainings.

Therefore, the issue of professional ethics of workers of accounting departments is worth considering. It must be emphasised that the issues of ethical conduct in a company should be considered to be a condition of an authentic responsibility in relation to undertaken and performed tasks and their short- and long-term effects. The work of an accountant should be founded on the principles strictly defined in codes of professional conduct. Thanks to the actions taken by the Accounting Standards Committee of the Research Council of the Accountants Association in Poland, "Code of Professional Ethics in Accounting" was prepared. Its main aim is to provide persons engaged in accounting with the knowledge of procedures in the field of professional activities. The code includes not only ethical and moral principles, but

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<sup>1</sup> S. Sugahara, G. Boland, 2011. *Faculties' perceptions of ethics in the accounting curriculum: a Japanese study*. [in:] C. Jeffrey, *Research on professional responsibility and ethics in accounting*, Emerald Group Publishing Limited, Bingley, U.K., p. 198.

<sup>2</sup> J. Niemczyk, 2011. *Metodologia nauk o zarządzaniu*. [in:] *Podstawy metodologii badań w naukach o zarządzaniu*, W. Czakon, ed. Oficyna a Wolters Kluwer business, Warszawa, p. 26, see also A. Kaczmarczyk, 2003. *Badania marketingowe. Metody i techniki*. PWE Warszawa, p. 97.

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also information on the attitudes and expectations of accountants. It can be assumed that the code constitutes a type of set of values which all persons professionally engaged in accounting should be guided by.<sup>1</sup>

The expectations of persons engaged in accounting are currently very high. Therefore, professional accountants should apply the ethical standards which specify their procedures within specific activities. Taking into consideration the role accountants play in the economic decision-making process, they must be aware of the consequences that can result from not following ethical standards.<sup>2</sup>

Taking into account the above mentioned considerations, it must be emphasised that nowadays accountants act in dynamically changing and competitive environment. Whether or not they act ethically is in a certain way a testimony of humanity, because basic ethical standards were created on the basis of collective moral standards. Taking into consideration accounting failure in estimating ethics of a company, the protection of integrity of content and legibility of accounting play a major role.

The aim of the article is to present the results of a survey and to formulate a recommendation for professional associations and economic entities in the area of observing standards of professional ethics in accounting and of informing stakeholders about the way of implementing and observing the standards.

### The Evaluation of the Use of Ethical Standards in Accounting

The study was conducted by means of a prepared questionnaire<sup>3</sup> including an instruction concerning the manner of answering the questions. The questionnaire was sent to 272 employed people, 118 correctly completed questionnaires were received, which is 43.4% of the sent ones. The questionnaire consisted of the following groups of questions:

questions concerning ethical and unethical behaviour

questions concerning independence of accountants and accuracy of account books

questions concerning basic information about the respondent

The study, its analysis and interpretation resulted in creating a concept of introducing a system which would assure quality and observance of ethical standards by accountants in the area of bookkeeping.

All the respondents<sup>4</sup> are employed by economic entities of various organisational and legal types. The group of entities which employed the biggest number of respondents consisted of limited liability companies (39 companies) and natural persons conducting economic activity (36 entities). Moreover, the respondents were employed by the public finance sector entities, joint-stock companies and partnerships as well as non-profit entities. Most of the respondents indicated that they worked in economic entities (82 entities – 69%) that are not required to audit by statutory auditors. Owing to a vast variety in the employment of the respondents, both in the area of the organisational and legal form and in the size of the companies

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<sup>1</sup> A person or a business entity interested in becoming a member of SKwP (Accountants Association in Poland) may become an ordinary member or a supporting member of SKwP. Meeting formal requirements specified in the statute is necessary. *An ordinary member may be a Polish citizen with good repute and full legal capacity, working as an accountant or of a neighbouring profession connected with accounting; students of finance and accounting or of neighbouring faculties as well as employees of business entities of the Association; a foreigner being a resident of the Republic of Poland under the law Polish citizens have to comply with* <http://www.skwp.pl/Czlonkostwo,54.html> (10.07.2015).

<sup>2</sup> Compare. G.Voss, 2016. *Kształtowanie norm etycznych a odpowiedzialność zawodowa księgowych*, Wydawnictwo Uczelniane Uniwersytetu Technologiczno-Przyrodniczego w Bydgoszczy pp. 163-182

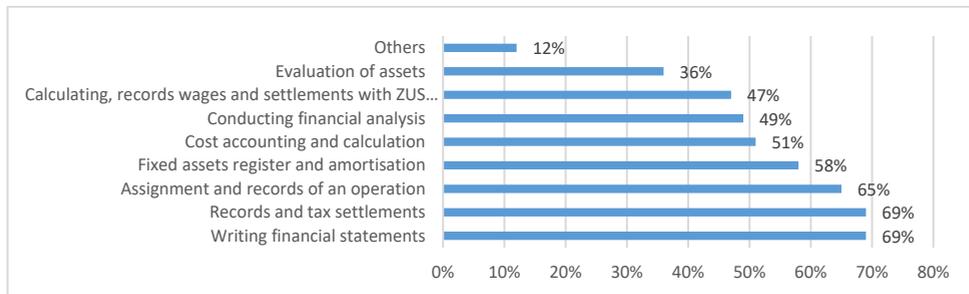
<sup>3</sup> Under this agreement, Italy will take most of Kosovo valley, with cities like Pristina, Ferizaj, Gjilan, Kamenica, the Drenica region, Dukagjini in Peja, Gjakova, Prizren, lands northwest of Plav, Gucci, Rozhaj, Tutin, then Ulcinj, Tuzi, eastern ethnic Albanian areas Tetovo, Gostivar, Kicevo, Struga and a part of Prespa. Within the Italian area with an area of 11,780 km with a population of 820,000 inhabitants, Albania was joined by 19 prefectures, 13 municipalities, 141 communes, 1,501 villages. For more details see: *Arkivi Qendror i Shtetit të Republikës së Shqipërisë* (më tej: AQSh), Fondi 267, vitit 1945, dos. 46, p. 32; Ali Hadri, *Lëvizja Nacionalçlirimtare në Kosovë (1941-1945)*, Rilindja, Prishtinë, 1971, p.106; Muhamet Shatri, *Kosova në Luftën e Dytë Botërore (1941-1945)*, Toena, Prishtinë, 1997, p.17;

<sup>4</sup> Within the German occupation zone due to the industry, the Trepcia mines and the underground assets that this region offered and because of Germany's strategic interests, were these territories included as as the regions of Mitrovica, Podujeva and Vucitna, were included within the quisling state of the Serbs Milan Nedic. For more details see: Ali Hadri, *Lëvizja Nacionalçlirimtare në Kosovë (1941-1945)*, Rilindja, Prishtinë, 1971, f.97-102; Muhamet Shatri, *Kosova në Luftën e Dytë Botërore (1941-1945)*, Toena, Prishtinë, 1997, p.17-42; *Historia e Popullit Shqiptar IV*, 2008, ,p. 129-130.

employing the respondents, it can be noted that ethics of accounting refers to all economic entities regardless of their size and legal form.

The questionnaire was completed by employees holding independent positions in the accounting departments, the biggest group consisted of people at the age of 30 to 49 (55 people – 46.31%) and workers with many years of experience (56 respondents – 47.46%) with the work experience of at least 20 years. Long-time professional experience indicates extensive knowledge and practice in accounting, so the responses may be a reliable source of information on the examined issues. The respondents also indicated the scope of duties they dealt with most often at work. In connection with the variety of kind of work, they were allowed to choose more than one answer. 118 respondents chose 538 answers altogether. The activities mentioned most often included preparation of financial statements (68.54%) and records and tax settlements (68.54%). Moreover, most of the respondents carry out a few of the presented in the questionnaire duties and deal with various activities, which is presented in diagram 1.

Diagram 1. The scope of duties carried out by the respondents most often (N = 538)



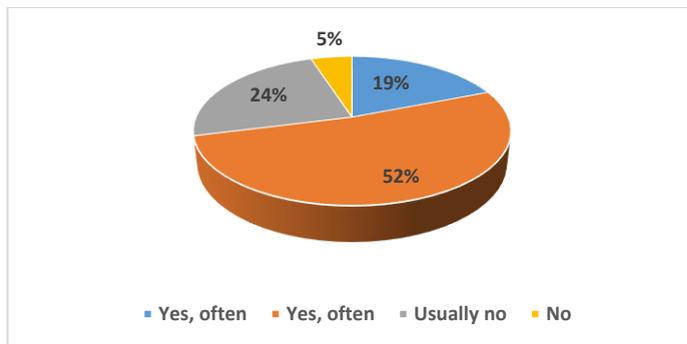
Source: own study

A wide range of duties involves the necessity of professional competence and constant training according to the changing legal and economic conditions.

Almost 85% of the respondents indicated that the economic entity they were employed by based on the rules in the code of professional conduct and they claimed that the regulation it included ensured that an accountant's work was done in a competent, objective, accurate, professional, honest and responsible way.

The respondents differed when it came to the evaluation of the commonness of unethical behaviour. 57 of them stated that unethical behaviour was common, whereas slightly more of them, 51.69% were of a different opinion. Nevertheless, in over 70% of cases, the individuals responsible for the accounting departments in the examined companies often or rarely noticed unethical behaviour in their work (diagram 2).

Diagram 2. The percentage of encounters with unethical behaviour in accounting (N = 118)



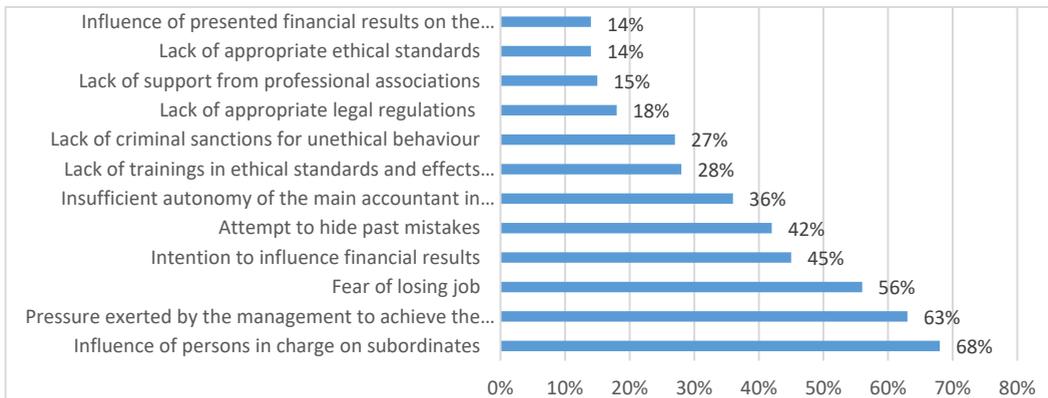
Source: own study

The conducted research indicates that 84 individuals encountered the lack of compliance with ethical standards, which means that the instances of unethical behaviour are not isolated cases, and in the case of every fifth respondent they are often met.

The respondents were also asked to indicate a few examples of behaviour that in their opinion could lead to unethical conduct. Most of the respondents (67.80%) indicated the influence of the persons in charge on their subordinates and the pressure exerted by the management, whose result was to achieve the best results and economic indicators (62.71%). More than a half of the respondents drew attention to the fact that unethical behaviour was accompanied by the fear of losing jobs (55.93%). Another example of conduct considered unethical given by the respondents was the intention to influence financial results (44.92%). The reason for unethical behaviour in the respondents' opinion was also an attempt to hide past mistakes made in accounting (42.33%) as well as insufficient autonomy of the main accountant (35.59%).

The activities that may encourage violating of ethical standards are of various kinds, but they mostly aim at obtaining benefits resulting from the improvement of results and economic indicators or keeping jobs. The respondents were able to choose more than one answer (118 respondents chose 503 answers), which is presented in diagram 3.

Diagram 3. The assessment of the frequency of the occurrence of certain situations influencing unethical conduct (N = 503)



Source: own study

The respondents are inclined to assume that the introduction of a general obligation to audit financial statements by statutory auditors may contribute to enhancing ethical behaviour in accounting and they also stated that such an audit could be conducted every two years.

Answering another question whether in order to ensure greater professional independence of accountants and a more significant role of ethical standards an "organisation" certifying financial and accounting activities and issuing the certificate of ethics in accounting, which would confirm ethical conduct, needs to be established, 60% of the respondents assumed that establishing such an organisation would ensure more independence of accountants and increase the role of ethical standards in accounting. The respondents believe that the Accountants Association in Poland could be such an institution and certificates should be issued for a maximum of four years.

Introducing certificates would constitute a showcase of a company and a confirmation for stakeholders of its reliability and accuracy in the area of accounting. It would bring numerous benefits for both the interested entities and other stakeholders. Issuing them for the period from two to four years would be justified and would improve the quality of financial and nonfinancial information presented by entities, especially given the fact that in the present situation the entities that are not obliged to audit financial statements are not subject to any form of control (except for controls in the scope of selected legal framework). However, the respondents are inclined to choose the option of a certificate being issued for four years (44.92%) or depending on the level of risk from two to four years, which should be decided by a committee.

The respondents were also asked to answer the question concerning their company being a signatory of the Code of Professional Ethics in Accounting. Over 15% of the respondents (18 people) confirmed the fact that their entity was a signatory (diagram 8). Unfortunately, a hundred respondents are not employed by an economic entity which is a signatory

of the Code of Professional Ethics in Accounting. On the basis of the conducted research it is impossible to verify what causes such a low percentage of signatories or what activities can be undertaken in order to change it.

Summarising the results of the research, it is possible to specify the conditions of the functioning and implementing ethical standards in accounting, but a high number of respondents (70%) indicating the existence of unethical conduct that they encounter in their workplace gives rise to concern. The research has also allowed specifying the determinants of unethical behaviour, which include in particular the influence of persons in charge on their subordinates and the pressure of the management on receiving the best results possible. Employees being afraid of losing their jobs is also of significant importance. The study has identified the barriers limiting the observance of ethical standards in accounting, the areas in which actions should be taken in order to strengthen and promote ethical conduct, and the expectations of the respondents in the scope of ensuring compliance with the standards. The results help to formulate recommendations for the economy in the form of creating procedures of obtaining a certificate of accounts and presenting information on implementing the solutions included in the Code of professional ethics in accounting by economic entities.

### **System Modification and Corrective Actions – Account Books Certificate**

The aim of the presented concept of account books certificate is the assessment of the compatibility of the application of legal requirements and ethical standards in accounting which is to ensure the continuation of a given entity's activity as well as guarantee stakeholders reliable and accurate information on the financial condition and the outcome of activities, which allows taking appropriate decisions concerning the future. The assumptions concerning issuing certificates differ considerably from the practices used so far, in which not all economic subjects were subject to supervision and control regarding the accuracy of bookkeeping; the difference results from the fact that the assessment and auditing of accounts and financial reports has not taken into account ethical standards in accounting up till now. Therefore, in the process of issuing certificates the assessment of application of legal requirements with simultaneous observance of ethical standards should be taken into consideration. The starting point of creating the concept of certificate is the assumption that accounting as a source of financial information necessary to take decisions should assume that the persons involved observe the standards of professional ethics and in consequence contribute to building social prestige of the profession.

Creating such a certificate will enable better evaluation of ethical behaviour of people involved in the accounting and financial services, elimination of unethical behaviour, strengthening the role of an accountant as a profession of public trust, increasing its autonomy and creating support for this professional group in its resistance to the pressure of the management, which focuses only on presenting financial results consistent with the expectations of owners and not necessarily with the legal requirements and business ethics. On the other hand, introducing a certificate would be not only a support for people involved in the accounting and financial services, but also a source of information for all stakeholders and market participants.

Introducing a certification system of account books will improve quality and allow defining and supervision of methods and conditions of records in accounts on all the stages of accounting activities basing on legal regulations required for a given (certified) economic entity.

It needs to be observed that in a certification system of account books, developed procedures should relate to all the stages of the work a finance and accounting department, from the moment of organising accounting in a company, through creating documentation required in the scope of bookkeeping, writing reports and declarations including those made for public and legal settlements. Moreover, the procedures need to take into account behaviour required by ethical standards included in the code of ethics. Such a certificate would confirm a high level of professional competence, of the quality of work, and of professional independence, but it would also ensure protection of stakeholders from possible unfavourable events resulting from irregularities and violation of provisions of law. A certificate can constitute an effective tool to control the observance of law in the scope of bookkeeping by economic entities as well as a source of information on the accuracy of account books and observance of ethical standards for both the audited entity, counterparties and other stakeholders. In many cases a certificate can constitute an element of guarantee of choice made by a counterparty and also open the way to cooperation with other entities. It can be an additional advantage which will facilitate applying for EU grants or bank loans and trade negotiations. It would constitute a valuable source of information, confirmation of account books accuracy and observance of ethical standards by a professional non-governmental organisation particularly for foreign counterparties.

Summarising, it should be noted that the basic assumptions concerning creating a model of an account books certificate is the evaluation of the following:

professional competence of accountants

quality of work verification

professional independence of accountants connected with creating professional image

appropriate preparation and presentation of information on accounting

appropriate treatment of stakeholders

observing professional confidentiality

Introducing a certificate will not be compulsory, but it can cause an increase in awareness of the finance and accounting environment, reflect the maturity of business ethics among entrepreneurs, increase the independence of accountants and enhance public confidence in the profession of accountant. Similarly, it may increase organisational clarity in an economic entity, influence its prestige and improve its perception among customers and counterparties, which may lead to measurable economic benefits. Such perception of account books certification can be for an entity itself and its environment value added that will enable an entity to limit risk and uncertainty in taking decisions as well as influence the image of an entity and its perception in environment.

### **Operational Assumptions in Account Books Certification**

In the process of certification, the certifying entity should act impartially and independently, and all entities wanting to confirm the accuracy of bookkeeping and observance of ethical standards specified by the law will be entitled to use its services. Obtaining a certificate will concentrate on two grounds of assessment nature:

Ensuring compliance of bookkeeping with legal regulations.

Assessment of observing ethical standards in accounting.

The assessment of the legal and ethical aspect should give answer whether account books in an entity are kept accurately, reflect the actual situation and fit into wider aspect of business ethics.

Before the regulations of issuing a certificate of account books are established, an analysis needs to be conducted basing on the following questions:

When conditions should the institution issuing a certificate meet?

How will the process of certification be conducted?

What areas will be assessed and examined within the process of certification?

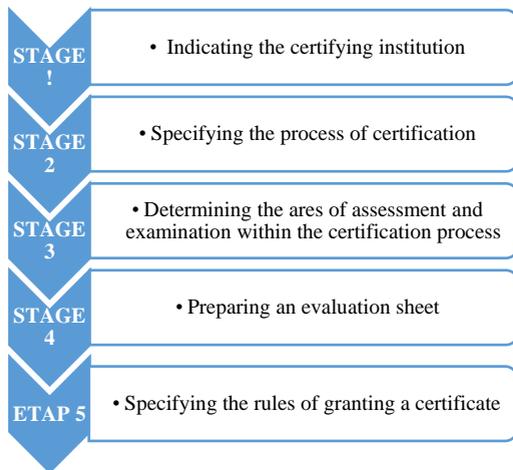
What mechanisms will be use in order to conduct the examination and error correction?

How long will a certificate be issued for and how will the information regarding certified entities be accessible?

How will a certified entity inform stakeholders about their certificate and the way of observing the ethical standards?

The answer to the above mentioned questions will constitute the basis for specifying the path of procedure in the scope of the improvement of account books quality and observing the standards in the code of professional ethics in accounting (drawing 1) and the organisation of certification process (diagram 4).

Drawing 1.

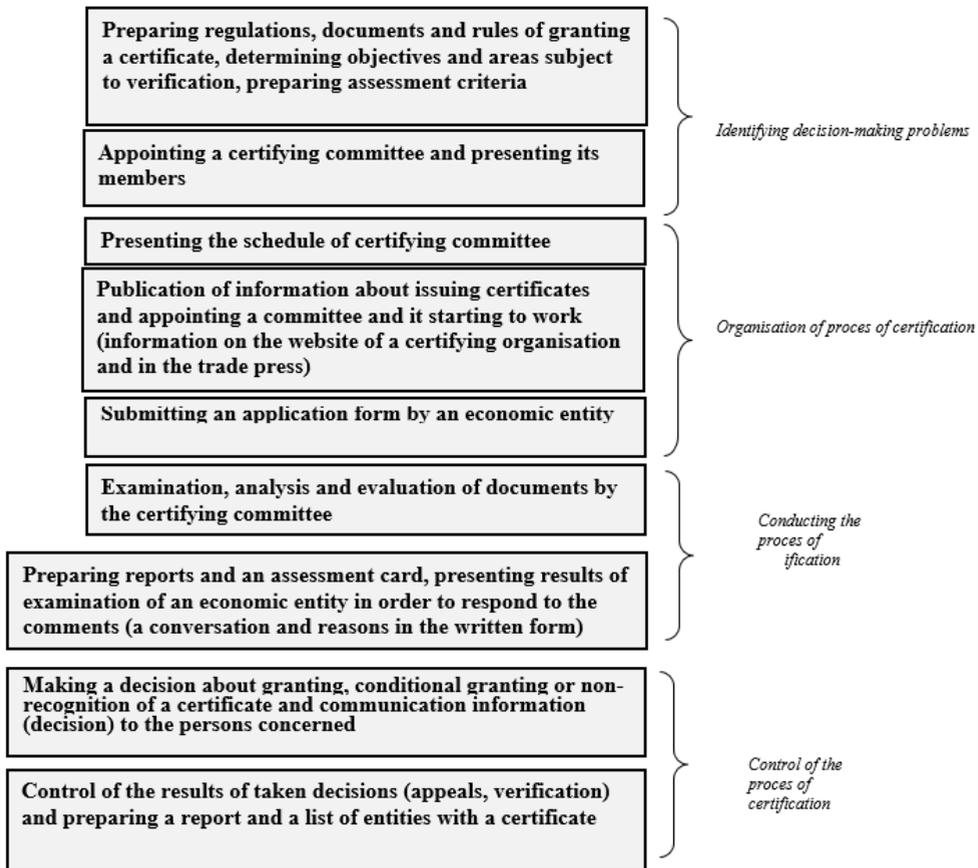


Source: own study

An important element in the process of certification would be the scope of disclosing information on account books certificate and observance of ethical standards in accounting, as it should be made available for users by means of different media, in which way it will be of an informative nature and will allow promoting ethical standards and attitudes. The scope of presenting information is shown in drawing 2. <sup>1</sup>

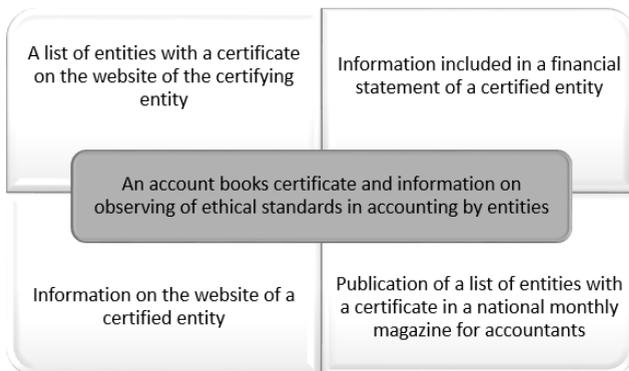
Diagram 4. Organisation of account books certification process

<sup>1</sup> Thus, on 6 September 1915 in Plle, there was a secret agreement between the Central Powers and Bulgaria for the division of the territories, under which Bulgaria was offered whole Macedonia and Eastern Serbia to the Morava River. According to this agreement in Kosovo and other Albanian territories, two occupation zones were created: the Austro-Hungarian zone and the Bulgarian zone. Within the Bulgarian area were included Podujevo, Pristina, Gnjilane, Kamenica, Viti, Ferizaj, Kacanik, Lipjan, Drenas, Theranda, Prizren and Rahovac. In the south of the Black Mountains of Skopje and the Sharr Mountains, the Bulgarian area included almost all of the eastern Albanian territories, including centers such as Dibra, Ohrid, Struga, Kicevo, Tetovo, Gostivar, Skopje, Kumanovo, Presevo, Bujanovac. So on October 21, Bulgarians entered the southeastern part of Kosovo, and the next day they took Skopje, where the Serbian divisions were stationed in Macedonia and withdrew to the north of Kosovo. The Bulgarians occupied Kaçanik on 25/26 October, while Pristina was captured on 23 November, Ferizaj on 25 November. With the invasion of Skopje and Kumanovo, they cut off all traffic lines to Serbia. However, by the end of this year, the Austro-Hungarian and Bulgarian ruling circles expressed a desire for even greater expansion. After numerous discussions between the two parties on 1 April 1916, an agreement was reached on the delimitation of the military occupied areas in Kosovo beyond the boundaries, set by the secret agreement dated 6 September 1915. This agreement remained in force until 29 September 1918, when Bulgaria capitulated and, as a result, left the war. For more details, see: Jasha Rexhepagiq, *Zhvillimi i arsimit dhe i sistemit shkollor të kombësisë shqiptare në territorin e Jugosllavisë së sotme deri në vitin 1918*, Enti i Teksteve dhe i Mjeteve Mësimore të Kosovës, Prishtinë, 1968, f.252; Limon Rushtiti, *Rrethanat politiko-shoqërore në Kosovë 1912-1918*, Rilindja, Prishtinë 1986, p. 174; Shaban Hashani, *Ferizaj dhe rrethina 1873-1941 (vështruar nga pikëpamja historike)*, Ferizaj, 1998, f.214; *Historia e Popullit Shqiptar III, Periudha e Pavarësisë 28 Nëntor 1912- 7 prill 1939*, Akademia e Shkencave e Shqipërisë, Toena, Tiranë 2007, p.436; Noel, Malcolm, *Kosova një histori e shkurtër*, Koha, Prishtinë 2011, p.336-339.



Source: own study

Drawing 2. The scope of disclosing information on the entities with an account books certificate and observing of the ethical standards in accounting



Source: own study

The above drawing demonstrates that every entity that has a certificate and observes ethical standards in accounting should inform its stakeholders about this fact by means of different types of media. Only comprehensively presented information can reach a wide group of people who are interested in financial and nonfinancial information and most of all those stakeholders for whom using ethical standards makes managing an entity better, more rational and more socially beneficial.

### Summary

In the modern world certificates are commonly used in various areas of the economic life. Workers of financial and accounting departments can obtain certificates confirming their professional competence, which plays an important role in the recruitment process and in promotion. Still, in the area of account books no certificates can be obtained though they could be a showcase of a company and confirmation of reliability and accuracy of an entity in accounting for stakeholders. Introduction of certification would be beneficial for both the entity and other stakeholders. The process of creating and implementing certificates will not be easy, but good practices could attract interested entities and with time certain types of behaviour will become fashionable and common.

The presented solutions concerning account books certification should be treated as a path of procedure in creating the certification system. The process will not be easy, because it may involve damaging of the currently functioning structure of economic entities, which were not subject to auditing and control by other bodies than national units entitled to control under tax law or social security. On the other hand, it is a way to support for entities which observe the regulations of law and ethical standards in their activity and which receive no feedback concerning their counterparties or competition in the world of financial statements based on financial and nonfinancial data and economic entities creating different explanatory notes and reports on social responsibility of business. The benefits of observing ethical standards in accounting should be reflected in financial reporting. Additional information in the scope of explanation or a separate explanatory note should include information on observing ethical standards in accounting. In this area entities should place data in additional information including:

- information on implementing and using standards defined in the Code of professional ethics in accounting
- information about obtained account books certificates
- the name of the entity that issued such certificates
- the period of time in which a certificate is valid
- information about developed and implemented standards whose aim is to ensure observance of ethical standards in accounting
- control procedure connected with observing ethical standards and creating ethical attitudes among workers

Only multi-directed information on account books certificate and observance of ethical standards will bring the desired effects and reach a wide group of users.

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## The Bulgarian Occupation Zone During World War II

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### Abstract

After the invasion of Yugoslavia, especially Kosovo by the German army in World War II (1941), Kosovo was divided into three occupation zones, which were defined in the Vienna talks. In addition to the interests of the big countries like Italy and Germany, the latter also sought to meet the demands of Bulgaria, another ally of the Fascist Bloc. Thus, Bulgaria sought to pass under its rule a part of the districts of Gjilan, Vitia, Old Kacanik, the region of Presevo, Kumanovo, Skopje, Veles, Prilep and Bitola. In these regions lived about 200.000 Albanians, who came under Bulgarian occupation. Thus, the Bulgarian occupation zone covered an area of 900 km<sup>2</sup>, with 60.842 inhabitants, or 8% of the total area of Kosovo and over 9% of its population. The Bulgarian invaders declared all Albanian territories annexed by them as an integral part of the Bulgarian Kingdom. The policy followed by the Bulgarians against the Albanians during their rule in these areas was usually of the ordinary brutality. Albanians were interned, imprisoned, and killed in the most inhuman ways. In others word, they have been denied every national and human right. As a result of the violence and pressure on the part of the Bulgarian invaders, by September 1942, 3.000-4.000 Albanians were displaced from their lands invaded by the Bulgarians.

**Keywords:** World War II, Kosovo, Albanians, Bulgarians, occupation zone, etc.

### Introduction

#### The Partition of Kosovo in Occupation Zones

From The beginning of the year 1941, the political situation in the Balkans became worse and reached its peak on April 6th, when the 12th German division backed by Italian and Hungarian troops, started the war against Yugoslavia and Greece. (AIHT, A-VIII-297, 1977, 19) The ongoing attacks against Yugoslavia lasted until May 17, (*Fjalori Enciklopedik, N-Zh*, 2009, 2129) forcing it to sign a declaration of surrender (in the building of the Czechoslovakian embassy), which entered into force on 18 May 1941. (Ali Hadri, 1978, 15). The conquest was accompanied by the dismemberment of the Yugoslavian territory between the German, Italian and Bulgarian invaders. The intentions of the fascist bloc, which were toward realization, included also the Albanian territories. (*Historia e Popullit Shqiptar IV*, 2008, 129-130).

With the conquest of Yugoslavia and Greece, the Axis Alliance aimed at almost the entire continent of Europe. Thus, after the war of April 1941 the Yugoslavian Kingdom de facto ceased to exist as a kingdom. The Allies also divide the areas of interest between them. With the initiative of Hitler from 27 March the orientation plan has been drafted, which that was concretized on 12 April in „the temporary intentions for the separation of Yugoslavia“. With the initiative of the German foreign Minister Ribbentrop a meeting was organized in Vienna (18 to 23 April 1941) in order to reach an agreement on the final division of Yugoslavia. In addition to Ribbentrop, his Italian counterpart, Galeaco Ciano, and other personalities participate in this meeting who are interested in the partition of Yugoslavia. (Ali Hadri, 1978, 15)

At the Vienna meeting, an agreement was reached between representatives of Berlin and Rome, where the new political map of the Balkans was assigned. Its boundaries were based on the principles of dividing the zones of influence between Germany and Italy, not leaving aside the interests of Bulgaria (Kristo Frashëri, 2008, 295), which were accepted by Germany. The interests of these three Allied countries coincided in the Albanian lands, which were within Yugoslavia. Therefore, after the invasion of Kosovo on 12 April 1941, it was divided between those three states: Italy\*, Germany\*\* and Bulgaria. (*Historia e Popullit Shqiptar IV*, 2008, 129-130)

We will focus only on the Bulgarian occupation zone, which is the main subject of this study. Thus, Bulgaria's interests in the Balkans were discussed as well in Vienna. Therefore, finding support at its German-Italian allies, it was decided to pass under Bulgarian rule a part of Kosovo and other Albanian regions of today's Macedonia. Thus, within the Bulgarian area,

belonged a part of the districts of Gjilan, Vitia, Old Kaçanik, Presevo, Kumanovo, Skopje, Veles, Prilep and Bitola (Muhamet Shatri, 1997, 20; Historia e Popullit Shqiptar IV, 2008, 129-130). In these regions there lived about 200.000 Albanians who came under Bulgarian occupation.

Despite the agreement reached between the allies in Vienna (23 April 1941), its implementation posed practical problems throughout the existence of occupation zones. All this is due to internal and external factors. The internal factor is related to the demands of the Albanians to join the Italian area, in which the rights of Albanians were more guaranteed than in the Bulgarian one, while the external factor was mainly related to the claims of Bulgaria and Italy to extend their influence as far as possible.

Thus, the initial agreement foresaw that not only Mitrovica, but also a part of the Mitrovica-Prishtina-Ferizaj railroad, and even Prishtina and Ferizaj to join the German occupation zone (Ali Hadri, 1978, 16). The German version was similar with the Italian one in terms of the border assignment in Kosovo, but the Italian version was wider. This was foreseen for the establishment of the border in the Bulgarian zone and foresaw also that Old Kaçanik and Sterpca, which had an Albanian majority and were given to Bulgaria (Ali Hadri, 1978, 16), to become part of the Italian zone. Later, because of the above-mentioned interests, the line of demarcation did not remain the same as the invasive states had agreed. This is due to the fact that the Italians expanded their area, including even Prishtina and Ferizaj, and to Orlovic's Suka, the border between the invasive zones of Germany, Italy and Bulgaria was set in the Suka of Orlovic (AQSh, F. 149, v.1941, d. I-1170, 93).

### **The stationing of the Bulgarians in Kosovo and the creation of their own zone**

In the spirit of the Vienna Agreement and for the purpose of determining the demarcation line between the German and the Bulgarian zone, a meeting was held in Vranje on 11 June 1941. The German commission consisted of Colonel Botmer and senior military advisor dr. Hanle, while the Bulgarian commission consisted of Colonel Stomatova and Lt. Colonel Matikarov. At this meeting, an agreement was reached whereby the border line between the German and Bulgarian zones was established, in Valladicak in the center of Kukavica, then the northern boundary of the Vranje district (Fehmi Rexhepi, 1998, 63). Thus, in Kosovo the Bulgarian occupation zone included the today's municipality of Gjilan (20 villages), Vitia (22 villages), and Kamenica (5 villages), with a surface of 411km<sup>2</sup> and within this area lived 32.196 inhabitants. In the Bulgarian occupation was also Ferizaj and his surrounding (16 villages) included, with an area of 189 km<sup>2</sup> in which lived a population of 12.772 inhabitants, and the surrounding of Kaçanik (42 villages), with an area of 300 km<sup>2</sup> and 32.196 inhabitants, were lived 15.874 people.

So the Bulgarian occupation zone, alone in Kosovo included 103 villages with a surface of 900km<sup>2</sup> with 60.842 inhabitants, or 8% of the territory and over 9% of his population (Muhamet Shatri, 1997, 20).

Likewise, many Albanian villages of towns like Struga, Tetovo, Gostivar and Kerçova, that were included under the Italian occupation zone, remained under Bulgarian rule. (AQSh, F. 149, v. 1941, d. I-1170, 93). On the basis of a letter dated 28 May 1941, by Riza Drini (Prefect of Shkodra with missions in Struga), addressed to the Prime Minister Shefqet Verlaci, we learned that the Italian troops withdrew from the town of Ohrid and that the town of Struga is in danger (AQSh, F. 149, v. 1941, d. I-1170, 93).

Immediately after the invasion of these zones, two battalions of the Bulgarian invading troops were deployed to this areas to keep the situation under control. Regarding the Bulgarian official policy, it can be said, that there is a continuation of their policy during the First World War, as Serbo-Croatian was replaced with Bulgarian in all administrative levels ,including education (Noel Nalcolm, 2011, 371-372.). Moreover, the whole administrative personnel came from Bulgaria.

But the Bulgarian government was dissatisfied with regard to the area of influential. This dissatisfaction was expressed on 2 September 1941, by the Bulgarian President, Fillovi and the Army Minister Daskallov. Besides that, they stated that they are not satisfied with the designation of the border line in Western Macedonia nor with the attitude of Italy (Ali Hadri, 1971, 99). Despite this, the Bulgarian leadership didn't want to break their relations with Italy in this issue. But, according to them, the demarcation should answer the historical, strategical and economical viewpoint (Ali Hadri, 1964, 679). Despite their dissatisfaction and their constant demands, the demarcation line between the occupation zones of Italy and Bulgaria was never change, with the exception of the town Ohrid.

That what the Bulgarians didn't reach in the case of the demarcation line with the Italian zone, they achieved with the German one. So the Bulgarians couldn't manage to extend their occupation zone into the Italian area, but they could do so in the direction of the German zone, because of the Germans' demand (Ali Hadri, 1964, 680). According to the German

Commander for Southeast, dated on 20 December 1941, the Bulgarian occupation zone was supposed to include, among others, the majority of Kosovo with centers such as Pristina and Mitrovica (Ali Hadri, 1971, 99). However, Hitler didn't allow Bulgarian troops to be placed in these towns at that time, but allowed that the Bulgarian occupation zone to expand later. Thus, on 15 January 1942, the districts of Llap were included within the occupying zone, and on 7 January 1943 the districts of Mitrovica and Vushtri became part of this zone. The enlargement of the Bulgarian occupation zone has been done with the good will of the Germans, as it was interested that Bulgaria defends the backward line in southeastern Serbia, so that the German troops can be used on the eastern front. (Ali Hadri, 1964, 680).

On the other hand, none of the conquered peoples like the Serbs, Montenegrinians and Albanians were satisfied with the demarcation line (Ali Hadri, 1964, 680). The Italian government insisted that Sterpca and Old Kacanik should become part of their occupation zone, arguing with the fact that the vast majority of their population was Albanian. However, the Italian demands collided with those of the Bulgarians, and therefore she insisted that the borders of her ruled zone shouldn't be touched. For this attitude, Bulgaria found Germany's support, which had secured the right to exploit Bulgarian mining assets. Overall, in the summer of 1943, a re-enactment of the borders between the Italian and Bulgarian occupiers took place in the area of the sub-prefecture of Gjilan. So, the Italian zone was joined by the villages like Sadovinë of the Jerli and Verbani (today villages of the Viti municipality), then Godanci (today a village in the municipality of Shtime) and some other villages. The controversy between Bulgaria and Italy over the expansion of the occupation zones lasted until September 1943, when the latter capitulated. After the capitulation of Bulgaria, in September 1944, Albania's borders expanded to the vicinity of Skopje and from there to Kumanovë, Preshevë and Bujanocë (Muhamet Shatri, 1997, 20).

### **The position of Albanians in the Bulgarian area**

The Bulgarian conqueror proclaimed all the Albanian lands annexed by them as an integral part of the Bulgarian Kingdom. Bulgaria followed a tolerant policy towards the Serbian population in these areas, which aimed at their assimilation because they considered them as Moravian Bulgarians (Idriz Halabaku, 1978, 470). This policy of the Bulgarians against the Serbian people was followed by the beginning of the year 1943. Unlike the Serbs, the Bulgarians pursued a very discriminatory policy against the Albanians during their reign (August 1941 - September 1944). They were interned, imprisoned, murdered in brutal ways. Thus the Albanians in this zone of occupation were denied every basic right. (Muhamet Shatri, 1997, 32).

Immediately after the occupation, the Bulgarians began with the administrative-judicial and police-military arrangements, which was done in several phases. Firstly, a military reinforcement took place in the middle of April 1941. Even during the months July-August, the supreme Bulgarian commander made a military reorganization by moving huge military forces into the occupied territories, while in the occupied zone of Kosovo, 2-3 battalions were placed with a total of 450 to 500 soldiers who were distributed in the municipality of Kaçanik district. Most of the Bulgarian soldiers were deployed along the Italian-Bulgarian border, while the main military headquarter was located in Zhegër.

In the Bulgarian occupied zone in Kosovo there was only one police circle located in Kaçanik, which had 81 police officers. In Kaçanik district, there existed also a cohort of counter armed groups, consisting of 40 people, placed 10 in Kaçanik, about 20 in Viti and several others where they were needed. The people of these cohorts were Bulgarians, who were placed in these lands during the Balkan Wars and the First World War. They had salaries and were paid for obligations, i.g. against those with anti-Bulgarian disposition. After regulating the military-police, it also makes the administrative and judicial territorial regulation of other bodies and institutions. The country was divided into districts and districts into municipalities. At the head of these institutions stood the provincial director and the district director in the kmeti municipalities (alderman). Each village had a superior kmet who answered to the mayor. In every state institution worked a number of officers who were in charge of propagating the Bulgarian language (Daut Bislimi, 1997, 57).

In a report of Ramadan Presevo<sup>1</sup> submitted to the High Commissioner for Kosovo, Dibra and Struga-Prizren reported the Bulgarian atrocities against the Albanian population in the provinces of Presheva, Kumanova, Skopje, which took place in the period between 10th and 17th of May 1941. In this report, among others it stated "*In the prefecture of Presheva, in the*

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<sup>1</sup> The attitude of the Bulgarian politics caused in the first place the Serbian people to create illusions that with the help of the Bulgarian power they would oppose the Albanians. During the Bulgarian occupation, there were several cases where Serb families living in the Italian zone crossed over to the Bulgarian occupation zone, as a result of the conditions provided by the Bulgarians to the Serb population. This conditions were only in the area of occupation in Kosovo, but in the occupation zone in Macedonia Serbs did not have this position.

<sup>1</sup> Ramadan Presheva, a member of the Kosovo Committee.

village of Shunicë (Zhunicë) they have beaten the village chief Adem Mehmeti, because he did not let them plunder the village, then the Bulgarian Army has robbed by accident garments of women and grain, and beside these they have beaten many people in the village and have also plundered 7,000 pounds of grain and 20,000 pound of grass... also in Sumolic village they have plundered the clothes of the mosque... this report presents the violence exercised by the Bulgarian army in the villages of Cenotic, Bilic, Negofe, Noesel, Trnoc... In Skopje, more than 50 people were imprisoned, just because they have placed white plis on their head... about these 50 people, we were for a few days unaware of their fate. Likewise, dozens of other people were beaten and robbed in this city, and even by the violence exercised by the Bulgarian police, Muhmut has died". (AQSh, F. 23, v. 1941, d. 25, 236). Always according to this document "On the 13th day of the month, market day, the Bulgarian army had placed machine-guns, each with eight soldiers to gather the people and to rip down their white plis, which made it clear that you are not a Shqyptar but you are a Bulgarian, and of these more than 300 were imprisoned at Jahja Pasha's Mosque where they were kept arrested until 6 o'clock after lunch". In this case Ramdan Presheva himself was a witness. "Also on 13th, on the road called Toptana coming from Kaçanik, from more than 300 young people their white plis have been torn in pieces and they have been imprisoned in the barracks called Tophane and nothing is known about their situation" (AQSh, F. 23, v.1941, d. 25, 237) In a letter from the deputy prefect of Gnjilane, Yahya Bacaj, sent on September 17th 1941, to the High Civil Commissariat for Kosovo, Debar and Struga and the the Prefecture of Pristina, through which the latter announced that 21 Albanian families because of persecution by Bulgarians, as well as others due to the political nature were forced to flee their homes and settle within the Albanian border (AQSh, F. 23, v. 1941, d. 25, 245-246).

In an information from the deputy prefecture of Gjilan, dated 4th of October 1941, reported to the Prefecture of Pristina on the killing of Isuf Hamid by the Bulgarian army. They also called for intervention in order to take action through diplomatic ways to stop the violence exercised systematically by the Bulgarian army to the detriment of the Albanian element. (AQSh, F. 167, v. 1941, d.72, 45-46). During the year 1941, there were successive requests directed to the authorities like the senior civilian commissar, and the leaders of the prefectures and sub-prefectures who were informed about the plundering of the population, mistreatments, imprisonments, and killings of the Albanian population by the Bulgarian invaders. Such is the request from the sub-prefect of Gostivar, Xhavit Kallajxhiu, sent on 16 December 1941, to the prefect of Dibra, whereby the latter is informed of the mistreatment and plundering of Albanian citizens by Bulgarian guards at the border crossing point in Zhelino (AQSh, F. 266, v. 1941, d. 80, 1) There were also problems in relation to the occupation zone during 1941. Thus, after the withdrawal of the Italian army from the town of Ohrid, anxieties began to spread around the Albanian and Serbian population, as a result of the psychological pressure exerted by the Bulgarian army on the civilian population. The Albanian population was very concerned, because "...news are spread that Bulgaria is trying to get Struga as well" (AQSh, F. 149, v.1941, d. I-1170, 93).

A law issued at the end of 1941 threatens with death penalty for „any form of propaganda against the Bulgarian state“(Noel Nalcolm, 2011, 371-372) It looks like the law on protection of the state (Zakon za zashitata na drzavata), which came into force on 16 December 1941. (Fehmi Rexhepi, 1998, 58) Through this law, sanctions were extended to all those who attacked or violated the ruling Bulgarian regime. Based on the research done at the Albanian Central State Archive, which contains dozens of documents that inform us about the violence and pressure exerted by the Bulgarian army against the Albanian population, who were forced to move from their territories.

During 1942, the Bulgarian invaders excessively increased the violence against the Albanian population, mostly at the border crossing points where the large Albanian families were mistreated. Based on a letter dated 20 January sent by the Prefecture of Dibra, which reaches up to the General King's Vicar, we learn about the mistreatments of the Albanian families from Jelovic of Gostivar at the border point by Bulgarian guards. (AQSh, F. 266, v.1942, d. 80, 2-3)

With the goal of being well-informed about the position of Albanians in the Bulgarian occupation zone and the position of Bulgarians in the Italian occupation zone, the General King's Vicar sent a letter on 5 March 1942 to the Ministry of Free Lands, through which the latter sought information (AQSh, F. 266, v. 1942, d. 83, 1-3).

According to a letter, the Bulgarian government will announce from 17 April on, the mobilization of all inhabitants, where there will be mobilized all from the birth year 1887 to 1923 (at the age of 19-55). This call invites all residents not to avoid this call. From this call, „many Albanians and a part of Gostivar took advantage of the case, to cross the border“ (AQSh, F. 152, v.1942, d. 402, 1).

With a letter from the Inspector General for Kosovo, sent on 28 May 1942, informs Koço Tasi the Prime Minister „about the ill-treatment of 700 (seven hundred) Albanian by the Bulgarian authorities; men, women and children from the areas under

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*Bulgarian control cross the boundary to the Municipalities of Partesh and Pozharan and resettled on Albanian land in the villages of Gjilan and Ferizaj, near the border*" (AQSh, F. 814, v.1942, d.14, 5). About these ill-treatments the general inspector for Kosovo Koço Tasini, informed on 28 May 1942 also the Prefecture of Prishtina as well as the sub-prefectures of Gjilan and Ferizaj (AQSh, F. 814, v. 1942, d. 14, 7). He is also informed on 9 June 1942 about the murder of the farmer Ibrahim Hasani by Bulgarians (AQSh, F. 152, v. 1942, d. 405, 2).

But despite the expansion of Bulgarian space, yet the Bulgarians were still not satisfied with the occupation zone and their claims for expansion of their zone were perpetual. In order to achieve these objectives, the Bulgarian authorities had organized various circles to exert pressure on the Albanian population, which would be forced to leave their homes. According to a document, it is proved that such organizations „in the village Klemeshtan of the Municipality of Meshavishit in the district of the sub-prefecture of Struga, is often seen a group of about 180 people armed with rifles, machine guns and bombs. Based on our information, this armed group came from Bulgaria" (AQSh, F.152, V.1942, d. 293,41). In order to accomplish its goals, the Bulgarian occupiers activate extreme Macedonian-Bulgarian circles, and from 1942 on also the relations to the Chetniks of Drazha Mihajlovic (Muhamet Shatri, 1997, 32).

The discriminatory policy followed by the Bulgarians provoked the displacement of Albanians from their own lands. Thus, in a report by the Ministry of the Free Land on September 1942, it was noted, that as a result of violence and pressure by the Bulgarian occupiers until September 1942, more than 3.000-4.000 Albanians are displaced from the Bulgarian occupied zones (Muhamet Shatri, 1997, 32). Meanwhile, in another report that came from the same minister stated that „more than 3.000 Albanian inhabitants of the Karadag Mountains in Kosovo, Kumanovo, Kacanik, Presevo, Skopje, Bitola have been forced to abandon their homes and are in difficult conditions in Gjilan, Ferizaj, Tetovo and Debar". (AQSh, F.151, v. 1944, d. 71, 1-11). In the Bulgarian occupation zone during the whole period of their rule, the Albanian population also suffered for the most essential things such as bread. This is best explained by the fact that in Struga's sub-prefecture with about 60.000 inhabitants, at least half of the population was in need of bread. (AQSh, F.886, D.1103, 1) Whereas, in a report about the inhabitants of Kaçanik, it is said that residents need grain. Furthermore, this report describes the situation best, where Albanians were not allowed by Bulgarian authorities to take 20 kg of grain which they bought in Albania, because it was considered as smuggling. (AMPJ, F.151, V.1944, d. 99, 14)

In a telegram dated 31 from the Prefecture of Dibra, was asked for a diplomatic demarche directed to the Bulgarian government for not torturing Albanians. This notice stated, inter alia: "*Information from reliable sources state that the Bulgarian authorities started on 27 to mistreat Albanian minorities in Bitola and Prilep. They have arrested a large number of them, and it is not exactly known where they are*" (AQSh, F.149, v. 1944, d. 99, 29).

With a request, the Albanians in the Bulgarian occupation zone seek weapons in order to protect themselves from the Bulgarian and Serbian authorities. In this claim, they had reflected in detail the killings of children from the age of 2 years, who was killed with his father Ramiz Durmishi, up to the age of 70, such as the murder of Rexhep Sherif and dozens of other people and injuring hundreds of others. This document reflects the event of August 15, during which the Bulgarian authorities, in cooperation with the Serbian partisans, attacked believers who were performing the religious obligation during the Taravian time, four of whom died and 24 were injured (AMPJ, F.151, v.1944, d..99, 45-51).

In a document on the massacres against Albanians across the border, on 16 December 1943 of the Gjilan sub-prefecture directed to the Prefecture of Prishtina "*One person named Osman Halili from the village of Svirca of the sub-prefecture of Medvedja and resident in Gjilan has addressed us in an official form to say that: The Drazhistas that are in the Medvedje sub-prefecture and who bear the name Karovski Adred were committing massacreds in the villages of Svirce, Tuplje and Gërbac, which are Albanian, and the Ravana, Banja, Stara-Banja, Llapashtica, Kapit, Sjamica, Gjylekari and Medvedja villages that are mixed, and in all these can be more than 400 spirits. The massacres are been done in order to force the people leave from there and come to this side* (AMPJ, F.151, v. 1944, d.176, 12).

Throughout the period of the Bulgarian rule, demands from the Albanian side for the unfair treatment by the Bulgarians have been done continuously. This proves a request by the Central Committee of the Second League of Prizren, addressed to the Presidency of the Council of Ministers and the Prime Minister, authorizing the Minister of Foreign Affairs, to submit to the Bulgarian authorities the request from the Albanian side, among other things it is said "...many villagers of the Gjilan district have their lands beyond the demarcation line, under Bulgaria, and they have the need to cross over in the Bulgarian regions from time to time ... we are therefore asking for appropriate steps that should be taken by the Bulgarian Consulate General and the competent authorities of Sofia ... to allow the people in question to cross the line of demarcation..."(AMPJ, F.151, v.1944, d.176, 12).

*On the other hand, the Bulgarian government, rather than prohibiting the discrimination of Albanians, it continued even to intensify their mistreatment. From an archive document we learn about the improper treatment of Albanians, where among other things is said: "...the Bulgarian government has for days intentionally called for the mobilization of all Albanian citizens that lived in its occupation zone, aged 18-45 ... and sends them to distant places and heavy work and no one should dare to opposes this illegal call..."*AMPJ F.151, v.1944, d. 99, 56).

About the torture against the Albanian population, we learn from a report that asked the Albanian authorities to engage in a vigorous intervention and stop such actions from Bulgarians (AMPJ, F.151, v.1944, d.972, 1). While in another report on the Bulgarian cruelty against the Albanians of Skopje, Kumanovo, Presevo, Gjilan, accurate data are provided about the atrocities, imprisonments and killings of the Albanian population by the Bulgarians, where the number of the first is enormous. (AMPJ, F.151, v.1944, d.99, 36)

From the facts described above, we can conclude that the Bulgarian invader in the area of his occupation, pursued an assimilation policy towards all peoples living in the area. So the Macedonians were called Bulgarians, the Serbs Bulgarians of Anamorava, while a discriminatory and humiliating policy was applied towards Albanians. For this reason, the Albanian nationality was undergoing an unprecedented oppression by the Bulgarian occupiers. She did not enjoy basic and national rights. Moreover, no right at all were given such as the right to use the flag, the celebration of historical dates, the opening of schools in Albanian language, etc. Therefore many Albanians have been forced to leave their lands, just to be able to escape the violence of the Bulgarian pressure.

In the Bulgarian area, to oppose the Albanian efforts for emancipation and education in their mother tongue, an organization called "Orle" was formed, which was for primary school children aged 7-14. This pro-fascist and great Bulgarian organization worked to educate and teach the children in the Bulgarian fascist spirit. Thus, the Bulgarian teachers taught the children fascistic songs and poems, then drove them to the streets to sing Bulgarian songs and taught them to salute the fascistic way. (Fehmi Rexhepi, 1998, 82).

But Albanian children from some of the villages of Gjilan and Kaçanik, which were part of the Bulgarian occupation zone, managed to secretly attend the Albanian language courses, which took place in the Italian occupation zone. Thus, in a report by the Presidency of the Extraordinary Kosovo Education Mission sent on 19 September 1941, it is said that *"the opening of the summer courses in Kosovo has been one of the few and the most beautiful works that the Albanian state has conducted in those places ... the courses included the rest of the Albanians outside the today's borders, from some villages of Gjilan and the district of Kaçanik..."* (AQSh, F. 195, v. 1941, d.180, 111).

## Conclusion

In conclusion, we can say that in the Bulgarian occupation zone, the Albanians did not enjoy even the basic human, national and civic rights. This is because the Bulgarian state, working in harmony with the plans of the Nazis, choose no other way than the fascist dictatorship. This systematic violence that Bulgaria did during the Second World War over the Albanian population was realized through the army of this country. In addition to the military, this form of violence was also realized through the Bulgarian state apparatus with its functions, as well as by the fascist organizations operating in this country. All these efforts resulted in enormous consequences for the Albanian population of this part. Reports of displacements, murdering, imprisonments and torture of Albanians on the daily basis, while the lack of Albanian schools, the lack of Albanian civil servants in the administration, the denial of national rights had become a practice followed by the official policy of the Bulgarian state.

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## Political Circumstances in Albania from 1920 to 1924

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### Abstract

The events that marked the period 1920-1924 are undoubtedly those of an interior character such as the Congress of Lushnja and the Vloara War (1920), the parliamentary elections (1921 and 1923), the June uprising (1924), etc. while the external ones are undisputed the recognition of Albania and its borders at the London Conference (9 December 1921) and its admission to the League of Nations (1921). The democratic system imposed by the Congress of Lushnja, proved to be ineffective. That is, because it didn't bring political and economic stability in the country, but on the contrary caused instability in large proportions, all because of the coup d'état and the numerous uprisings that characterized the period 1920-1922. When the armed political struggle in Albania intensified, nationalist and moderate concepts were created in the Albanian politics. During this period, the Albanian political scene was divided into several political views through North-South contradictions, Muslim-Christian, Zogu-Noli, Conservative-Liberal, and so on. This diversity of religious, regional, political and conceptual character led to political rivalry within the Albanian leadership in Albania over the 1920-1924 period, in the name of democratic principles, even with non-democratic means. By thus creating not only a serious political climate, but also an attempt for radical changes in the country's government, such as the June Uprising of 1924.

**Keywords:** Albania, political circumstances, the Congress of Lushnja, June uprising, political parties, Zogu, Noli etc.

### Introduction

#### Political circumstances in Albania from 1920 to 1924

After the First World War, Albania was not only crushed in all areas, but it also lost its subjectivity as a result of the circumstances it had undergone during the war years. (Georges Castellan, 1997, 450). The government of Durres, which was created immediately after the end of the war and was under Italian influence, did not duly represent the interests of the Albanian nation, so the well-known personalities sought to hold a national congress. Preparations for the congressional meeting showed that the Government of Durres was increasingly narrowing its internal support. Moreover, the Albanian officers and soldiers abandoned the government, because they were not only dissatisfied with her work, and wanted to change the overall situation in Albania. (Historia e Popullit Shqiptar III, 2007, 144). Driven by the fear of further fragmentation of Albanian territories in the agreements that could be reached at the Peace Conference, the Albanian patriots organized a national congress that was held in Lushnja from 21 to 31 January 1920 (Hysen Selmani, 2008, 108), outside the Italian occupation zone (Tahir Abdyl, 2003, 226-227). Important decisions for the history of the Albanian state were made in the Lushnja Congress. What is worth mentioning is that in its program, along with the call for participation of delegates in the first paragraph is stated, that: "The purpose of the general meeting is to secure the Albanian union" (AQSH, F, Kongresi i Lushnjës, D, 1). In general, this congress reaffirmed Albania's independence, including the commitment to preserve its territorial integrity, and the non-recognition of all treaties and secret agreements that were at contrary to the interests of the Albanian state. (Afrim Krasniqi, 2006, 45). The main decisions taken at this assembly were: the fall of the Durrës government, headed by Turhan Pasha Përmeti, which was under the Italian protectorate; the election of the Supreme Council (Council of Regency) to represent the independence of the Albanian state, until the king ascends the throne of Albania, where they were assigned: Aqif Pasha Elbasani (Bektashi), Abdi Bey Toptani (Sunni Muslim), Bishop L. Bumçi (Catholic) and Doctor Mihal Turtulli (Orthodox), (Tajar Zavalani, 1998, 259). Also, a decision was made for the formation of a National Council<sup>1</sup> (Parliament), consisting of 37 councilors who had parliamentary competences. The 1920 National

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<sup>1</sup> The National Council or Parliament, called from the beginning the "Senate", had a short life span (held only two sessions). The role of the first Albanian Parliament was enormous. This is due to the fact that the Albanians expressed the political will to take their fate in their

Council held two parliamentary sessions". At the Congress of Lushnja, the following decisions were also taken: submission of a resolution to the Peace Conference in Paris, through which they protested the partition plan of the Albania territory and the election of a three-member delegation to represent the Albanian problems at the Paris Peace Conference (Edwin Jacques, 1998, 406). Then creation of a national army (Miranda Vickers, 2008, 152), repudiation of the 1915 London Agreement (Sejfi Vllamasi, 2000, 186), determining the form of the regime, confirming the continuation of the form of constitutional monarchy, which had begun since the establishment of the Albanian state in 1912/1913 (Afrim Krasniqi, 2006, 45) and the announcement of Tirana as the capital city instead of Durres. (Peter Bartl, 1999, 179).

Despite this, a temporary government was formed in Lushnja under the chairmanship of Sylejman Delvina (Fjalori Enciklopedik Shqiptar 3, 2009, 2157-2159; Robert C. Austin, 2011, 349-351; Ilir Ushtelica, 1997, 35). Both the High Council and the National Council, who emerged from this congress, guaranteed that they would strive for the "protection of a free and independent Albania", but the maturity of Albanian diplomats of the time was constantly sought. In addition to the Lushnja Government, the continuously effort for the national issue by the Kosovo National Defense Committee<sup>1</sup>, which in its meeting held on 30 August 1920, decided to accept the charter program of this committee, which consisted of three articles.

The Lushnja government, which was set up on 11 February in Tirana, was welcomed by the people. On the other hand, the provisional government of Durres, given the circumstances created, on 20 February 1920, handed over the offices and archives to the Government of Tirana (Hysen Selmani, 2008, 118). Another important issue for the Government of Tirana, after that with the French troops for handing over the city of Shkodra, was also the war and liberation of Vlora from the Italian forces (Historia e Popullit Shqiptar III, 150-167; Hysen Selmani, 2008, 124-129). This issue was resolved on 2 August 1920, when the protocol between the two governments was signed for the withdrawal of the Italians from Vlora, who left on 3 September (Miranda Vickers, 2008, 154).

After this success the Tirana government managed to exert its influence on the whole territory of the Albanian state. However, what was the internal situation of the Albanian state in this period of restoring its subjectivity as a state? Albania had enormous difficulties in the internal affairs in all areas. The situation was exacerbated by external influences and regional differences. Thus, the Austrian influence was observed in the north, the Italian on the coast, and the Greek one in the south. There were no political traditions at all, due to the long dominance of the Ottoman Empire in the Albanian territories. While in the north tribal influence played a key role, this role played feudal ties in central Albania. Somewhat better was the south, where we can speak of a small class of merchants and sailors, but their impact at the country level were irrelevant (Georges, Castellan, 1997, 452).

With all the difficulties, that Albania had to deal with (internal and external), there were great successes during 1920, such as the Congress of Lushnja, the Vlora War, the acceptance of Albania and its recognition in the League of Nations. But despite the above-mentioned successes, on 24 November 1920, 18 self-proclaimed opposition members that constituted half of the National Council, resigned, demanding new elections (Afrim Krasniqi, 2006, 47). That is why the Tirana Government set itself the task of organizing elections and legitimizing a parliament that expressed the will of the people, with a decision taken on 14 December 1920.

As the external problems were overcome, the internal problems that were mainly connected with the movement for democratic change, where the war in the Parliament and the parliamentary elections played an important role, which began in the spring of 1921, came into the forefront. Bearing in mind that this were the first constitutional elections, were for the first time political groups were involved that claimed to be political parties, it was understandable that the final result would

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hands, then established the Albanian parliamentarism and took over all the responsibilities of the historic decisions of the Lushnja Congress. The challenges faced by the National Council were the reaffirmation of the independence, the confirmation of the country's internal and external sovereignty, the form of governance in Albania, and so on. More details: Kaliopi Naska, (2000), *Këshilli Kombëtar 1920 (Parlamenti i parë shqiptar)*, Drejtoria e Përgjithshme e Arkivave, Tiranë, etj.

<sup>1</sup> From March 27, 1920, when this parliament was opened until May 27, 43 meetings were held (first session) and from 23 September to 15 November 1920, 27 meetings were held (second session).

<sup>2</sup> The "National Defense of Kosovo" Committee was formed in Shkodra in 1918, with President Hoxha Kadri Pristina. This committee was a political organization with democratic principles and the main body of patriotic movement of the Albanian people in Kosovo in particular and nationwide in general. Its main aims were to maintain the independence of the Albanian state, its democratization, the liberation of Kosovo and its unification with Albania. See more: Zamir Shtylla, (1986), *"Rreth krijimit dhe veprimtarisë së Komitetit Mbrojtja Kombëtare e Kosovës në vitet 1918-1920"*, Studime Historike, nr.3, Instituti i Historisë, Tiranë; Lush Culaj, (1997), *"Komiteti Mbrojtja Kombëtare e Kosovës 1918 – 1924"*, Instituti Albanologjik i Prishtinës, Prishtinë, etc.

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be delayed. The entire process lasted from the end of January 1921 to April, respectively until May, when they were completed in Shkodra (Peter Bartl, 1999, 241-243).

Due to the severe political situation on 14 November 1920, after the meeting of the Council of Ministers, the chairman of the government Sylejman Delvina demanded resignation, as a result of the constant pressure being made both from inside the government and by the National Council (Kaliopi Naska, 2000, 110) and by the High Council, institutions which repeatedly complained, because according to them the government acted without the prior approval of these bodies (Afrim Krasniqi, 2006, 48). Whereas, according to the scholars Puto and Fischer, Prime Minister Delvina had a continuous clash with Zogu, who held the post of interior ministries, but aimed at the post of the prime minister. Under these circumstances, the loss of influence of his government, Delvina resigned, thus becoming the first Albanian government to leave, not only in a peaceful but extremely democratic way, because it lost the support of a majority in the National Council. Moreover, Prime Minister Delvina himself stated: *"since we do not have a majority in the Parliament on which the government is based"* (Bisedimet e Këshillit Kombëtar, 1920, 175).

Thus, after the significant restriction of activity and the resignation of the government of Sulejman Delvina (Kaliopi Naska, 2000, 111-112), efforts were made by all for the election of a new, neutral government, and for the election of a unifying prime minister for all parties (Sejfi Vllamas, 2000, 232). Moreover, the National Council, in its 70th meeting, held talks on the impeachment of the government of Iljaz Vrioni, who was appointed on 19 November 1920, as Prime Minister by the State Council, and was a representative of the conservative power with the support of the influential beys, who were landowners. However, this government was temporary, a fact that Prime Minister Vrioni emphasized, when he said that *"his government would lead the Albanian state until a new government is created by the new parliament, which would be the result of new elections"* (Kaliopi Naska, 2000, 113). Moreover, the drafting of the bill on the new elections on 5 December 1920 and the decision to start the elections on December 21 are considered the main decisions of this government (Kaliopi Naska, 2000, 113). According to this law, elections would be held, not for the Constitutional Assembly, as required by the Lushnja Statute, but for deputies in the National Council. (Historia e Popullit Shqiptar III, 2007, 178). This was the reason why the state of internal affairs was worsening and led to the clash of the political forces (Arben Puto, 2009, 315).

The political life in Albania during 1920-1924 was developed thanks to the creation of the first Albanian political parties, which played an important role in the further political processes. Thus, after these elections, specifically on October 10<sup>th</sup> the "People's Party" was created from the "National Wing". This was the largest party, which brought together most famous personalities like Fan Nolin, who was also the first party leader (Nasho Jorgaqi, 2005; Estela Palnikaj & Dritan Palnikaj, 2016, 50), then Luigj Gurakuqi, Eshref Frashëri, Stavri Vinjaun (Afrim Krasniqi, 2006, 50), etc. The proponents of this party were basically liberal and Western-oriented. Its program consisted of 20 points. On 21 November 1920, the Progressive Party or the Democratic Party was formed. This was the party of the beys, which mainly represented the interests of Central Albania, where the landowners held the power. It was led by Shefqet Vërlaci, while it also included members of the Kosovo National Protection Committee such as Hoxha Kadri Prishtina, Hasan Prishtina and Bajram Curri. The "Progressive Party" program aimed at Albania's national unity, independence and development (Kaliopi Naska, 2000, 106).

The formation of the above-mentioned political parties, which were created during the election campaign, lacked political and organizational experience. The historian Bernd Fischer, describing the political culture in Albania, says that "the power of a leader did not depend on the number of votes but the number of rifles". The Albanian position and opposition were almost equal with the number of MPs, a fact that encouraged more struggle for power. Therefore, this was the reason why there was a permanent and fierce struggle between them, causing continual government crises, until the formation of a national coalition government in the fall of 1921 (Miranda Vickers, 2008). But it should be borne in mind that the political parties and also the Albanian parliament were born on an unknown terrain and in extremely difficult historical circumstances. If we add to this the lack of democratic experience, the idea of demanding full parliamentary democracy and free political competition is becoming more difficult in a country where it has not yet been liberated from tribal influences and where there were still no clear borders as a result of wars and long occupations (Afrim Krasniqi, 2006, 49).

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<sup>\*</sup> There are different opinions about the date of the founding of the People's Party. In the Historia e Popullit Shqiptar III..., it is said that the "People's Party" was formed on 10 October 1920. We find this date in Afrim Krasniqi, mentioned publication, p. 49. Researcher Miranda Vickers should be wrong when she writes that this party was founded on 24 April.

<sup>\*\*</sup> This political subject was also known as the Progressive Party. See more: Miranda Vickers, mentioned publication, p. 163. It is worth pointing out that the members of this political subject were named Conservatives.

<sup>†</sup> Hasan Prishtina and Bajram Curri were part of the People's or Democratic Party.

Along with the three above-mentioned parties, a series of progressive organizations were formed during this period, aimed at oppose the rule of Muslim landowners. Such were the Federation „Atdheu” (engl. Homeland) (Neil Shehu, 1977, 63; Historia e Popullit Shqiptar III, 2007, 202-204), then the society „Bashkimi” (engl. Union) (Statuti i Shoqnis “Bashkimi”, 1924; Muin Çami, 1974; Studime Historike”, No. 3, 41; Miranda Vickers, 2008, 155; Historia e Popullit Shqiptar III, 2007, 204), “Ora e Maleve” (engl. Mountain Time)”, “Krahu Kombëtar” (engl. National Wing) (Sejfi Vllamasi, 2000, 268-269), etc. The above mentioned organizations have played a significant role in the development of the political life in Albania in the years 1920-1924.

One of the most difficult times of political life, of the time frame of 1921-1924 is undoubtedly the end of 1921, known as the December crisis. To get out of this difficult situation, efforts were made by the Albanian political class to join together, because they saw the danger from neighboring countries. Thus, in October 1921, a broad political coalition was created between the position and the opposition, known as the “Holy Union”, which then resulted in the collapse of the government of Prime Minister Vrioni and the election of a new government, with Prime Minister Pandeli Evangjeli. His election was accompanied by disappointment and criticism, which led to the fall of this coalition government three weeks later. (Afrim Krasniqi, 2006, 61).

Thus, on 4 November, the High Council decided to dissolve the Parliament elected in April, due to the Mirdita Uprising<sup>1</sup>. While the Parliament once again rejected, but later admitted, Prime Minister Pandeli Evangjeli, under the pressure of the uprising, decided to establish two commands, one in the East under Ahmet Zogu's command and one in the West under the command of Bajram Curri. On the other hand, as a counter reaction, Aqif Pasha, demanded the resignation of the prime minister. The dismissal of Prime Minister Evangjel was signed on December 6, 1921 by Aqif Pasha Ebasani and Bishop Bumçi, who were members of the High Council. Although Evangjeli refused stating that he would resign when the Parliament was convened, under constant threats, he was forced to resign. (Albana Mema, 2014, 129). This act created a serious and extremely negative precedent in the process of the rule of law and democratic progress.

After the fall of Evangjeli, the mayor of Tirana, Qazim Koculi, was assigned, for the creation of the new government, who, seven hours later, fearing reactions throughout Albania, resigned. Koculin was replaced by Hasan Prishtina, whom the Supreme Council assigned to form the cabinet. Thus, on 7 December 1921, he formed the new government, which included personalities like Louis Gurakuqi Fan Noli, Bajram Curri, Hoxha Kadri Prishtina, Zija Dibra, Koco Tasi, Kristo Dako and Haki Tefiku, who held the posts of ministers (Skender Drini, 1984, 274; Xheladin Shala, 2014, 127). But on 12 December (Kujtim Nuro & Nezir Bata, 1982, 120), under the pressure of the citizens, mainly from the south and beys of middle east Albania, who were against the domination of the North, and after a great demonstration in Tirana, Prishtina was forced to resign.

The Government of Prishtina was replaced by Idhomeno Kosturi, whom the two members of the High Council, Aqif Pasha and Bishop Bumçi, charged with the formation of the government from office directors until the parliament meets to form a definitive government. However, neither the government cabinet, headed by Kosturi, could manage to stay long due to the lack of internal and external support. Under these circumstances, he was forced to resign, 12 days after the government's proposal, who was replaced by Xhafer Ypi (Sejfi Vllamasi, 2000, 264).

Xhafer Ypi's government was established two days after Zogu has entered Tirana, where he took command of the gendarmerie and called the National Council (Peter Bartl, 1999, 187; Liman Rushiti, 2016, 214).

In the Government of Xhafer Ypi (December 24, 1921-26, December 1922) (Sejfi Vllamasi, 2000, 267; Joseph Swire, 2005, 303), Zogu did not yet see the moment to seize power, however as interior minister he strengthened his position. In fact, this government which took the confidence of parliament, to avoid giving the impression the government monopolization by the popular party that was in power, three ministerial posts were given to the “independents” (Historia e Popullit Shqiptar

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<sup>1</sup> *Ora e Maleve*, was founded in Shkodra by a small group of Catholics led by Luigj Gurakuqi. It became the voice of the opposition and the defense of the interests of the northern and the catholic minority of Shkodra.

<sup>2</sup> After receiving promises of help from the Yugoslavs, Marka Gjoni returned to Mirdita, propagating against the Vrioni administration. While the Yugoslavs proclaimed from Prizren the so-called Mirdita Republic, he accused the Tirana Government of being a Muslim one, with a tendency of Young Turks that was planning to intervene in the religious freedom of the Mirdita who were Catholics. With this excuse, he was confident by the support of the Yugoslavs who provided funds, military preparations and armaments, and attacked the military troops. However, fortunately, this rebellion was short-lived, because his forces did not cross the figure of two thousand troops, many of whom were less Mirdita, as most were either Serbian or Albanian irregular troops. See more Peter Bartl. Mentioned publication, p. 186.

III, 2007, 183). To include all religious communities in Albania, Ypi's cabinet chose four representatives, one from each religious confession<sup>†</sup>

As a result of major opposition discontent began in Puka the anti-Zogu uprising of March 1922 (Hysen Selmani, 2008, 141-144), where Bajram Curri along with other Kosovar leaders led this uprising against Zogu, which spanned in only three prefectures: in the prefecture of Kosovo, in that of Dibra and Durrës. Within a short time, the insurgents managed to take Durrës, then marching to Tirana (Miranda Vickers, 2008, 170). When the insurgents approached Tirana, most of the government and the National Council, which on February 25, 1922 interrupted their work, and the High Council fled hastily to Elbasan, leaving the protection of the capital to Zogu and some of its supporters. (Miranda Vickers, 2008, 170). When the forces of Elez Isufi entered Tirana on 8 March 1922<sup>\*\*</sup>, and took over a part of the capital, Zogu gathered the notables of Tirana, and on the same day the Minister of Great Britain has arrived from Durres in Tirana, Mr. Hersy Eyres, who started the negotiations with both sides in the house of Ali Shefqet in Tirana. (Kastriot Dervishi, 2006, 161). It was also the intervention of Eyres, who upon Zogu's request, managed to convince the commander of the uprising, Elez Isufin to surrender (Joseph Swire, 2005, 313; Arben Puto, 2009, 325).

The opposition justified the uprising as an action motivated by the urgent need of the Constitutional Assembly, unlike the position, which stated that "to set the foundations of the political life of a country you cannot do the assembly under rifle under fist influence of several individuals" (Albana Mema, 2014, 142).

The same attitude with the position was also made by international organizations, who openly expressed their position for the convening of the Constitutional Assembly, but after the final determination of the borders.

Following the failure of the March 1922 movement, Xhafer Ypi's second government was formed, which consisted of the same ministers, with the exception of Pandeli Evangjelit, who was appointed Minister of Foreign Affairs instead of Fan Noli, who had resigned a week before Elez Isufi's forces entered Tirana (Sejfi Vllamasi, 2000, 278).

Although he had received the vote of confidence, in September Xhafer Ypi resigned as Foreign Minister, who was replaced by Pandeli Evangjeli, while on 2 December he also released the post of Prime Minister, who was replaced by Ahmet Zogu (Joseph Swire, 2005, 320).

The government of Zogu<sup>†</sup>, which was formed on 2 December 1922, retaliated against patriots and villagers who had been part of the uprising. Apart from the murder in Peshkopi of Ramiz Daci, who was the organizer of this uprising, another 70 people were killed, its chief executives sentenced to death in absentia, 300 others were detained, hundreds of officers degraded and burned hundreds of houses (Mediha Jasa, 1958, 23; Peter Bartl. 1999, 188). Whereas, Bajram Curri and Hasan Prishtina, after the failure, were forced to flee to the highlands of the prefecture of Kosovo (Kukes) and Shkodra (Sejfi Vllamasi, 2000, 272-279), who were constantly pursued by the government.

Political circumstances in Albania from March 1922 until the 1923 elections were severe, as the order ended, leaving the country to the most complex events as a result of campaign development by parties, leaders and groups, representing different interests and views (Sejfi Vllamasi, 2000, 333).

In the Albanian parliament, the question of the establishment of the monarchist or republican regime was treated very much. Both political groups were more concerned with preserving the existing situation, which means they were about holding the Supreme Council, but attempting to expand its powers (Historia e Popullit Shqiptar III, 2007, 214). We can say that the constitutional assembly elections preceded this division of the political spectrum that reflected in the lack of consensus about establishing a form of governance.

By the summer of 1923, the Albanian political scene is deepening furthermore, so that the differences grew more and more between the landowners and those without land, the northern and southern, the liberals and the conservatives, the Muslims and the Christians (Orthodox and Catholics) and so on. It should be noted that one of the main causes of dissatisfaction

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<sup>†</sup>Omer Vrioni (Bektashi Muslim), Sotir Peci (Orthodox), Ndoc Pistuli (Catholic), Refik Toptani (Sunni Muslim).

<sup>\*\*</sup> On 8 March 1922, a large rebel force, led by Cen Elez of Dibra, appeared in Fushë-Krujë, which then progressed to the outskirts of Tirana.

<sup>†</sup> In Zogu's cabinet, there were no major changes from the pre-cabinet. The Minister of Foreign Affairs became Pandeli Evangjeli, while the post of Minister of Internal Affairs was kept by Zogu himself, which was later taken by Sejfi Vllamasi.

among Christians and Muslims was the unequal treatment of Christians by the Muslim majority (Miranda Vickers, 2008, 173).

While parliament, after finishing the budget vote, ceased its activity on 18 June 1923, the parliament's dissolution sparked hope among the Albanian opposition to overthrow the government. The outcome of the elections, which precisely reflected the political climate in Albania, also highlighted regional divisions, because opposition forces mainly won in the south and north of the country. The opposition did not accept the election results, and even she was convinced that the indirect vote had won, because in the second round the results had that end because the government used scams, strength, and all they could to prevent the victory of the wing of Noli (Robert C. Austin, 2011, 97-98). These elections complicated even more the political situation with the fact that with their results the allocation of seats in parliament did not give a clear majority, while the government won only 40 of the 95 seats in the Constitutional Assembly. This led Zogu's cabinet to resign after two weeks to be replaced by Shefqet Vërlaci. Zogu further continued his great influence on the government, since neither Vërlaci was acceptable to the opposition.

### **Causes of internal chaos in Albania on the eve of the June Uprising**

The parliamentary elections that took place in November/December 1923, which ended on December 27, brought the victory of the political groups that supported Zogu and the policy he was pursuing. On the other hand, the opposition openly rejected the election results, so the country's political situation deteriorated more and more, as a result of the narrow gap between the two sides' votes. Thus, the newly elected Assembly came together on 21 January 1924, at whose head Petro Goga was elected. She made an attempt to pass on important issues, as the final decision on the form of government, the allocation of capital<sup>1</sup> and finally passed in the elections for the new parliament. However, these issues were not chosen, because the opposition was not interested in pushing these processes forward (Robert C. Austin, 2011, 100-101). This situation is due to the confrontation between the deputies, some of whom were liberal, while others were conservative (Emine Arifi-Bakalli, 2015, 306). The contradictions between them depend so far, that they were leading the country to anarchy.

It must be said that in early 1924, Albania experienced a deep political and economic crisis. The famine that engulfed the north of the country (economic aspect) and the repetition of the demand by the Serbo-Croat-Slovene Kingdom for St. Naum and Vermosh (political aspect), affected the disturbance of the Albanian public and the holding of many protest rallies (Emine Arifi-Bakalli, 2015, 307).

The assassination attempt against Zogu on 24 February 1924<sup>2</sup> (Historia e Popullit Shqiptar III, 2007, 218) was a signal, that further thwarted the deep political crisis that ruled in Albania. The next day, a group of about 29 opposition members, lead by Fan Noli, Sylejman Delvina, Luigj Curakuqi, Avni Rrustemi and others, addressed a statement to the High Council, which stated that: "The continuation of the government in power, would mean the total destruction and internal and external confusion, that could be fatal for life of our Fatherland." Furthermore, this document proposed the formation of a government, in which, after the fall of the ministers, a government cabinet and a prime minister should be elected, who would enjoy the trust of all political groups (Emine Arifi-Bakalli, 2015, 307).

Zogu resigned on the same day from his position as prime minister, working against the opposition from an unofficial position, because he asked the regency to appoint Shefqet Vërlaci to form the new government Zogu resigned on the same day from his position as prime minister, working against the opposition from an unofficial position, because he asked the regency to appoint Shefqet Vërlaci to form the new government (Joseph Swire, 2005, 336). The cabinet of the government led by Vërlaci, who took office on March 3<sup>rd</sup>, sparked even more resistance to the opposition, which they as an ally of Zogu and who only represented the interests of the landowners (Robert C. Austin, 2011, 105).

For this reason, about 30 members of the opposition, denounced the cabinet of Vërlaci as Zogu's gadget, whereas the member of Vatra, Faik Konica resigned from his position in parliament. From March 1924 on, the government had three strong opponents: progressive forces lead by Noli, the Kosovo Committee and the Albanian Army (Robert C. Austin, 2011, 105-107).

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<sup>1</sup> For the setting of the capital, there have had clashes mainly between the organizations *Ora e Maleve*, which in her program had the appointment of Shkodra for the capital, and the newspaper *Politika e Vlorës*, which was to make Vlora the capital.

<sup>2</sup> The assassination of Zogu took place on 23 February 1924 by 17-year-old Beqir Volteri, on the stairs of the Albanian Parliament.

<sup>3</sup> According to researcher Joseph Swire, Vërlaci's government took office by gaining a strong vote of confidence on March the 5<sup>th</sup>.

Under these circumstances, the hope for cooperation between the position and opposition faded even more, while the economic and social situation in Albania worsened day by day. The events that preceded the June Uprising, are without a doubt the killing of two American tourists, G.B. de Long and R.L. Coleman, on 6 April 1924, who were travelling from Tirana to Shkodra (Peter Bartl, 1999, 190). Their killing supported the accusation of the opposition and the government that further affected the heavy political climate in the country. But the assassination that made the biggest rage in Albania, resulting in accusations and counter-claims between the opposition and position, was without any doubt the deadly wounding of Avni Rrustemi on 20 April 1924, one of the protagonists of the opposition and the representing member of the organization "Bashkimi". The event was politicized and used by the Albanian opposition, accusing Zogu, for being involved in this assassination. However, the assassination of the parliament member Avni Rrustemi<sup>1</sup>, was a clear political crime, that had not only an influence on the cutting of bridges of communication between the government and the opposition, but was also the starting point of the spring events of 1924, an event that led to the uprising of June (Arben Puto, 2009, 348). The river of anti-governmental accusations didn't have an ending in sight before, during and after the burial of Avni Rrustemi (Historia e Popullit Shqiptar III, 2007, 222). Thus, on 30 April, 26 parliament members of the Democratic Party held a meeting in the Municipality of Vlora, where they demanded that the Constitutional Assembly should convene in Vlora and not in Tirana. At the same time, 49 parliamentary members continued their work in Tirana. On the other hand, the opposition from Vlora demanded the resignation of the Vërlaci government, because as expressed by the government, it was impossible to guarantee the lives of the Albanian citizens and that of foreigners. They also accused the government for the country's miserable economic situation etc. (Miranda Vickers, 2008, 177).

Whereas, on 28 April Noli denounced the government as "anti-nationalist", and that the people could expect nothing from the government or the Assembly. The oppositional newspaper Politika, wrote during this period: "*Zogu was working against the national interests, because he was a Serbian tool and he, like Esad Pasha, was determined to make Albania a Serbian province*" (Politika, 3 maj 1924).

On 30 May<sup>2</sup> the cabinet of Vërlaci resigned, to be replaced with that of Ilias Vrioni, who became prime minister and foreign minister. After the high officials of Vrioni administration fled to Italy, the military units joined the opposition. On the other side, in Vlora was created the Temporary Administrative Commission (Historia e Popullit Shqiptar III, 2007, 224), that was a kind of government, but resigned on 15 June, as a result of financial collapse and other factors. Also, the foreign diplomats who were accredited in Tirana, representing the interests of the countries they came from, didn't stay out of these developments. It's important to mention the representatives of the powers, that had political and economic interests in Albania, who incited the governmental forces for resistance. The most engaged in this direction was the representative of Great Britain, H. Aires.

### **The democratic government of Noli**

The government of Noli, which was created on 16 June 1924 (Miranda Vickers, 2008, 178; Joseph Swire, 2005, 343) consisted of the most famous political personalities of the time, who had a progressive orientation and claimed the democratization of Albania (Emine Arifi-Bakalli, 1982, 239; Robert C. Austin, 2011, 135). Without a doubt, the main problem that conveyed Noli continuously was his legitimacy as prime minister<sup>3</sup>. However, he announced three days after the formation of his government cabinet, on 19 June, a 20-point reform program (AQSH, F. Fan Noli F.14, D.89). The government of Noli had an extremely difficult beginning, because of the fact that they came to power through uprising and because Zogu's preliminary governments had robbed the public finances, had rooted corruption and as a result budget deficit were created. Other problems that followed this government was also the ruling class, which continued to be powerful, then the neighboring states that showed great reservations and without a doubt the lack of support of the Great Powers, that became the main problem and had consequently a fatal outcome for the Noli government and its durability (Robert C. Austin, 2011, 131).

Since the international recognition was very important, he left Albania for two months (September and October), went to Geneva, a visit that did cause him much internal problems, because his government created many factions, who saw their narrow interests. Such were the Union, the National Democrats, the Radical Democratic Party and others (Robert C. Austin,

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<sup>1</sup> Vërlaci's government resigned according to researcher Peter Bartl on 27 May 1924, according to Joseph Swire, 1 June, and according to Edward Jacques, this government left on 15 February.

<sup>2</sup> "It was in violation of the Lushnja Statute. Noli stated that the Regulatory Council had authorized him to form a new government, but he did not legitimize it because in Albania there was only one member of this council (Sotir Peci), and under Article 49, this council could not function, without being at least three of its four members.

2011, 162-165). Thus, the struggle between these parties grew increasingly harder. As a result, Albania was divided into areas of influence, where each minister had his influence in a specific prefecture\* (Sejfi Vllamasi, 2000, 375). The army began also to show her dissatisfaction, due to the cutback in the budget, and because of the fear that the Noli government will not be able to defend the country's independence (Robert C. Austin, 2011, 165). When Noli returned to Albania, forced by the disfavoring circumstances that were created in his absence, makes a very important decision. Thus, on November 13, he accepted to hold new elections that should be held from 20 December 1924 until 20 January 1925 (Robert C. Austin, 2011, 167).

Noli legally couldn't postpone the elections any further, because the function on the High Council ended on November 23, and the election of the new High Council had to be done by the parliament, therefore Noli was forced to sign the decree for the new parliamentary elections (Emine Arifi-Bakalli, 1982, 251).

Noli's government has lost its authority among the people, and the people have lost their confidence that it could bring out the country from the general crisis. There are at least three external and internal factors that accelerated the collapse of Noli's government: 1. Lack of unity within the Albanian opposition<sup>1</sup>; 2. The international non-recognition of his government and 3. The lack of government legalization by the Assembly or through elections. But, as researcher Robert C. Austin says, is *"the failure to provide outside support, a poorly equipped army and a relatively uninterested population forced Noli to leave Tirana on December 23"* (Robert C. Austin, 2011, 321). While Sejfi Vllamasi, in the reasons of his fall, mentions also Noli's agreement with the Soviet ambassador in Rome, for diplomatic relations between the two governments, Noli's speech at the League of Nations in November 1924 and the kerosene that was not given in time or in the time of this government, to the British Society.

After six months of Noli's government, Zogu returned to Albania (24 December 1924), who was in Belgrade at that time. There were many reasons that favored Zogu's return, such as the support of the Great Powers like Great Britain and Italy (Esilda Luku, 2015, 158-176) and neighboring states like Yugoslavia, which helped more than anyone, and Greece. Upon returning to Tirana, Zogu immediately assumed supreme power as dictator and commander-in-chief while the country remained in state of emergency. On the other hand, Noli, his government and about 350 people, moved to Vlora, from where they left for Italy and Greece.

## Conclusion

The political circumstances in Albania in the period of 1920-1924 are extremely complex because it is the most dynamic period of events that have played a decisive role not only in political and economic processes. Thus, among the most significant events that took place in Albania in the above mentioned period were unquestionably those of an interior character such as the Congress of Lushnja and the Vlora War (1920), the parliamentary elections (1921-1923), the June Uprising (1924), while external ones are undeniably the recognition of Albania and its borders at the London Conference (9 December 1921) and its membership to the League of Nations (1921). All of these events were undoubtedly accompanied by a series of controversies within the Albanian leadership, a fact that has produced destabilization and stagnation.

In this period, Albania was not only not united in the political aspect, but also lacked most of the preliminary conditions that testify to the state unity of the country, such as the high degree of centralization, religious and linguistic unity, and so on. Meanwhile, the fierce political struggle developed in the 1920-1922 period between the highest state institutions (the government, the National Parliament, and the High Council), as well as outside them, damaging the country's normal political development, but failed to stop efforts for its stabilization. But if we highlight also its problems with its neighbors (Yugoslavia and Greece), emerge the difficulties faced in the above-mentioned years. It is worth mentioning that from January 1920 to December 1924 in Albania 13 governments have changed.

<sup>1</sup> In the prefecture of Korça, (Noli), of Gjirokastra (Koço Tasi and Stavro Vinjau), of Vlora and Berat (Qazim Koculit), of Central Albania (Mustafa Kruja), of Kosovo, with the center in Kukës (Bajram Curri) and in the prefecture of Shkodra (Luigi Gurakuqi).

<sup>2</sup> We think that the Albanian opposition was united because of Zogu and his view of the Islamic religion, temporarily eliminating the profound differences they had and will continue to have. So, the combined dissatisfaction of the Albanian Catholic and Orthodox population, made them unite, while never agreeing in advance for a unified program.

But despite the political chaos, as a result of the frequent change of governments and problems with neighbors, this period also marked the peak of the Albanian political life. This arose because political parties appeared, programs were announced, newspapers were published, and above all, a previously unheard political debate took place.

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## The Effects of Mentoring Functions on Career Adaptabilities and Career Self-Efficacy: the Role of Career Optimism

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### Abstract

This study aims to investigate the effects of mentoring functions on undergraduate student's career adaptabilities and career self-efficacy levels and the mediating role of career optimism. It is suggested in the literature that some factors stimulate student's career adaptability levels. Therefore, mentoring functions, career optimism and career self-efficacy are considered as predictors of career adaptabilities within the scope of the study. Accordingly, data which are collected by the survey method from 311 undergraduate students having an education on different field such as business administration, international trade and logistics, public management and labor economics are analyzed by using the structural equation modeling. The results of the study indicate that mentoring functions, which is labeled as role modeling, have significant effects on student's career adaptability, career optimism and career self-efficacy levels. However, it has been observed that career optimism has a significant effect on career self-efficacy and career adaptabilities. On the other hand, it is seen that career optimism has a fully mediating role between the role modeling and career adaptabilities. In addition, career optimism has a fully mediating role between role modeling and career self-efficacy.

**Keywords:** Mentoring Functions, Career Adaptabilities, Career Self-Efficacy, Career Optimism

### 1. Introduction

Since the rapid changings and continuous innovations in both technological and economical areas, universities are considered as main components, which play a crucial role in the education of human capital from the point of cultural, social, political and economic perspective. However, academic members, who were assigned for various fields, are seen as one of the vital aspects of universities, due to the play an important role for guidance and growth of society and young adults (Parsa et al., 2016: 295). These are examined as one of the pioneer and significant components for young adults to cope with the twenty-first century's conditions (Dibia and Obi, 2013: 121). While, the academic members have significant responsibilities in formal learning process for the students, it is expected that they play a part in mentoring, coaching, networking, and self-directed learning phases (Knippelmeyer and Torracco, 2007: 1). In other words, universities can support their students' social and vocational development, foster their sense of belonging and shape their futures through one way which is called mentoring (Liua and McGrath-Champ, 2014: 4). In universities, career and professional advancement of young adults are based on mutual recognition and fulfillment of needs, such as professional development, including mentoring which aims to provide challenging assignments, protect them from adverse forces, and help to possess a positive vision (Parsa et al., 2016: 295-296). As the students' success measured by a number of variables like graduation rate, course completion and retention, advising and mentoring are regarded key components of a successful university experience. Because mentoring refers to assisting of students to prepare them for a better career and providing them with social networks and helping them to increase their self-esteem and confidence levels. Essentially, mentoring process maintains a major role in supporting the students' success in many ways (Fedynich and Bain, 2011: 2-5). On the other hand, mentoring relations comprise teaching, assisting, and acting as a role model, providing time, energy and material support to facilitate inspiration of less experienced individuals (Anafarta and Apaydin, 2016: 22).

Due to the mentor can offer a young adult personal support, encouragement, friendship and give an advice for the future career and also share their life experiences, they are considered as the most influential person in students' life. In this context, it is possible to express that mentoring relations bring some positive outcomes such as getting higher degrees, increasing self-esteem and self-efficacy levels, having good communication skills, planning future career and career transitions (Foster and MacLeod, 2004: 442-443). In addition, it can be said that mentoring functions lead students' career competencies, career self-efficacy and career optimism levels increasing, and help them to gain success in career related activities such as career development and career adaptabilities. Therefore, mentoring functions are examined as significant factors that will shape the students' future careers more effectively and facilitate the planning and exploring activities. Accordingly, this study aims to investigate the effects of mentoring functions on students' career self-efficacy and career adaptability levels and the mediating role of career optimism. In the literature, it seen that researches related to mentoring were conducted at organizational fields, rather than education. Moreover, there is not any research existing in literature that examines the relationships among mentoring functions, career self-efficacy, career adaptabilities and career optimism on undergraduate students. Thus, this study aims to investigate the beneficial effects of mentoring functions on career-related components so it attempts to contribute to the literature.

## **2. The Theoretical Framework and Research Hypotheses**

### **2.1. Mentoring Functions**

Mentoring is considered as one of the most significant career management techniques which support individual's career developments in conjunction with other mechanisms. Among the other mechanisms, mentoring is recognized as the most effective technique that helps particularly young adults to discover their strengths and weakness and adapt to changing conditions and to facilitate the process of identifying their abilities (Alayoğlu, 2012: 135). Along with the career developing role of mentoring, it also reduces deviant behaviors, promotes self-identity and self-image, and increases academic achievement and school success. Due to its significant role in different areas such as education, community and business, there is a definitional and conceptual confusion on "what mentoring is". However, the study about the role of mentoring on adults' development is traced back to the Levinson and colleagues research. According to this research, mentor is described as a guide, teacher, counselor and developer of skills who "facilitates the realization of the dreams" and "the vision that one wants as an adult" (Eby et al., 2010: 7-8). Generally, mentoring is described "as the relationship between older or more experienced mentor and a less experienced protégé or young person who aims of helping and developing younger individuals' careers (Ragins and Kram, 2007: 5). Mentoring is also characterized as a relationship, where the experienced individual aims to serve as a role model, to provide support and direction to the younger protégé. In addition, mentoring purpose is to provide feedback to the protégés related with the career plans and individual development and to help them to gain success in both social and business life. According to Kram (1985) mentoring relationships provide two different categories of mentoring functions labeled as career related mentoring functions and psychosocial mentoring functions (Day and Allen, 2004: 2).

Career-related mentoring functions refer to help the protégés career advancement and foster the enhancement of their sense of competence. These relationships involve coaching, protection, sponsorship, visibility and provision. For example, mentor as coach's share their ideas, provide feedback and give suggestions to gain success. In addition, they have to eliminate risky conditions which might threat young adult's reputation and nominate lateral moves and promotions and also mentors have to provide challenging assignments which help increasing protégés' visibility (Park et al., 2016: 1176). On the other hand, psychological mentoring functions represent the interpersonal aspect of these relationships which includes role modeling, counseling, friendship and acceptance. In other words, mentors aim to increase protégés' sense of competence, identity, and effectiveness in their social and professional lives (Allen et al., 2004:128). Psychological mentoring functions intend to maintain closeness and trust in mutual relationships and include positive behaviors which lead to enhance the protégés self-esteem, self-efficacy and personal growth levels (Ragins and Kram, 2007: 5). Apart from the career-related and psychological mentoring functions, it is suggested by Scandura (1992) that there is a third category of mentoring function called role-modeling. Role modeling includes illustrative behaviors, who have high standards, well-trusted and respected in their work and social life that ensure to shape protégés future in a positive way (Arora and Rangnekar, 2014: 209). However, role-modeling mentoring functions based on the traditional mentoring due to its characteristics, such as mentors aims to represent exemplary behaviors, skills and attitudes towards to the protégés, by this way it is expected that young adults thoughts, attitudes and behaviors change favorably (Chen, 2013: 201). Therefore, it can be said that the main role of all mentoring functions is to increase the protégés effectiveness and to encourage and strengthen them. In general, mentoring functions intend to help improving performance and career development and to

share knowledge, experiences, and opinions. In this framework, it is possible to express that mentor, who may also be referred to as coach, teacher, advisor, counselor, aims to indoctrinate inexperienced young individuals under their protection and also tend to prepare them for life and the future either voluntarily or by assignment of some duties (Alayoğlu, 2012: 138-139).

## **2.2. Career Self-Efficacy, Career Optimism and Career Adaptabilities**

Career self-efficacy refers to the individuals' expectation and conviction to their abilities in relation to the wide range of behaviors involved in career choice, career development and adjustment. In general, there are two lines of inquiry under career self-efficacy; one of them represents having a successful career in a certain area and the other aims to investigate different occupational domains (Zeldin, 2000: 22). However, career self-efficacy is considered as the belief of individuals which leads them to avoidance of or motivates them toward career-related behaviors. It plays a crucial role in determining the behavior of young adults in different complicated situations when planning their careers. For example, high career self-efficacy in complex situations helps young adults to overcome feelings of doubt, anxiety and unpleasant events and facilitate solution of conflicts with much greater ease. Individuals with high career self-efficacy have high career ambitions which lead to set higher career goals and objectives (Kanten et al., 2016: 847). In addition, higher career self-efficacy reveals individuals self-confidence to the completion of career-related tasks efficiently, which leads to positive outcomes such as career success, career satisfaction and career exploration. On the other hand, individuals with low career self-efficacy cannot make effective career-related decisions and limit career options in their surroundings due to the lack of their abilities (Makki et al., 2015: 428). Therefore, it is possible to express that career self-efficacy is considered as an important component that ensures young adults to make the right choices related to their careers, facilitates their adaptation to the changing, complicated and dynamic conditions and leads to increasing of their willingness to participate in career related activities.

Due to the today's turbulent career landscape, it is seen that career self-management comes more important than ever before. In other words, technological advancements, job restructuring, and an increasingly globalized workforce careers have become less structured and predictable and required individuals to be flexible and adaptable. However, individuals needed to have some career competencies such as technical and conceptual skills which are essential for successful performance of one's chosen career. These competencies are considered as transferable and non-intellective capabilities like self-efficacy, conscientiousness, resilience and optimism which foster individuals to persevere against uncertainty and complexity (Garcia et al., 2015: 10). Career optimism characterized as the tendency for individuals to expect the best possible outcomes or to emphasize the most positive viewpoints of one's career in future. Career optimism refers to the generalized expectations that good things will happen related to one's career in the future. It is assumed that these expectations may affect goal-setting behaviors of individuals such as those lead to achieve career outcomes. In addition, it is asserted that career optimism has potential benefits making right career choices and establishing favorable career plans (Rottinghaus et al., 2005: 5-11). For example, it is expected that optimistic individuals more likely to make efforts to accomplish their career goals than pessimistic ones. In particular, students who have career optimism tend to meet with a counselors, advisors or mentors to receive a help related to their career goals and plans. Moreover, optimistic individuals try to use alternative ways and methods to gain success, can easily change their career plans and goals or modify their career-related behaviors according to changing conditions (Rottinghaus, 2004: 23-24). In this context, it can be inferred that career optimism provides individuals to have positive emotions, hope, resilience, and self-efficacy which facilitate to get success in career-related activities.

Nowadays, it is seen that individuals' career patterns are becoming more boundaryless and non-linear, which requires self-regulatory resources solving problems and improving person-environment fit during the career development process (Cai et al., 2015: 85). Career adaptabilities are considered as one of the resources that are placed in the hearth of young adults' career development and are defined as the abilities to adjust individuals to fit in new and changed situations while career planning or making decisions about the future (Barto et al., 2015: 55). Career adaptabilities are characterized as a "psychological construct that represents individual resources for coping with the existing and anticipated tasks, transitions and traumas in the occupational roles. In other words, it composes of self-regulatory, transactional and malleable competencies that provide individuals to solve unknown, complex, multi-dimensional and ill-defined problems along with their careers (Rudolph et al., 2017: 17). However, it refers to the attitudes, beliefs and competencies examined as four dimensions such as concern, control, confidence and curiosity. While concern indicates a tendency to participate in career-related activities and future time orientation, control represents self-discipline and willingness and to take responsibility with one's career. In addition, curiosity shows the individuals' openness to the new experiences and dispositions to the self and

environmental explorations related with career opportunities, whereas confidence refers to the belief of individuals to cope with the challenges in career development process. In the literature, it is seen studies suggested that career adaptabilities dimensions are significantly related to the variety of vocational outcomes (Taber and Blankemeyer, 2015: 21). For example Zacher (2014; 2015) asserted that career adaptability and its dimensions positively related with crucial outcomes such as job and career satisfaction, job search success, job and self-reported career performance, graduates employment quality and job seeker's re-employment quality. However, Karavdic and Baumann (2014) indicated that career adaptabilities positively related with individual's life satisfaction, hope and happiness.

According to the current studies, it can be inferred that career adaptabilities lead individuals to be more capable of seeking job opportunities and finding jobs, ensure them to be successful in transitional period between school to work or career life span, securing high quality employment. In addition, these adaptabilities make adjustment to the new working conditions, career-related changings, and person-environment integration easier (Tolentino et al., 2014: 40). Therefore, it is possible to express that career adaptability is considered as a main component of successful career preparation through helping young adults to formulate their career plans and career goals related to the individual characteristics and preferences. Because, rapidly changing global conditions and life-span career approaches need individuals to have career adaptabilities which facilitate them to meet requirement of career development process and employment demands (Tuna et al., 2014: 143) By the reason of career transitions and new career approaches such as boundaryless career, protean career, dual ladder career path, flexible career, dual career and etc. young adults need to have some skills which foster them to adapt to the new career development process, new work roles, and quick job transitions. Thus, career adaptabilities regarded as a key component throughout a young adults' career choices, career exploration and career-related behaviors in today's working conditions. Due to its importance, it is seen that researchers focus on individual, environmental or contextual predictors which may trigger career adaptability levels of young adults.

### 3. Research Hypotheses

Mentoring in undergraduate and graduate education field is considered as a key element of young adults' vocational and professional development process. In other words, as faculty and vocational school members are regarded as an essential mechanism for indoctrinating students into the vocational and professional field, and they serve as role models which provide students a realistic view about their chosen profession. Moreover, it is expected that mentoring relationship may have profound effects on students' professional identity, career plans and career success (Eby et al., 2010: 16). Since mentoring is recognized as an important and a powerful tool of career management as it has some advantages such as development of students' skills, facilitate their access to reach organizational resources, increasing of career satisfaction and clarifying of goals for the young adults. In the literature, it is seen many empirical studies suggest that mentoring relationships result in some positive career outcomes such as more promotions, more mobility, higher income, career satisfaction, career commitment (Allen et al., 2006: 277; Seema and Sujatha, 2015: 35). For example, Schunk and Mullen (2013) indicated that mentoring behaviors including coaching, counseling, providing feedback or role-modeling can lead to positive protégé outcomes like learning, goal setting, career development and can also induce some favorable psychological outcomes such as motivation, satisfaction, and sense of identity. In addition, Jyoti and Sharma (2017) found that mentoring relationships have positive effects on individual's self-efficacy and personal learning levels, relationship quality, communication satisfaction and job performance. From the positive career outcomes perspective, Day and Allen (2003) suggested that mentoring relationships increase individuals' career self-efficacy and career motivation levels. Anafarta and Apaydın (2016) emphasized that mentoring relationships have an impact on faculty members' career satisfaction and career success levels. However, Jyoti and Sharma (2015) suggested that mentoring functions positively influence career development process of individuals which involves assessing the current position and taking steps to reach the future position. On the other hand, Parsa et al., (2016) found that mentoring relationships also have positive impacts on individual's career advancement levels and Scott (2010) revealed that mentoring functions have significant effects on career exploration. In consideration of these research results, it can be inferred that mentoring functions have profound effects on favorable career outcomes of young adults such as career success, career satisfaction, career motivation, career advancement, career exploration, career development, career self-efficacy. Therefore, it is expected that one of the dimensions of mentoring functions which is labeled as role-modeling has influence on students' career adaptability; career self-efficacy and career optimism levels and the following hypotheses are proposed:

H<sub>1</sub>: Role modeling mentoring significantly influences career adaptability levels of students.

H<sub>2</sub>: Role modeling mentoring significantly influences career self-efficacy levels of students.

H<sub>3</sub>: Role modeling mentoring significantly influences career optimism levels of students.

Due to the importance of personal characteristics and career adaptabilities in individuals' career development, it is seen that researchers focus on the antecedents of this concept. For example, it has been found that both self-esteem and proactive personality are considered as significant precursors of individuals' career adaptability levels (Cai et al., 2015: 87). However, van Vianen et al., (2012) and Rossier et al., (2012) asserted that big five personality traits have significant effects on individual's career adaptabilities. In addition, it is indicated that career optimism positively related to individual's career adaptabilities. Career optimism provides individuals to overcome career obstacles, to perform career plans effectively and helps them to enhance their career insight. Moreover, individuals who have career optimism tend to manage changing and uncertain conditions favorable because they are flexible, stable and ready for using adaptive coping strategies. Based on these reasons, it is expected that career optimism positively related to career self-efficacy and career adaptability levels of individuals (Tolentino et al., 2014: 42). Bandura's social cognitive career theory (SCCT) suggests that individuals' self-efficacy beliefs may influence their career choices, performance and success in career related activities and behaviors. As career self-efficacy resources help individuals to adjust themselves to the changing conditions and foster them to respond quickly to the career development situations (Ebenehi et al., 2016: 217). In other words, it can be inferred that career optimism and career self-efficacy also has positive relations with favorable career attitudes, career exploration and career decidedness, so it is examined as a significant motivational factor that influence various career behaviors (Creed et al., 2007: 378). Therefore, it is expected that career optimism has influence on students' career self-efficacy and career adaptability levels and it has a mediator role, so the following hypotheses are proposed:

H<sub>4</sub>: Career optimism significantly influences career self-efficacy levels of students.

H<sub>5</sub>: Career optimism significantly influences career adaptability levels of students.

H<sub>6</sub>: Career optimism has a mediating role on the relationship between role modeling mentoring and career self-efficacy levels of students.

H<sub>7</sub>: Career optimism has a mediating role on the relationship between role modeling mentoring and career adaptability levels of students.

In literature, it is seen that besides the personal antecedents, researchers try to reveal out the environmental or contextual precursors of career adaptabilities. For example Creed et al., (2009) and Yousefi et al., (2011) indicated that social support, which refers to the family and friends have significant effect on career adaptability levels of individuals. However, Kanten (2012) asserted that career adaptability levels of student's differ based on their gender, willingness to choice of graduate program and the planning to work in the graduated field or not and the social environment. Coetzee and Harry (2015) suggested that gender and hardiness are significant predictors of career adaptabilities. In addition, Kadir and Deniz (2016) found out career adaptability levels of student's differ based on whether young adults made their departmental choice consciously and they have previous education or training. In this context, it is expected that according to the some demographical variables student's career self-efficacy, career optimism and career adaptability levels may differ or not. Thus, the following hypotheses are proposed

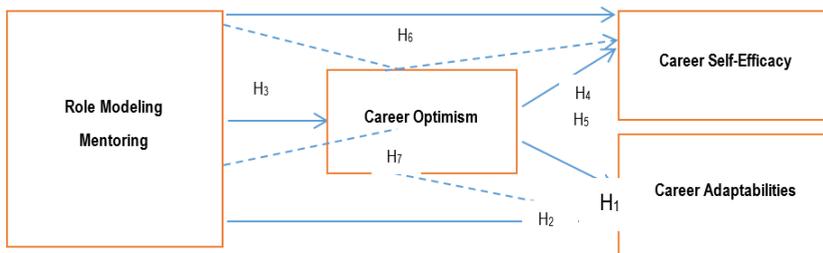
H<sub>8</sub>: Career optimism levels of students differ depending on their gender.

H<sub>9</sub>: Career adaptability levels of students differ depending on their gender.

H<sub>10</sub>: Career adaptability levels of students differ depending on whether they have planning to work in the graduated field or not.

H<sub>11</sub>: Career self-efficacy levels of students differ depending on their social environment.

**Figure 1. Research Model**



## **4. Research Method**

### **4.1. Sample and Procedures**

The sample of the research was composed of two faculties and two high schools from the University of Canakkale Onsekiz Mart in Turkey. The participants of the study consist of 311 students who have being education as a second class and above students that were determined via convenient sampling method. From the 500 questionnaires that have been sent out, 360 have been returned, representing a response rate of 72%. After elimination of cases having incomplete data and outliers 311 questionnaire (62%) have been accepted as valid and included in the evaluations. However, questionnaire survey method is used for data collection in this study. Questionnaire form contains four different measures related to research variables.

### **4.2. Measures**

Measures used in the questionnaire forms have been adapted from the previous studies in the literature. All measures have been adapted to Turkish by the lecturers and pilot study has been conducted for the validity of these measures. Before the distribution of the survey to the actual sample, a pilot study was conducted in order to determine whether the questions had been understood properly and to check the reliability of the scales. As a result of the pilot study, some corrections have been conducted in the questionnaire forms. A Likert-type metric, that is, expressions with five intervals has been used for answers to the statements of survey. Anchored such; "1- strongly disagree, 2- disagree, 3- agree or not agree, 4- agree, 5- strongly agree". However, 8 demographic questions were asked in the questionnaire form. Firstly, all scales were subjected to the exploratory factor analyses to check the dimensions, and then confirmatory factor analyses were applied to all scales.

#### **Mentoring Functions Scale**

Students' perception of mentoring functions from their mentors measured with 15 items which was taken from Park et al., (2016) studies. Exploratory factor analysis using principal component analysis with varimax rotation was applied to the adapted scale to check the dimensions. As a result of the exploratory factor analysis data related to the mentoring functions variables, one item were removed from the analysis due to the factor loadings under 0.50 and three factor solutions; (career support, psychological support and role modeling) were obtained per theoretical structure. Factor loadings of the items ranged from .54 to .86.

#### **Career Optimism**

Students career optimism attitudes measured with 9 items which was taken from Rottinghaus (2004) study. Exploratory factor analysis using principal component analysis with varimax rotation was applied to the adapted scale to check the dimensions. As a result of the varimax rotation of the data related to the career optimism variables, three items were removed from the analysis due to the factor loadings under 0.50 and one factor solution was obtained per theoretical structure. Factor loadings of the items ranged from .60 to .80.

#### **Career Self-Efficacy Scale**

Students career self-efficacy levels were measured with 11 items which was taken from Kossek et al., (1998) studies. As a result of the exploratory factor analysis of the data related to the career self-efficacy variables, five items were removed from the analysis due to the factor loadings under 0.50 and one factor solution obtained per theoretical structure. Factor loadings of the item ranged from .66 to .85.

#### **Career Adaptabilities Scale**

Students career adaptabilities levels were measured with 24 items which was taken from Kanten (2012) study. As a result of the exploratory factor analysis of the data related to the career adaptabilities variables, six items were removed from the analysis due to the factor loadings under 0.50 and four factor solution; (concern, control, curiosity and confidence) were obtained per theoretical structure. Factor loadings of the item ranged from .57 to .84.

**Table 1: Results of Exploratory and Reliability Analyses**

Career Adaptabilities (18 items) KMO: .900 Variance: 67%	Cron. Alpha	Mentoring Functions (14 items) KMO: .932 Variance: 73%	Cron. Alpha	Career Optimism (6 items) KMO: .795 Variance: 53%	Cron. Alpha	Career Self-Efficacy (6 items) KMO: .858 Variance: 59%	Cron. Alpha
1. Factor: Concern	.779	1. Factor: Career Support	.934	1. Factor: Career Optimism	.821	1. Factor: Career Self-Efficacy	.863
2. Factor: Control	.863	2. Factor: Psychological Support	.871				
3. Factor: Curiosity	.773	3. Factor: Role Modelling	.837				
4. Factor: Confidence	.879						

After the exploratory factor analysis, the confirmatory factor analysis have been conducted by Lisrel 8.8 for all scales. Goodness of fit indexes is presented in Table 2. It can be seen that all of the fit indexes fall within the acceptable ranges (Schermelleh-Engel et al., 2003: 52; Meydan and Şeşen, 2011: 35).

**Table 2. Goodness of fit indexes of the scales**

D Variables	$\chi^2$	df	$\chi^2/df$	GFI	AGFI	CFI	NFI	NNFI	RMSEA
	≤ 5	≥ .85	≥ .80	≥ .90	≥ .90	≥ .90	≥ .90	≤ 0.08	
Mentoring Functions	191.84	72	2.66	0.93	0.89	0.99	0.98	0.98	0.070
Career Adaptabilities	256.06	96	2.66	0.91	0.88	0.98	0.96	0.97	0.070
Career Self-Efficacy	15.10	8	1.88	0.99	0.96	0.99	0.99	0.99	0.051
Career Optimism	0.78	1	0.78	1.00	0.99	1.00	1.00	1.00	0.000

### 4.3. Data Analysis

SPSS for Windows 20.0 and Lisrel 8.80 programs were used to analyze the obtained data. After the exploratory and confirmatory analyses, descriptive statistics such as means, standard deviations and pearson correlation analysis of the study variables were examined. Following that, structural equation modelling (SEM) was used to conduct a test of the hypotheses in the research model.

## 5. Research Findings

### 5.1. Respondent Profile

55% of the students were female and the 45% of them male. Majority of the students (68%) were between the ages 18-21, 32% of them between the ages 22-25. 32% of the students have an education in business administration, 30% of them in international trade and logistics, 28% of them in labour economics and industrial relations, 10% of them in public management bachelor's degree programs. However, majority of the students (80%) indicated that they are third and fourth grade students. In addition, majority of the students (81%) indicated that they have chosen their education programmes willingly and most of the students (82%) are planning to work in the field that they have graduated.

### 5.2. Descriptive Analyses

In the scope of the descriptive analyses means, standard deviations and correlations have been conducted which are related to mentoring functions, career adaptabilities, career optimism and career self-efficacy levels of student. The values are given in Table 3.

**Table 3. Means, standard deviations and correlations of the study variables**

	Mean	S.S	1	2	3	4	5	6
Career Support	3.23	.91	1					
Psychological Support	3.01	.92	.716**	1				
Role Modeling	3.38	.91	.661**	.595**	1			
Career Optimism	3.96	.78	.220**	.183**	.354**	1		
Career Self-Efficacy	3.47	.89	.018	-.028	.090	.326**	1	
Career Adaptabilities	4.03	.56	.162**	.127*	.294**	.590**	.413**	1

\*\* $p < 0.01$ ; \* $p < 0.05$

As can be seen in Table 3, mentoring functions dimension of career support ( $r = .162, p < 0.01$ ); psychological support ( $r = .127, p < 0.05$ ) and role modeling ( $r = .294, p < 0.01$ ) were positively related to students career adaptability levels. Mentoring functions all dimensions such as career support ( $r = .220, p < 0.01$ ); psychological support ( $r = .183, p < 0.01$ ) and role modeling ( $r = .354, p < 0.01$ ) were positively related to students career optimism levels. However, mentoring functions dimensions were not related with career self-efficacy levels of students. In addition career optimism was positively related with ( $r = .326, p < 0.01$ ) career self-efficacy and career adaptabilities ( $r = .590, p < 0.01$ ). Therefore, it is possible to express that mentoring functions dimension labeled as role modeling was more related with career adaptability levels of students than the others.

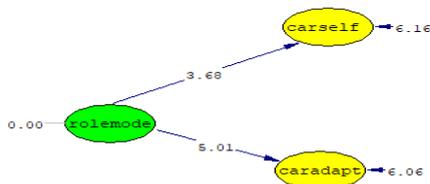
### 5.3. Measurement Model

For the verification of the model two step approach by Anderson and Gerbing (1988) has been used. According to this approach, prior to testing the hypothesized structural model, first the research model needs to be tested to reach a sufficient goodness of fit indexes. After obtaining acceptable indexes it can be proceed with structural model. As a result of the measurement model, 6 latent and 36 observed variables were found. Observed variables were consist of 14 items related to mentoring functions, 13 items related to career adaptabilities; 5 items related to career self-efficacy and 4 items related to career optimism. The results of the measurement model were;  $\chi^2: 1090.60$ ;  $df: 570$ ;  $\chi^2/df: 1.91$ ; RMSEA: 0.052; GFI: 0.85; IFI: 0.97; CFI: 0.97; NFI: 0.95; NNFI: 0.97. These values indicate that measurement model has been acceptable (Schermelel-Engel et al., 2003: 52; Meydan and Şeşen, 2011: 37).

### 5.4. Structural Equation Model

After the measurement model was demonstrated as acceptable, the structural equation model was applied to verify hypotheses for the causal relationships in the research model. The results of the structural equation model were;  $\chi^2: 538.24$ ;  $df: 200$ ;  $\chi^2/df: 2.69$ ; RMSEA: 0.071; GFI: 0.87; CFI: 0.95; IFI: 0.95; NFI: 0.93; NNFI: 0.95. These results indicate that structural model has been acceptable (Schermelel-Engel et al., 2003: 52; Meydan and Şeşen, 2011: 37).

**Figure 2. Structural model and path coefficients related with direct effects**



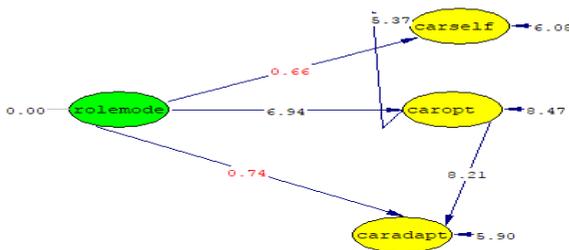
Chi-Square=538.24, df=200, P-value=0.00000, RMSEA=0.071

According to the results of structural equation model, the path parameter and significance levels show that role modeling has positive and significant effects on students career-self efficacy ( $\gamma = 0.24$ ;  $t\text{-value} = 3.68$ ), and career adaptability ( $\gamma = 0.34$ ;  $t\text{-value} = 5.01$ ) levels, so  $H_1$ , and  $H_2$  hypotheses were supported. These results indicated that role modeling mentoring function which includes representing illustrative attitudes and behaviors or serve as role modeling may increase students' career self-efficacy and career adaptability levels. Because of the mentors who aim to be a role model by sharing their

knowledge, experiences and thoughts with protégé, increase young adult self-confidence levels and enhance their beliefs that they perform tasks successfully. On the other hand, based on the role modeling mentoring functions, it is expected that young adults may adapt themselves changing and unclear situation easily. Thus, it can be inferred that role modeling mentoring facilitates students to search for several career opportunities, to have an interest and willingness to participate in career-related activities and have a desire to plan their future career.

Our study additionally used the testing approach of Baron and Kenny (1986) to examine whether career optimism mediating variable or not. According to this approach, following conditions were used for the mediation analysis (Baron and Kenny, 1986); there is a significant relationship between the independent variable and the dependent variables (role modeling-career self-efficacy); (role modeling and career adaptabilities); there is a significant relationship between the independent variable and the mediator variable (role modeling and career optimism) and there is a significant relationship between the dependent variables and the mediator variable (career optimism-career self-efficacy); (career optimism-career adaptabilities). After the research model tested in accordance with the Baron and Kenny (1986) approach, the results of the structural equation model were;  $\chi^2$ : 675.64; df: 286;  $\chi^2/df$ : 2.36; RMSEA: 0.063; GFI: 0.87; CFI: 0.96; IFI: 0.96; NFI: 0.94; NNFI: 0.96. These results indicate that structural model has been acceptable (Schermelleh-Engel et al., 2003: 52; Meydan and Şeşen, 2011: 37).

**Figure 3. Structural model and path coefficients related with mediator effect**



Chi-Square=683.28, df=286, P-value=0.00000, RMSEA=0.064

According to the Baron and Kenny (1986) approach, results of structural equation model in figure 3 shows that the role modeling has positive and significant effects on students career optimism levels ( $\gamma=0.45$ ;  $t$ -value=6.94) and also students' career optimism levels ( $\gamma=0.63$ ;  $t$ -value=8.21) have positively and significantly affect their career adaptability levels, thus H<sub>3</sub> and H<sub>5</sub> hypotheses were supported. In addition, career optimism has positive and significant effect on students' career self-efficacy levels ( $\gamma=0.39$ ;  $t$ -value=5.37) and H<sub>4</sub> hypothesis was supported. Moreover, considering the mediator role of career optimism, it has been observed that, the effects of role modeling on students career self-efficacy levels was not continued ( $\gamma=0.04$ ;  $t$ -value=0.66), so it is possible to express that career optimism has a fully mediator role the on relationship between role modeling mentoring function and career self-efficacy levels of students, so H<sub>6</sub> hypothesis was supported. On the other hand, it has been observed that the effects of role modeling on career adaptabilities was not continued ( $\gamma=0.04$ ;  $t$ -value=0.74), so it is possible to express that career optimism has a fully mediator role the on relationship between role modeling mentoring function and career adaptability levels of students, so H<sub>7</sub> hypothesis was supported. In other words, while figure 2 shows the direct effects of research model, figure 3 shows the changing of path coefficients after the mediator variable addition. Therefore, by the comparing of path coefficients both figures, it is possible to recognize the mediating effects. In this context, it can be said that role modeling mentoring function may increases student's career self-efficacy and career adaptability levels in case they have career optimism. As a result, even young adults' perceive role modeling support from their mentors, career self-efficacy and career adaptability levels increase or decrease based on their career optimism levels.

### 5.5. Independent Samples T-Test

Independent samples t-tests were applied to determine student's career optimism and career adaptabilities levels differ according to their gender and whether they are planning to work in the field that they have graduated or not.

**Table 4. Independent Samples T Test for Gender**

	Gender	Mean	t	Sig.
Career Optimism	Female	3.95	-.393	<b>.034*</b>
	Male	3.98		
Career Adaptabilities	Female	4.06	-.831	<b>.024*</b>
	Male	4.01		

\*\*p<0.05

**Table 4. Independent Samples T Test for Planning to Work Graduated Field**

	Planning to Work Graduated Field	Mean	t	Sig.
Career Adaptabilities	Yes	4.09	3.590	<b>.028*</b>
	No	3.80		

\*\*p<0.05

According to the results of the independent samples t test, the significance levels show that students' career optimism and career adaptability levels differ related with their gender so H<sub>8</sub> and H<sub>9</sub> hypotheses were supported. However, it has been observed that while female student's career adaptability levels more high than male students; males' career optimism levels higher than females. Therefore, it can be inferred that boys have much more positive feelings related to their future career than girls. On the other hand, girls' curiosity and concern levels related to their future career higher than boys so their career adaptation levels higher than the boys. In addition, research results revealed that student's career adaptation levels differ whether the education program related the area that they are planning to work in the future or not. Thus, H<sub>10</sub> hypothesis was supported. In this context, it can be expected that students, who are planning to work in graduated field in the future, have higher career adaptability levels than others. These results indicate that students tend to research the business field and like to participate in various career activities such as seminars, workshops and conferences which are related to their education program.

### 5.6. One-Way Anova Results

One-way anova test was applied to determine student's career self-efficacy levels differ according to their social environment that they have grown up or not.

**Table 5. One-way Anova Test for Social Environment**

Career Self-Efficacy	Social Environment (I)	Social Environment (J)	I-J (Differences between the means)	Means of Career Self-Efficacy		Sig.
	City	Village	.46894	City Village	3.532 3.062	
Town	Village	.58603	Town Village	3.648 3.062	<b>.007**</b>	

\*p<0.05 \*\*p<0.001

According to the results of the one-way anova test, the significance levels show that students' career self-efficacy levels differ related to their social environment such as city, town or village that they have grown up in, so H<sub>11</sub> hypothesis was supported. It can be observed that the career self-efficacy level means of the students, who stated that they have grown up in a city, were different from the ones, who have grown up in a village. In addition, it is seen that students career self-efficacy level means differ according to whether they have grown up in a town or village. In this context, it can be inferred that the places where the individuals were born and grew up may affect their self-confidence levels and beliefs of their ability to perform given tasks effectively.

### Conclusion and Implications

In the twenty-first century conditions universities represent the main environmental component which plays a significant role in the education of individuals from the several aspects. Generally, it is accepted that besides the formal learning process, universities have some socially beneficial responsibilities such as guiding young adults and making a contribution

to their individual development. Accordingly, faculty or school members are expected to play a crucial role in guiding and developing process of young adults. In this context, mentoring relationships or functions are regarded as one of the key component of young adults' growth. Because effective mentoring relationships play vital part in university education due to its considerable effects on students' career choices, career plans, and career-related behaviors. However, based on the mentoring relationships including sharing of knowledge, experience, networking support, encouraging of courses or other issues, it is supposed that students' self-esteem, self-confidence, self-efficacy, motivation and academic success levels may increase. Therefore, mentoring functions lead students to acquire some skills, abilities and competencies which facilitate them to choose appropriate career, to seek out career opportunities and their adaptation to the changing conditions. In other words, mentoring functions which aim to develop young adults both educational and social perspectives are seen as the significant contributors for their career development process. In literature, it is seen that researchers focus on various effects of mentoring functions in organizational area. For example, these studies suggested that mentoring functions lead to increasing of individuals' job performance, motivation, job and career satisfaction, well-being, career commitment and etc. On the other hand, there are limited researches on an educational area which emphasized that effective mentoring functions lead to some positive career-related outcomes such as increasing of career motivation, career advancement, career self-efficacy, career exploration and career satisfaction. In consideration with these results, it is possible to express that mentoring functions triggers young adults' career-related attitudes and behaviors such as career self-efficacy, career optimism and career adaptability. Accordingly, this study aims to investigate some career related consequences of undergraduate students who have mentors in their academic institutions.

As a result of the research findings, it has been obtained that mentoring functions are one of the dimension, which is labeled as role modeling, and it has a positive effect on young adults' career adaptability, career self-efficacy and career optimism levels so H<sub>1</sub>, H<sub>2</sub> and H<sub>3</sub> hypotheses were supported. These results show that role modeling mentoring functions can be considered as significant predictors of career related attitudes and behaviors of students within the scope of the university. In this context, it can be inferred that role modeling mentoring function fosters students setting career goals and career plans, lead them to recognize and seek out career opportunities, increase their self-confidence and provides them with possession of a positive viewpoint for their future career. Based on the findings, it is seen that career optimism has a positive effect on students' career self-efficacy and career adaptability levels, so H<sub>4</sub> and H<sub>5</sub> hypotheses were supported. According to this result, career optimism facilitates young adults' ability to cope with complicated and uncertain conditions and also cause an increase in their career-self efficacy and career adaptability levels. Because career optimism provides students to have a positive belief and thoughts that lead them to perform effectively and to adapt themselves quickly career related situations. Therefore, students' career self-efficacy and career adaptability levels, which represent their confidence, concern, curiosity, and decidedness related to their future careers, can be affected positively by the career optimism levels within the scope of this research. On the other hand, it has been obtained that career optimism has a fully mediator role on the relationships between role modeling and career self-efficacy so H<sub>6</sub> hypothesis was supported. Besides, it has been found that career optimism has a fully mediator role on the relationships between role modeling and career adaptability so H<sub>7</sub> hypothesis was supported. In consideration with these results, it is expected that although students perceive a role modeling from their mentors, they have to possess positive feelings at the same time related to their future careers and their confidence and persuasion on their effective performance would increase. However, it is expected that students' career adaptability levels may increase if they perceive role modeling and have positive feelings related to their careers simultaneously. Apart from these, research results indicate that students' career optimism and career adaptability levels vary by their genders, thus, H<sub>8</sub> and H<sub>9</sub> hypotheses were supported. These results reveal that while females' career adaptability levels were higher than males, males' career optimism levels were higher than females. Moreover, it is seen that students' career adaptability levels differ depending on whether they have planning to work in the graduated field or not so H<sub>10</sub> hypothesis was supported. It is possible to express that students, who plan to work in their vocational field have more concern, curiosity and confidence related to their careers and they tend to participate career-related activities more. It is also observed that career self-efficacy levels of students differ depending on their social environment like whether they were born and grew up in a city, town or village, so H<sub>11</sub> hypothesis was supported. Thus, it can be inferred that the place where the students were born and grew up may be a significant underlying factor that represent their confidence or belief related to obtaining career success.

### **Implications**

This study set light to some implications of role modeling mentoring functions in one of the Universities in Turkey. According to the results of the study, by providing effective role modeling it is possible to develop students from both vocational and individual perspective. However, there is growing and significant question that "who will be a good mentor" and "who can

take this responsibility voluntarily". In Turkey, it is seen that role modeling mentoring functions is more effective than psychological and career-related mentoring. Due to our society's characteristics, role modeling mentoring functions are more important than others. Because mentors, who are considered as role models can maintain more positive, close, and friendly relationships and illustrative attitudes and behaviors through affecting students in a favorable way. In addition, based on the fact that faculty members do not have sufficient time or desire to be mentors, these relationships cannot continue effectively. In our education system, mentoring relationship is not considered as compulsory responsibility, it is a voluntary activity. Therefore, it can be recommended to universities to choose most appropriate academicians for implementing mentoring relationships effectively and voluntarily. Thus, it is thought that formal mentoring systems can be performed in our universities which are expected to be more effective on increasing students' career adaptability and career self-efficacy or willingness to participate in career-related activities. On the other hand, there is not any empirical research existing in the literature investigating the relationships between mentoring functions, career optimism, career self-efficacy and career adaptability together. Furthermore, it is observed that mentoring studies which examine its antecedents and consequences are scant in the universities. Therefore, this study aims to make several contributions to the theory by exploring the relationships among these variables and determining the career-related consequences of mentoring functions.

### Limitations and Future Studies

This study had some limitations. First, data were gathered from only two faculties and two of the vocational schools in one of the Universities in Turkey. Therefore, the results of this study cannot be considered as representative of all universities in Turkey. Second, the results are based on the perception of only the students who had a vocational education in business administration, international trade, and logistics, labor economics, and industrial relations, public management bachelor's degree programs. For future studies, it is recommended that the research model may be tested on different samples that are enrolled in different vocational programs, such as medicine, engineering, education, chemistry, psychics, etc. On the other hand, the research model can be redesigned by adding some contextual variables, such as school environment, social support that represents family and friends and etc.

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## The European Union as a Normative Power on the Example of the EU-Turkey Relations

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### Abstract

The aim of this study is to analyze the normative power of the European Union in the relations with Turkey and to answer the question: is the normative power of the European Union effective in relations with Turkey? The work consists of three parts. In the first one, the author analyzes the concept of the European Union as a normative power. The second part is a historical analysis of the relationship between the EU and Turkey. The last part is an analysis of current relations between the European Union (as a Normative Power) and Turkey. The analysis is based on EU's documents.

**Keywords:** Normative Power, The European Union, Turkey, Soft Power, Principles of The EU

### Introduction

The European Union is one of the most important actors in international relations. It is influenced by various factors which come from the outside but at the same time it significantly influences this environment itself. Consequently, the EU has many possibilities of impacting the shape and the course of phenomena and processes which take place in the world. Possibilities which are brought by this impact result from, among others, having a specific potential in a variety of areas (Milczarek, 2005, p. 9). The size of the EU's potential in specific areas affects the scale of the relationship that the organization holds with other actors in international relations. Depending on the type of relationship, the EU partners see it as a significant ally, competitor or opponent (Milczarek, 2003, p. 33).

Actions of the European Union in international relations are not conducted by force, but through peaceful and democratic standards. The civic power of the organization can be characterized by the superiority of diplomatic cooperation and by the resolution of problems and progress in international politics by using transnational institutions (Manners, 2002, p. 236-237). Taking into account the key concept of the civilian role of the European Union on the international stage, attention is drawn to the fact that the EU differs from the traditional great powers because of its unique normative character.

One of the first authors who characterized the normative vision of the European Union's foreign policy was Ian Manners. In 2002, he formulated a concept of the European Union as a normative power in international politics (Reichenbach, p. 1). Manners tried to prove that the scope and scale of international actions of the EU can be explained by the concept of the EU's normative power. This concept underlines the EU's need for shaping its global policy. The normative power of the European Union is the power of ideology, opinion, and standards which are set by it. The organization in relations with other entities reaches out to the norms and values which are written in the treaties. The EU not only promotes them but also shows how to implement them (Piskorska, 2013, p. 8). In 2002, Manners pointed out five norms which were included in numerous documents. These are peace, freedom, democracy, rule of law, human rights. In subsequent years, they were supplemented by four more, namely: social solidarity, non-discrimination, sustainable development and good governance (Reichenbach, p. 2).

### Normative Power Union - European Identity and Turkey

#### The Shaping of the European Identity

European identity is the result of many centuries of the achievements of European nations. Its composition clearly distinguishes it from the African, Asian and, to a large extent, the nations of both Americas. The identity of Europe was largely created in relation to the Orient. The basic features of Europeanness were shaped by the West-East dichotomy, and the struggle to resist "barbarism" and Islam (Łastawski, 2008, p. 12).

The triad of European identity consists of the cultural tradition of ancient Greece, the legal tradition of ancient Rome, and Christian universalism (Judeo-Christian traditions). In the past, some "barbarian" traditions also influenced those "European", including Slavs, Normans, Germanic and Celtic peoples. Characteristic values derived from Germans are recognized by the researchers as honor, equality and solidarity, whereas for Slavs freedom and self-government.

Other European values have evolved over the centuries. They are formed by well-developed national cultures, political pluralism, party and trade unionism, established democratic principles, a broad range of human rights (including the prohibition of death penalty), respect for human reason, the rule of law, the separation of church and state (Łastawski, 2008, p. 12).

According to Art. 2 TEU The European Union "is founded on the values of respect for human dignity, freedom, democracy, equality, the rule of law and respect for human rights, including the rights of persons belonging to minorities. These values are common to the Member States in a society in which pluralism, non-discrimination, tolerance, justice, solidarity and equality between women and men prevail" (**Consolidated version of the Treaty on European Union**). A similar entry can also be found in the preamble to the Charter of Fundamental Rights (CFR), which states "The peoples of Europe, in creating an ever closer union among them, are resolved to share a peaceful future based on common values" (The Charter of Fundamental Rights). As regards the foreign policy of the European Union Art. 3 sec. 5 TEU states that the Union in external relations "shall uphold and promote its values [...] contribute to peace, security, the sustainable development of the Earth, solidarity and mutual respect among peoples [...] and the protection of human rights". On the other hand, a member of the EU can remain "any European State which respects the values referred to in Article 2 and is committed to promoting them" (Art. 49, **Consolidated version of the Treaty on European Union**).

### **The concept of European Identity within the Framework of the Essentialist and Constructivist Approach**

Collective identity can be analyzed through two approaches. The first one is the essentialist approach which treats the issue of identity as an essential characteristic of a given social group. This is something that can be considered as its unchanging essence. The basis here consists of the belief in common origin. This is the reason for the supporters of the essentialist concept to seek the real (historical) basis of cultural identity (Skrzypczak, 2010, p. 206). The second one is the constructivist approach which defines identity as the effect of the creation process (or even as the process itself). Within this approach, identity is not considered as an existing entity, but as something that is created and is a subject to change.

European identity is, therefore, not easily defined by an essential (ethnic) approach. The reason for this is the fact that the European heritage, through which it would be possible to construct this identity, is too diverse. The identity of Europeans is also difficult to build in relation to one and common to all "significant other". This could be, for example, Islam. However, at the same time a common identity would be built on an "antagonistic and anti-Islamic" basis.

The issue of European identity can be explained somewhat differently in the case of constructivist insights. In this case, identity is understood as a common European project and its place can be found in the entire spectrum of diversity. Because of its place of origin or cultural heritage, any entity cannot be excluded. However, this is not the reason for the lack of borders as regards the question of recognizing someone as a European. Europe is a process of constructing a community through joint action. Therefore, it must be based on common, negotiated, fundamental principles, rights and values.

It is, therefore, necessary that these values are not mutually exclusive and that every potential member may be involved in the community through them (ec.europa.eu). The European Union is a negotiated project. Its implementation requires acceptance of values. The EU Values Area is defined in the Treaties and the Charter of Fundamental Rights and defines the conditions for joint building of the European Union, as well as its European identity.

### **The Identity of Turkey and the European Union**

Since the beginning of the European Union, its membership has been conditioned by "democratic credentials". Over time, identity has become also increasingly important. According to some researchers, the overwhelming majority of EU members have created a discursive framework through which their identity can be integrated into the so-called "Supra-nationalist" European identity and this framework does not include any state outside the European circle (Barker, 2012, p. 18).

In the creation of European civilization, the Roman Empire and Christianity played a constructive and unifying role. Identifying someone as a European is not just about living in a given region of the world but also about sharing and practicing common traditions, histories, norms and values. Membership in the European Union is considered to be "the most

significant determinant of Europeanness" (Bac, Taskin, 2007, p. 38), while Member States have a common understanding of common heritage.

According to some scholars, Turkey cannot be considered a state that shares its Christian heritage and rationalistic traditions (recognized as the basis of European identity). For the opponents of this reasoning, it is important that the Byzantine and Ottoman empires also influenced the shape of Europe. By contrast, with Atatürk's reforms Turkey has chosen the European orientation, its political institutions and the idea of a secular state (Littoz-Monnet, Penas, p. 7). However, in the history of Europe, the Turks have always been recognized as the so-called "other", whereas Turkish/Ottoman influences (like Arab or Jewish) have been seen as foreign influences. Therefore, it is difficult to incorporate them into a common culture and religion that shapes what can be defined as the European heritage and European identity (Tekin, 2005, p. 292).

Buzan and Diez noted that further EU integration with Turkey would jeopardize the social and political self-identification of both of these subjects (Littoz-Monnet, Penas, p. 292), whereas Kevin Robins believes that Turkish culture "disturbs the order of Europe" and that as a some sort of "hybrid" it still does not meet the European standards (Robins, 1996, pp. 65-66). However, according to Bahar Rumelili, the construction of dichotomy between Europe and Asia, as well as the West and Islam, which are two contradictory and mutually exclusive identities, has been a cornerstone in the European Union's relations with Turkey. Such divisions have caused Turkey to become "*partially itself, [partly] and partially the other part*" (Rumelili, 2008, p. 102). Turkey is a country of contradictions located on two continents where the society of Islamic majority exists together with the Western concept of secular state, based on the rejection of the Ottoman and Islamic heritage.

The Turks are a nation strongly attached to their identity, and adopting European patterns could become a threat to them. For Turkish citizens, integration with EU structures is a mean of tackling poverty and economic problems rather than abandoning their own cultural heritage (Szkudlarek, 2012, p. 264).

In a Eurobarometer survey in May 2015, 40% of Turkish respondents said that Turkey's membership in the EU would be "bad" for the state (a 5% increase compared to the Eurobarometer survey 6 months earlier). However, 55% of respondents agreed that Turkey would benefit from EU membership (19% more than in the previous survey). By contrast, 36% of the respondents claimed that the country would not benefit from the membership (dailysabah.com).

On the other hand, European citizens see Turkey's membership in the European Union as a cause for concern over "turkification". It is understood as the cultural expansion of the Turks, who after the accession would have exactly the same rights as citizens of the EU member states. It can be assumed that the fear of "turkification" is not as much a result of aversion to a foreign culture (although it cannot be ruled out, despite the fact that many Muslims have been living in EU member states for years) as some uncertainty about the number of Turks who could come to Europe after Turkey's accession to the Union. The hallmark of "turkification" is the universality, which means the mass phenomenon of importing unlike European cultural patterns which are not always accepted by the Europeans (Szkudlarek, 2012, p. 264).

### **Turkey's relations with the European Union**

Turkey has already applied for membership in the European Communities in 1987. However, the answer to the accession was negative (Gwiazda, 2005, p. 3). There were indications of numerous irregularities in the political, social and economic spheres (Ciechurska, 2014, p. 103).

In December 1999 in Helsinki, Turkey became the official candidate for the membership of the UE (Szymański, 2008, p. 7) and, like the rest of the candidates, the state was involved in the pre-accession process. The pre-accession process was primarily concerned with the need to introduce reforms, mainly in terms of political criteria and human rights issues (Ciechurska, 2014, p. 104). In "Accession Partnership" adopted in March 2001 by the EU Council, the main issue was the abolition of the death penalty and the signature of Protocol 6 to the European Convention on Human Rights (ECHR). Regulations on this matter were finally adopted on 8 May 2004 by The Grand National Assembly of Turkey. The new provisions introduced in the Basic Law did not allow any case of death penalty ("*no one can be sentenced to death penalty*", Article 38 (7)) (Szymański, 2008, pp. 108-111).

In 2003, the European Commission in its Strategic Document stated that Turkey was able to speed up the pace of reforms and make decisive efforts and progress towards compliance with the Copenhagen Criteria. It has also been noted that considerable progress has been made towards achieving economic criteria. On the other hand, the task that was given to Turkey was the continuation of progress towards the fulfillment of the *acquis* criteria because in spite of many changes further efforts would be necessary (Üçer, 2006, p. 211).

The decision to start the accession negotiations was made at the Brussels summit in December 2004. This was in line with the plan of 3 October 2005 after Turkey fulfilled two preconditions (Jurkowska, 2009, p. 12). The first condition was the enlargement of the Protocol extending the EU-Turkey customs union (the EU-Turkey customs union have been in force since 1 January 1996) (Gwiazda, 2005, p. 3) to 10 more EU Member States. This condition has been fulfilled, however, Turkey has claimed that the extension of the customs union to Cyprus does not imply recognizing it as a state (Jurkowska, 2009, p. 16). Condition two was the entry into force of six pieces of legislation, including the Code of Criminal Procedure and the Criminal Code.

### **Values or European interests in relations with Turkey?**

For many years, the accession process of Turkey has been in the state of stagnation. According to some researchers, the situation was "comfortable" for the EU. The customs union between the EU and Turkey (since 1996), which opened up the markets, has brought much greater benefit for the Community than for the other side (Czachór, Graś, 2006, pp. 210-211). It was only at the moment of the immigration crisis which began to be faced by the European Union that some moves towards strengthening the mutual relations were made. On 29 November 2015 an EU-Turkey summit was held (Rada Europejska, 2014). At the summit the need to "revive" Turkey's accession to the EU was and deepening of bilateral dialogue was recognized. During the meeting sides agreed on the issues of acceleration of visa liberalization between parties. The European Union has declared the abolition of visas for Turkish nationals even in the autumn of 2016 if certain conditions are met (including the implementation of the readmission agreement by Turkey which was supposed to happen in June 2016) (IAR/PAP, banier.pl).

The decision to organize an intergovernmental conference finally took place on 14 December 2015. The 17th edition of the "Economic and Financial Policy" Accession Negotiations, which was the first "new" technical point, was agreed upon after almost a two-year break (pl.sputniknews.com).

On 14 April 2016, the European Parliament adopted a resolution on Turkey. It defined Turkey as a "key strategic partner for the EU". Of particular note was the reception and protection of about 2 million Syrian refugees by Turkey. The resolution also supported the idea of making Turkish one of the official languages of the European Union (EurActiv.pl).

However, already in the April 2016 in the report on the subject of Turkey, the European Parliament (EP) expressed deep concern about the deviations from respect for democracy and the rule of law. It was claimed that the overall pace of reforms in this country in recent years has decreased significantly. Visible regress has been noted in areas such as the independence of judiciary system, freedom of assembly, freedom of expression, respect for human rights and the rule of law. As a result, Turkey has got farther from meeting the Copenhagen Criteria (European Parliament, 2016). There was, however, a revival in the negotiation process and it was hoped that the opening of new chapters would lead to actual progress. Turkey has also been called for "real involvement" in this area. The report supported the idea of a more frequent and open high-level political dialogue on key issues including migration, the fight against terrorism, energy, trade and the economy.

The important issue highlighted in this resolution is the postponement of the publication of the European Commission (EC) report on Turkey's progress with respect to the elections held in that country in November 2015. It was judged to have been a bad decision which left an impression that the European Union "*was ready to be silent on the violation of fundamental rights in exchange for cooperation with the Turkish government on refugees*" (European Parliament, 2016). The European Commission has also been asked to publish progress reports in accordance with a timetable and findings. They also urged the Commission and the Council not to ignore the internal turmoil in Turkey and, independently of other interests, clearly expressed their respect for the rule of law and fundamental rights in the country as specified in the Copenhagen Criteria (European Parliament, 2016).

### **Summary**

Contrary to the view of Western media that the Turkish people adopted democracy in its European meaning, the people of Turkey began to oppose the announcement of the alignment of the legal or political system with EU norms. The process of Europeanisation, characterized by intense cooperation between authorities, began to face difficulties within these reforms which aimed at making Turkey resemble member states of the EU. The Turks over the years, without a guarantee of success, have been fulfilling the criteria (tightened from time to time by the EU institutions). However, after some time the attitude of Turkey started to be characterized by discouragement and fatigue in response to the situation created by Brussels. As a result, further Europeanisation of Turkey may not be possible. The reason for this situation does not have

to be found in the suspension of the membership negotiations by the EU side or the reluctance towards achieving membership on the side of Turkey.

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## The Problem Change Function of Heritage Building at the Old Cities in Central Java

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### Abstract

The old city is the commercial center in Semarang City in The Dutch Government. It can be seen from the buildings a relic history of hotel, warehouse, and also religious buildings. Almost all this building still exist, but they were unable to function properly. Even some buildings are used as shed by the rightful owner of the land. The use of building be a barn it gives the impression slum and not safe to the old city. The flood problem in the old city who lack of after causing the quality of the environment in the old city get worse. This condition certainly disturb the face of the city and made the building worthless again. If managed well, those buildings in ancient old city this can be icon historic for Semarang City. One concept which can be applied to overcome these issues is to conservation old buildings to be new functions as the best possible. This concept chosen because see that function old buildings are no right again when maintained, so we needed sought the use of more worthy economically for old buildings historic not to stopped and remain maintained. The purpose of this research is studying characteristic model the concept of conservation old buildings and produce model design as an application from the concept of conservation of any old buildings. To achieve this aim will be used a methodology qualitative descriptive which can explain problem indetail and described potentials. The result of this research in the form of a model design that can be applied in ancient building, so can improve their quality, both in terms of social, economic, and culturally.

**Keywords:** Change Function, Heritage Building, Old Cities.

### Introduction

Items of Cultural Heritage, a site is a location which contains or is thought to contain items of cultural heritage including the surroundings required to ensure its safety. Items of Cultural Heritage are artifacts made by man, moveable or immovable, individually or in groups, or parts thereof or remains thereof, which are at least 50 years of age, or represent a specific period at least 50 years of age, and a natural object which are considered to be of significant value to history, science and culture (The President of Indonesia Law No. 5/1992 regarding Cultural Heritage). Cultural items of cultural heritage are owned or inherited by descent or are heir looms, exist in sufficient numbers of any given type and a representative number are already owned by the state (The President of Indonesia Law No. 5/1992 regarding Cultural Heritage).

Heritage buildings consist of many functions as like officers, railway stations, ware housings, factories, hotels, housings, restaurants, stores, service officers, churches. At that period the building functions were really suitable for people's activities. And the site of building one mix use zone, everyone went to many functions building at the same zone. Therefore going one building to the others one accessible easily.

In the morning and in the afternoon the life of those areas were crowded by different attitude people, different activities, different ages, education and different employees. These zones were good condition in the morning and afternoon also in the night. Central Business District (CBD) usually arranged as mix use buildings as like in "Kota Lama Semarang-Indonesia, Amosfort-Amsterdam, Rotterdam, and Antwerp-Belgium.



Source: (Darmawan, 2015).

**Fig. 2.** Changing function from central station in Amsterdam to be store



Source: (Darmawan, 2015).

**Fig. 1.** Changing function from court office in Kota Lama Semarang to be restaurant

## Review of Literature and Theoretical Framework

### The Historical Building Conservation Theory

In general, conservation can be defined as activities to care for, preserve sustainability, and preserve ancient and historic buildings to draw back the interest of the community to visit the area or building. Conservation activities are created because of the need to conserve degraded and damaged natural resources. The impact of such degradation creates fear and if not anticipated will endanger humanity, especially impact on the life of future generations. The existence of ancient buildings that are developing the story of history, way of life, culture, and civilization of society, providing opportunities for future generations to touch and live the struggle of his ancestors. Historical building preservation efforts are carried out to safeguard the history of the building, and to keep the building in order to be dedicated to future generations.

Snyder & Catanese (1979) says that the conservation of historic buildings is basically an integral part of urban planning or "the urban planning". The conservation of historic buildings is closely related to three important things: (a) the historical development of the city, (b) the old town's historical area or environment and (c) the diverse context of "urban architecture" and the architectural style of the old historical building. Therefore, in the conservation activities there is always a common thread between the relics of architectural works with cultural values that took place in the community in the past. According to Mulyandari (2011), the criteria for conservation actions can be buildings or places that have aesthetic value, security, historical role, supporting an adjacent area that has important value and has special value or something important.

City development in a city area can be seen since the city area into an area inhabited and inhabited by community groups with urban style. The historical development of the city can be seen from the cultural forms of urban society from the simplest to the most sophisticated urban society. The cultural form of the people of this city will give birth or leave the works of architecture in the form of old buildings with historical value. Therefore, for big cities that are long-lived, the cultural influence of urban communities in an area will be of significant value in the aspect of historical values and cultural values for the society in the future. The old urban areas generally have architectural artefacts in the form of historic old buildings.

According to Papageorgiou as quoted by Mulyandari (2011), there are two criteria for determining a city or a part of a city area that can be categorized as a historic city area, namely (a) its uniqueness in its urban composition; (B) the state of the architectural quality and geographical locality, whereas a city that deserves conservation behavior is partly due to: (a) having a genuine urban structural composition; (B) have architectural qualities (both architectural monuments and certain interesting buildings) which indicate its urban development; (C) have a sustainable social life.

### The Cultural of Conservation

According to the certificate of Burra on 1984 on (Bappeda, 1988) the conservation is protected the cultural meaning of building or area for heritage in the future. For the cultural meaning is aesthetic review, historic, knowledge, social of environment building or cities. According J.C Catanese and J.C Snyder on (Bappeda, 1988) it's helped for last period and the future that review of cultural are consist of:

Aesthetic: the shape, scale, colour, texture, and material also the smell, voice are depended to the place and function and relation of the landscape.

Historical aspect: consist of the community historic some place who has historic value related the hero even a historic events.

Knowledge value it's depend on the own interest, qualities and given information of values.

Social value; places that focus for activities such as spiritual, politic, cultural, weather from majority group or minority group.

Conservation is the main role of activities of heritage depend on the Burra charter for the conservation of place of cultural significance 1981 on (Bappeda, 1988).

Conservation is the process heritage of lace that cultural taken care very well. Conservation is concluded the preservation, restoration, reconstruction, adaptation and revitalization.

Preservation is the heritage that precise the original without changing and it's perfected the demolition.

Restoration/ Rehabilitation is returned of place or building with disappear the addition and to install the shape without use the new material.

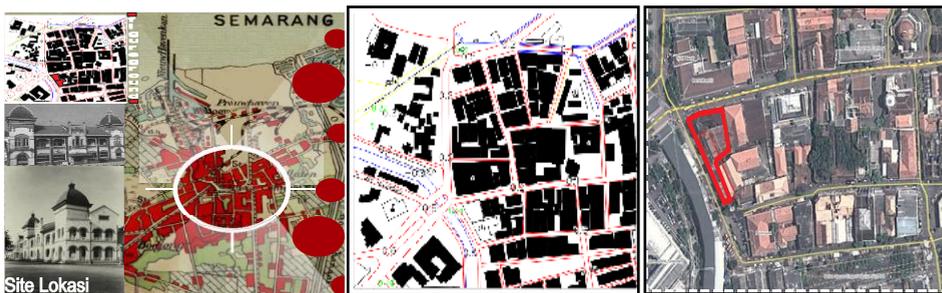
Reconstruction is returning of the building at the similar original condition and uses the new or the old material.

Adaptation/ revitalization is change of the building to be usage the suitable function. The suitable function is usage that not needed the changing eventhough a little bit only.

Demolition is the damage of building that deterioration and dangerous condition and created the new style of the original.

### Kota Lama Semarang Area

This area was a Dutch area called as the little Netherland in the colonials periods. At 19 - 20 century, this area had a function as trade center. The buildings here had a function as a town hall, castle, house, company, prison, etc. There are a lot of buildings has a basement (as a hiding place/ prison). Most of those building negleted. Some building has a new function as gallery, conference hall, cafe, church (Piandel, 2014). Most of those building also used as a tourism place (photography object and festival).



Source: (Piandel, 2014).

Source: (Piandel, 2014).

**Fig 1:** Location of Kota Lama Semarang.

**Fig 2:** The Map of Kota Lama Semarang.

### Techniques of Participations

The clearly administration of community as important factor that often ignored whether on population, legalization of status, inventaritation physical facilities who have by communities whether government, therefore a lot of problem difficult happen, for performance the serial data accurate. Even we find out the data with many version were very confuse for need research or arrangement of planning program and urban planning for future and others program. This problem would be effect of the trust for people on the world to make corporation. The data occur at the laws community until center of government. The data have delivered trust way and simple would giving more uses for analysis or economic problem, social problem, cultural,

political, defense and security. Therefore communities administration factor are techniques participation way for urban planning.

Political commitment is important thing at period reformation now days, for urban planning without legitimation and all statement that supported this program would be fail. Socialization interactive dialogue between planer, executive and legislative as representative of communities is very important need as techniques participation way for urban planning. The statement of many political elite would be affected to be success of urban planning program, and the short term or long term. Our community of Indonesia believed the paternalistic system that why thus political statement as effective way for successful.

For socialization step of urban planning, use the meetings with the community periodically. It's affected to adsorb the willingness and aspiration of communities for getting facilities of urban planning maximally. At this forum is expected design agreement that effective and efficient. The experiences at last periodically many programs that are not wiliness and aspiration of communities, and fail condition. Many idea from expert that publicated by mass media or electronic media or by book are participation technique way that very effective. Beside that thus ideas could be presented at the seminar forum, discussion, workshop or other forum.

For socialization of physical development program or effective urban planning true press release. At the press release the program would be explained detail and accurate to pass for pers. The information would be directed at the center way, therefore the community would be inform by urban communities.

### Research Design and Methods

The method used in this research using qualitative descriptive approach method. This method is chosen because it is able to describe and describe field findings that aim to collect actual and detailed information, identify problems, make comparisons or evaluations, and determine what others do in the face of similar problems and learn from their experiences to plan And decisions in the future (Arikunto, 2006). Observations made on the Old Town area which is an area that has historic ancient buildings with Dutch colonial architectural style. Objects observed is the condition of the building is done by reviewing the elements supporting the character of the building, so it can be prepared redesign of the building.

### Discussion, Findings, and Interpretation

#### Kota Lama Semarang

Just a view of those building that still functionate, the old city area active only at a view spot. At sendowo street (PT. Perkebunan & Nusindo) that building are located across the *Kali Semarang/ Mberok*. Kali Semarang is an artificial river with 15-17 meters diameter. Function : city government has a plan to make this spot as a new tourism place in Kali Semarang ex: gondola rent, as a point of interest ( to attracted visitor).



Source: (Piandel, 2014).

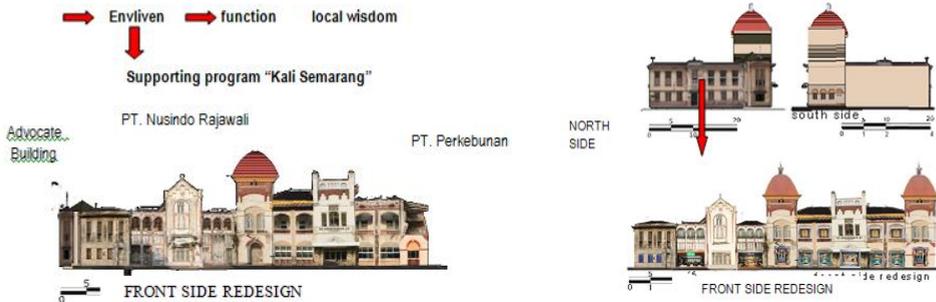
**Fig 1:** Existing of Heritage Building at Sendowo Street.

Source: (Piandel, 2014).

**Fig 2:** Redesign The Lively of Sendowo Street.

This location at Sendowo street (PT. Perkebunan & Nusindo) has a new function as a supporting facility for city government's program at 2015. Function: this place has a function to attract visitor in tourism segment and to reinforce the economic aspect (comercial), also used to maintaining the old city and open new jobs opportunities for people around this area.

Re-function: the function of PT. Perkebunan has changed as café & resto, retail , with oldskool/ antique stuff center that bought from the communities around this area (to increasing people's income). Re-function: PT. Nusindo has a new function as museum, historic library & art gallery (Piandel, 2014).



Source: (Piandel, 2014).

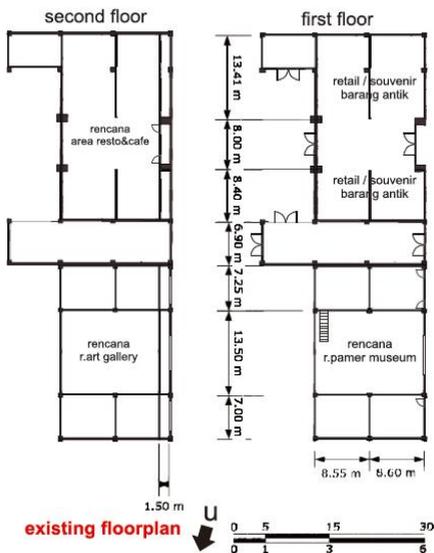
**Fig 3:** Redesign of Shortern Part.

We still have to obey the valid regulation to enliven the atmosphere of Sendowo Street at Semarang Old City. The building of Pt Perkebunan and PT Nusindo Rajawali, has "*madya*" status (allowed to get only small renovation treatment and the changes of façade isn't allowed) in valid regulation. So, on the way to enliven that building performance we only can:

Re-painting without changes the original base colour and cleaning the building area.

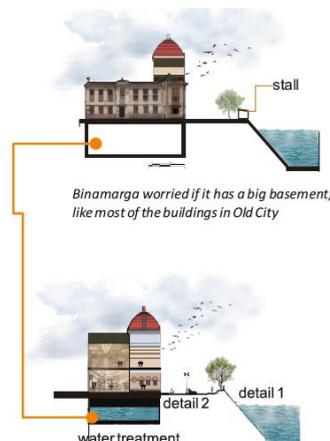
Re pro the existing floorplan without changes the building structures.

Make the new tower replica on the right side, without change any shape or colour of the exist building (PT. Perkebunan)



Source: (Piandel, 2014).

**Fig 4:** Redesign and Refunction

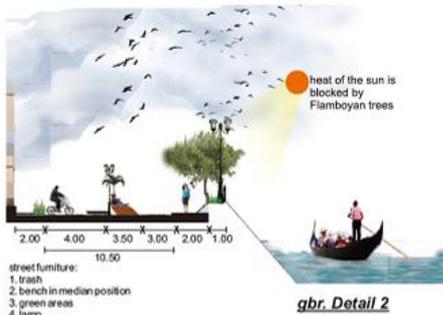


Source: (Ruci, et. al., 2014).

**Fig 5:** Redesign.

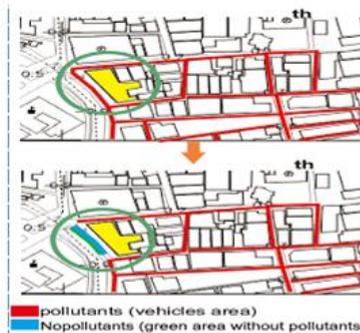
Kota Lama include in eleven city in Indonesia that has an offical green concept area with president approval.

Water treatment details green area.



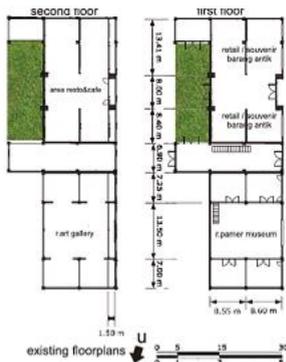
Source: (Ruci, et. al., 2014).

**Fig 6:** Refunction of Sendowo Street.



Source: (Ruci, et. al., 2014).

**Fig 7:** The Analysis Pollutants and No Pollutants Area.



Source: (Ruci, et. al., 2014).

**Fig 8:** Refunction Floorplan.

Floorplan redesign can help by change and fixed the broken wall, the the rest problem can solved only by optimizing the space function organization and add some open space.



Source: (Piandel, 2014).

**Fig 9:** Eksterior Refunction of PT. Perkebunan and Nusindo.

### Kretek Mberok, Kota Lama Semarang

The exact location of building which will be redesigned is near *Kretek Mberok*. *Kretek Mberok* is the famous bridge in Old Town Area. "Mberok" word comes from Dutch "brug", which means hanging bridge, it is like common bridge in Holland.



Source: (Ruci, et. al., 2014).

**Fig 10:** The Location Map of *Kretek Mberok*.

Old Town area in Semarang usually called Little Netherland, because those buildings constructed since the Dutch era. It has been becoming as mute witness of Dutch colonial Indonesia history for more than two centuries. Sadly most of the

buildings are rundown, broken, or simply just facades of former glory. There are about 50 buildings that stand still and has tons of colonial history. The building that will be redesigned without eliminating the main identity of it, so the historic element will be kept to emphasis its characteristic. Specially to Semarang Old City Area itself. Problem in the past, *Mberok* River was the important part of these areas but slowly that river becoming ignored and dirty. Pedestrian way has malfunction as a place where the street vendors works, not a facility for pedestrian walks. The existence of public transportation around these objects actually makes this area into disorder (Ruci, et. al., 2014).



Source: (Ruci, et. al., 2014).

**Fig 11:** Existing of PT. Perkebunan and Nusindo Heritage Building.



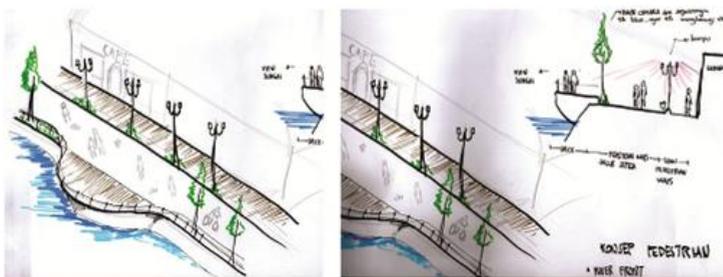
Source: (Ruci, et. al., 2014).

**Fig 12:** Location Area of Vendors in Front of The Heritage Building and Beside The River.

These old building looks neglecting and broken by pieces, whereas these areas are potential to be something beautiful and making Semarang be different than other cities. Few photos above show the situation around, even when the atmosphere still colonialist they still look not interesting to be visited.

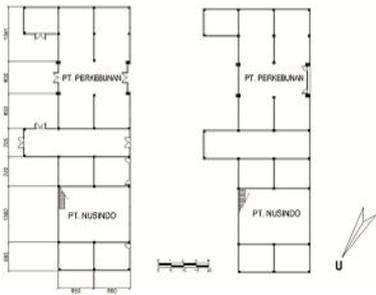
### Redesign

The building is currently an office, but somehow it looks unused. The idea of redesign planning is to change the function of this building as art gallery center. It will conclude café, art gallery, museum, and gift shop. We decided to involve the surrounding area for redesign planning because it linked each other. To feel what the museum represents is not only by what is inside but also what is happening outside. The building itself has two stories, and we do not can to add or reduce it so we keep it as two stories building. We only change the function and interior design and try to keep the real characteristic of this historical building especially the ornament (Ruci, et. al., 2014).



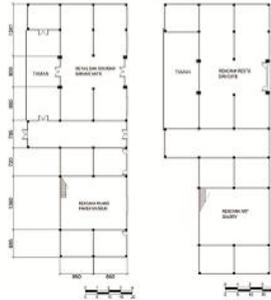
Source: (Ruci, et. al., 2014).

**Fig 13:** Sketch Redesign.



Source: (Ruci, et. al., 2014).

**Fig 14:** First floor and second floor.



Source: (Ruci, et. al., 2014).

**Fig 15:** Redesign First floor and second floor.

This is a site plan of the building, and we can see how the neighborhood look like. *Mberok* river actually can be the main attraction of the area, so we include it for redesign plan by creating "river view space". Façade of this building has not changed at all. That because the maintain the figure of "Kota Lama" is used as a historical heritage tour in Semarang. Just cleaning and repainting that done on this building, so the building doesn't look dull (Ruci, et. al., 2014).



Source: (Ruci, et. al., 2014).

**Fig 16:** Site plan redesign.



Source: (Ruci, et. al., 2014).

**Fig 17:** Facade redesign.

The exterior of the building is designed with pedestrian priority as "Kota Lama" tourists. Sendow roads be an area that free of the vehicle. This will make the tourists comfortable to enjoy the atmosphere of "Kota Lama".



Source: (Ruci, et. al., 2014).



**Fig 18:** Exterior Redesign

The interior design is modern style, to keep the balance between vintage and modern. Calm colour is being the key in the rhythm of décor, except for the café which is using bold colour to encourage (Ruci, et. al., 2014).



Source: (Ruci, et. al., 2014).  
**Fig 19:** Interior Art Gallery.



Source: (Ruci, et. al., 2014).  
**Fig 20:** Interior Gift Shop.

## Revitalitation Lawang Sewu

Lawang Sewu is located in the heart of the city, namely in the area of Tugu Muda Semarang, making it the building that will be seen by many people, this location was the one who also makes Lawang Sewu so strategic. Tugu Muda area is often used as public space, especially in the city of Semarang the youth spend a weekend night. This could be a great potential for Lawang Sewu building to be revitalized with a variety of functions that can accommodate community activities. Lawang Sewu not skyscraper which height is very prominent. However, for the size of the 2 storey building Lawang Sewu is high. Area is spacious and Europe style makes Lawang Sewu impressed magnificent. Lawang Sewu as one of the central point of tourism that very potential in Semarang and Central Java.

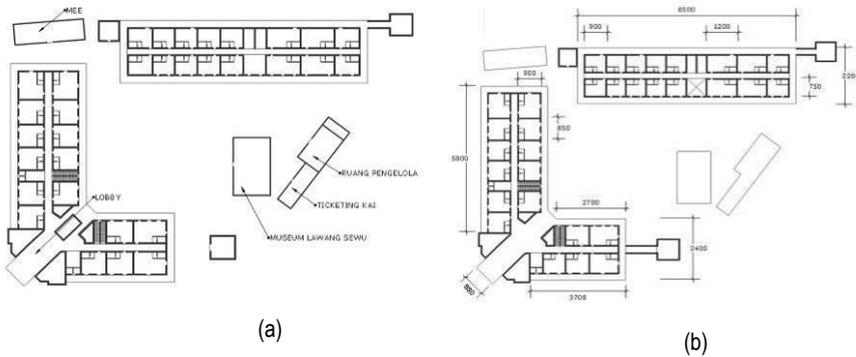
When viewed from the problem revitalization Lawang Sewu, probably the building is do iconic and save a lot of history and get into one of the heritage buildings in Semarang, make the revitalization do not want it to change the atmosphere, façade, and the structure of the original building. As one of the cultural heritage as well as a building that is protected by the Government, Lawang Sewu from less desirable communities. Lack of promotion is done, so the popularity of Lawang Sewu defeated by shopping centers and malls are more and more in the city of Semarang causing shortages Lawang Sewu number of visitors, especially on weekdays.

Lawang Sewu not allowed to change the exterior of the heritage for it needs to be done over the function of Lawang Sewu building should return to the iconic buildings and attracted many people. Plans over the function of the building, it is necessary to explore the potential that existed at Lawang Sewu building and its surroundings, in order to become one of the landmarks of Semarang.

## Concept Design

Law No. 11 of 2010 on Heritage defines heritage as immaterial cultural heritage in the form of object of cultural, heritage building, structure heritage, world heritage, and cultural reserve on land and or water to preserve its existence because it has important value for history, science, education, religion, and or culture through setting process. In this law is not set on "conversion" but development is described in article 78 which reads "Development of Cultural heritage carried out with due regard to the principle of expediency, safety, authenticity, and the values attached to it. Similarly the Dutch East Indies heritage of historic buildings is an asset at the same area of the building heritage which only developed utilization without changing its original from as set out in Article 95 of law 11 of 2010 that local governments have the task to the protection, development, and utilization of Cultural Heritage. The local government in making policies for the development of heritage buildings which should also consider whether the current building has given maximum productivity that is allowed to be constructed building other more valuable or with other terms should pay attention to the highest and best use, in which he must meet four criteria, physically possible, legally permissible, legally permitted, financially feasible, financially viable, maximally productive, maximum productivity (yield the highest value) (Hanafi, et. al., 2014).

### Redesign Plan



Source: (Hanafi, et. al., 2014).

**Fig 21:** (a) 1<sup>st</sup> Floor Plan Lawang Sewu; (b) 2<sup>nd</sup> Floor Plan Lawang Sewu.



Source: (Hanafi, et. al., 2014).

**Fig 22:** Redesign Exterior Lawang Sewu.



Source: (Hanafi, et. al., 2014).

**Fig 23:** Redesign Lobby Lawang Sewu.



Source: (Hanafi, et. al., 2014).

**Fig 24:** Redesign Interior Room Lawang Sewu

**Conclusion**

The heritage buildings in Semarang have problems left behind by their owners, so the government finds it difficult to identify owners of heritage buildings. The heritage building was eventually damaged due to the long time not being used. To overcome this problem, Semarang City Government attempted to change the function of historic buildings and make other functions more modern without changing the previous characters and patterns. Historic buildings will change other functions depending on the investor demand and the potential that exists in the surrounding environment. With the change of function is expected to increase the tourist attraction in Semarang City.

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## Role of Human Resources Function in Successful Organizational Transformations for Efficiency Improvement

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### Abstract

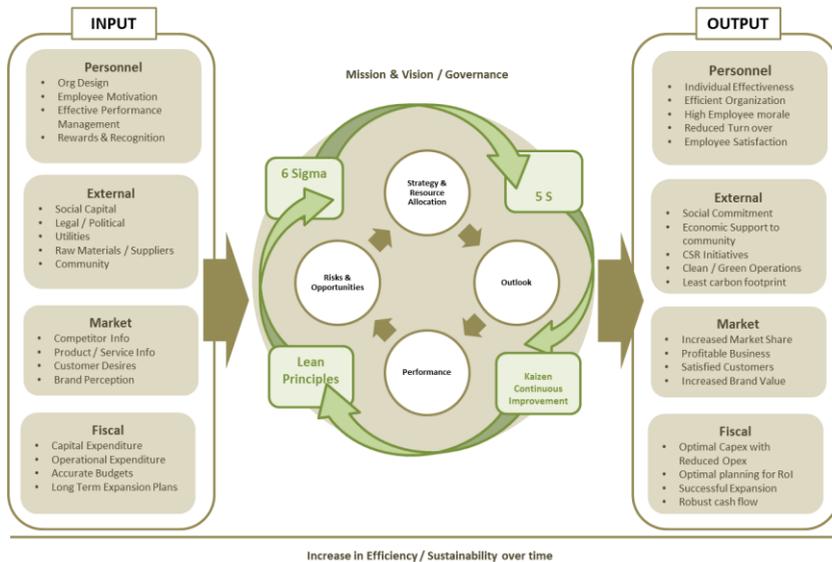
Organizational efficiency is generally defined as a measure of relation between the input resources and output generated within a system. Organizational efficiency in public and private sector enterprises and communities plays a key role in ensuring value creation, and thereby, ensuring economic and social sustainability of societies with effective and minimal use of resources, reduced waste and small ecological footprint. Transforming an organization is all about changing a laggard organization to an agile and responsive entity, which foresees changes, willing and adaptive to changes proactively rather, being reactive to changes, which are forced by the operating environments. A proactive organization with visionary leadership foreseeing the challenges establishes mitigation plans to overcome or reduce the impact triggered by operational challenges, while a reactive organization will be impacted by the operational challenges before it initiates changes based on the impact assessment. Transformation of an organization reduces operational costs by eliminating duplications and non-value adding processes (Robbins, 2012). The paradigm of sustainable transformation of organizations has three main components which are interactively functioning: leadership and management, human resources, and organizational culture. Sustainability is defined as 'responsibility of an organization in sustained generation of economic, environmental and social benefits' (Gardelliano, 2005). Organization management often gets caught in the contradiction between sustainability and profitability. The shareholders / stakeholders would want short term profitability of an organization while societies around the world are increasingly demanding corporations to be environmentally and socially responsible in its operations with utmost importance being given to their human and natural resources and communities that they operate in. Sustainability also depends on Innovation and Knowledge Development. In a knowledge economy, key engine of growth is knowledge. An economy in which knowledge is acquired, created, disseminated and applied to enhance economic development is known a knowledge economy (Building Knowledge Economy, WBI, 2011). An effective ecosystem which nurtures innovation is based on outputs generated from knowledge centers like universities, research centers, schools, consultancy agencies and other organizations engaged in similar endeavors. The knowledge generated in such centers is applied though right tools to enhance the wellbeing of humans and sustainability of organizations. This paper focuses on the impact of human resource function on the organizational transformation for efficiency improvement.

**Keywords:** Role of Human Resources Function in Successful Organizational Transformations for Efficiency Improvement

### Introduction:

Organizations - irrespective of their type – operate more or less interactively and interdependently between their inputs, outputs, internal systems and external factors. Organizations will always need to have a series of resources as input values which are processed by their internal systems (business models, manufacturing or service mechanisms, human resources, etc.) under external conditions (macro-economic conditions, regulations, market forces, etc.) to produce a series of output that eventually contributes to the society socially and economically. The figure given below explains the Input / Output and Transformation initiatives in atypical organization.

**Organization Transformation for Sustainability / Efficiency**



The effectiveness and efficiency of organizations mainly depends on the ratio of their outputs to their inputs, which is mainly governed by their internal systems (i.e. leadership, human resources, business model, etc.). A generic Organization transformation model is explained with reference to Figure 1. The input factors include Personnel (manpower), external factors like social capital, political capital, raw materials, support of community etc. and market and fiscal factors. The output generally tends to be either in the form of one of these factors or a combination of multiple factors. The governance of the organization is based on its Strategy, Resource allocation, Outlook, Performance, Risks and Opportunities within a robust framework of Mission & Vision and Governance policies. Generally organization transformations take place with application of tools like 6 sigma, kaizen, 5S or combination of multiple tools to achieve the transformation objectives. Successful iterations of application of these tools and finding opportunities to reduce wastage and continuous optimization of operations will lead to development of a lean and efficient organization which is financially, operationally and environmentally sustainable.

**Organizational Culture and Behavior:**

Organizations and institutions have a character, culture and behavior of its own. Culture of the institution or organization is cultivated by its mission, vision, strategies, past experiences, collective memories and responses. However, the transformation of organizational behavior is mainly driven by its leadership who imposes their personality traits, assumptions and values on a group of people (i.e., management team) within the organization while tasking them with achieving an objective, which sows the seeds of an organization's culture. If the groups of people who are tasked with the objectives succeed in terms of conveying the transformational goals, attitudes and responsiveness to the entire organization (i.e., employees), then the seeds of values / assumptions and personality traits of the leader get accepted within the wider group of an organization and more and more people trying to emulate those traits, setting up the basis of an organization culture. In case the group fails to achieve the objectives, either the leader chooses another set of people to achieve the objectives while retaining the original values/assumptions and personality traits of the leader or the leader changes his assumptions to create a new set of values/assumptions (Schein, 2011) or there occurs a separation of leadership/management with the organization, and the cycle continues setting the basis of organization's behavior and culture.

Typically, organizational transformations involve assessment of business processes, procedures, positions and human capacity within an organization, optimizing the same to achieve increased efficiency, quality at reduced cost and/or resources. Continuous transformations happen through well developed and purpose-full human resources, teams within the organization. Accurate, objective, transparent and merit-based performance assessments will help, guide and improve

human resource capacity, retain the best, upgrade others, establish a positive organizational culture and assist sustainability. An organizational transformation program generally covers the following areas,

### Organizational assessment

Implementation of transformation initiatives performance review and continues performance monitoring / improvement.

In case of successful organizational transformations, the old proverb “not to reinvent the wheel, just to make it roll better” is apt as transformations are not about implementing radical changes but driving incremental changes and innovations directed at improving efficiency, quality and cost reduction (Epstein et al, 2010). Organizational efficiency is the key word that could bring a world of difference between enterprises being on the edge of collapse turning it to a profitable enterprise. Organizational efficiency could be mapped as a key performance indicator for corporate performance for both public sector and privately held enterprises (Boatright, 2009). Though many researchers and industry honchos uses corporate performance, organizational efficiency and financial performance as interchangeable words, (Dubovsky & Varadarajan, 1987), scholars in the emerging interdisciplinary studies of engineering, business and economics have vouched that the socio-economic parameters of society is deeply linked with corporate performances, organizational efficiency, and thereby, overall wellbeing of the economy and society.

### Transformation Cycle

Major factors influencing successful organizational transformation for efficiency and sustainability can be illustrated in Figure 1. Sustainable operations of organizations are linked with the values of an organizations leadership and management on the level of commitment they have toward the people, (within and outside the organization), common good of the society even if it costs the organization financially and whether they treat the community, society and environment with respect and pledge not to exploit it for profiteering. Hence, for an organization to undergo transformation for efficiency and sustainability, one of the most important change agent - after the stakeholders' intend, is organizational culture, which is in turn dominantly dictated by its leadership, management and general human resources. Cultural transformation initiated through sustained human capital development will lead the change of organizational values encouraging motivation, passion amongst staff, along with aligning with organizations vision and mission, thereby actively involving in innovation and value creation. Leadership and management of an organization should manage the human capital effectively to facilitate optimal performance of key result areas like financials, customer relations, operational efficiency, innovation, value addition to the society and environment.

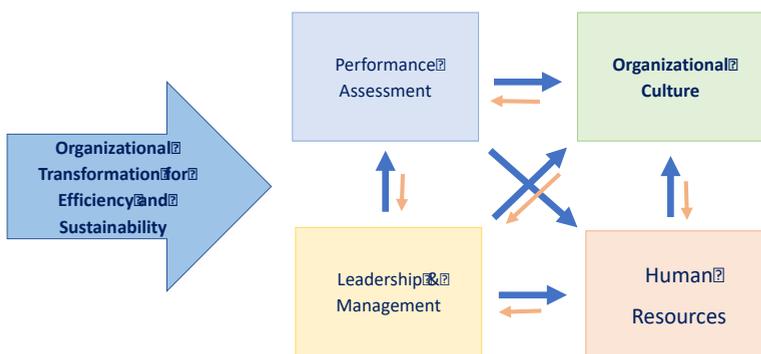


Figure 1: Important factors and ingredients of organization transformation and efficiency

### Organizational Efficiency

Corporate performance is often interpreted as an attribute of their financial wealth and value created for stake holders. As per the age-old paradigm, companies should enhance and further their financial wellbeing (Friedman, 2002). Hence most researchers tend to link success of an organization to the financial attributes and share price trends to map success. However, the new paradigms proposed by management experts tend to look at corporate performance in terms of organizational efficiency and effectiveness (Friedman, 2002), and in even larger context of sustainability considering triple bottom line (TBL) pillars of social and environment in addition to finance.

The direct correlation between organizational efficiency and corporate performance could be explained as “the greater the organizations efficiency and effectiveness, the greater is its profitability and greater its chances for continued (sustained) economic survival” (Lewin & Minton – 2004). Enterprises identify consumer demand for specific goods or services and try to fulfill these demands with the help of their manpower. Measuring profitability essentially becomes measurement of how effectively this process of fulfilling consumer demand could be done with minimum resources generating maximum profits.

### **Impact of Human Resource Function on Organizational Efficiency**

Human capital is the main pillar that any organization have to have in order for that particular organization to survive, the quality and education level of Human Capital will determine the way that the organization performance, an organization with high level and motivated people definitely should be identify as high performance organization. Performance Management of organizations consists of three main elements they are, performance assessments, training and development, benchmarking, compensation and benefits. Below we are going to discuss each element in more details;

#### **Performance Assessments**

The performance management system (PMS) can be defined as the set of “the evolving formal and informal mechanisms, processes, systems, and networks used by organizations for conveying the key objectives and goals elicited by management, for assisting the strategic process and ongoing management through analysis, planning, measurement, control, rewarding, and broadly managing performance, and for supporting and facilitating organizational learning and change” (Ferreira and Otley 2009: 264).

#### **Compensation and Benefits**

Compensation is said to be the loudest communication in an organization. Historically, Compensation and Benefits (C&B) function used to calculate the salary hikes and bonus payouts etc., however currently C&B function has assumed a strategic role of balancing the cost base on one hand and being the driver for recruiting top talent on the other hand (Zeuch, 2014). The importance of C&B from various stakeholders' views is detailed in the following section. From an employer's view point, compensation costs are the single highest cost for most companies in service industries, the quality of human resources is a deciding factor for successful sustenance of the organizations. C&B is also the most important tool to recruit right talent and retain best talent available within the organization. From an employee's view point, C&B is the fundamental pillar on which the standard of life of an employee and his dependent family is based along with it being a measure of his service and performance within the organization. From government's view point, C&B affects the national productivity, purchasing power of people and the general socio economic condition.

#### **Training and Development**

Training and development (T&D) has been a strategic tool used by organizations around the world to sustain the competitive advantage. T&D is essential for organizations to tap the potential of employees and prepare them for new challenges. T&D has also been an important parameter for potential employees looking for a role within organizations. An Organization with a well-defined and executed T&D policy is in a better position to attract quality human resources in comparison to an organization without such a policy even though the compensation and benefits remain the same in both organizations (Wick, 2006). Training programs should be aligned with the organization's vision, mission and strategic objectives. Individual training program needs to be developed based on the need to achieve departmental objectives as well individual objectives, in turn collectively the organizations objectives. (Thomaskutty, 2010)

#### **Employee Retention:**

It is generally observed that the employees commitment to stay with an organization depends on not just one but a group of factors. These factors include compensation, appreciation at workplace, career development opportunities, work life balance, work environments, behavior of supervisors and colleagues, work pressure etc. Retention of valuable human resources is vital for an organization to succeed. Furthermore, talent retention is critical for organizations for two reasons; (i) turnover is highly expensive (ii) top performers are main drivers of businesses (Kossivi, Xu et al. 2016).

#### **Summary:**

Summarizing the discussion, core competencies of an organization such as technical knowledge, organizational competencies like optimal and mature business processes/risk resilience etc. are embedded within the human capacity of organizations. If the organization employs values and retains the right human capital with suitable education, professional

experience, attitude, and motivation, it could succeed in long term. The objectives and values of staff and management should be aligned with the organization's vision / mission; human capital in such organizations will be a strategic asset, driving transformation of the organization through innovative ideas delivering continuous competitive advantage (Gardelliano, 2005).

Employees of a company could make or break the future of the organization. Motivated staff would be passionate about their jobs, delivering results and driving innovation to increase the operational efficiency, whereas demotivated employees will pull the morale down of entire workforce. Demotivated employees will be less productive, creative and resistant to change as they would be on the lookout for better opportunities and least interested in the affairs of the organization.

Investing in human resources through corporate trainings, well calibrated compensation and benefit policies etc. might be seen as unwanted cost by profit oriented leadership / management. However, they fail to understand the magnitude of skillset and knowledge that the organization loses when an employee leaves such an organization. Trainings provided to employees have a direct impact on the operations. Adding new skillsets will improve the productivity of the employee and increase the utilization along with having major impact on the motivation of the employee. Trained employees would also act as ambassadors spreading knowledge acquired through trainings to their subordinates thereby increasing productivity and saving additional training costs.

Knowledge acquired through formal education courses / trainings / conferences / seminars etc. also helps in expanding the horizon of thinking of the employees, making them knowledge ambassadors within the community and whole society. It is imperative that organizations that are looking forward to transformation, particularly to a sustainable one, need to invest on long term human resource development rather than wasting all sorts of resources by cost cutting exercises through layoffs as a short-term measure. Such cost reduction initiatives will be suicidal in the long run as the organization would have drained off its capacity when it needs knowledge and talent to turn around an organization.

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## **Statistical Analysis and Evaluation of Changing Trend of Woman Employment in Turkey in Globalization Conditions**

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### **Abstract**

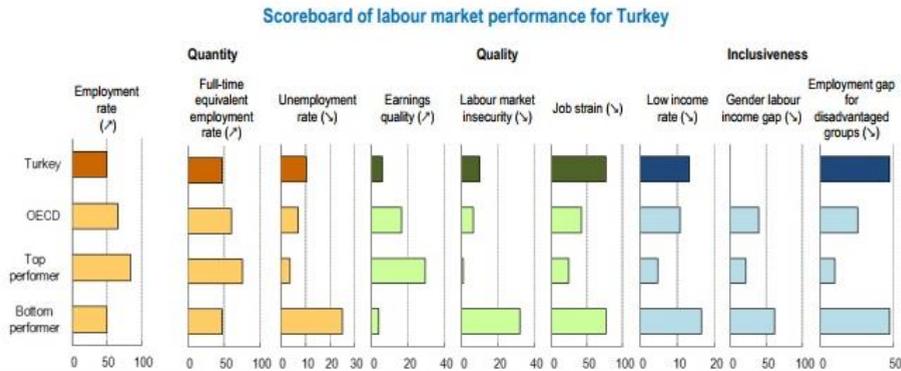
Women in the status of a milestone in a family, who can also become the mother, are given more responsibility compared to man. In this sense, working woman has some very crucial responsibilities both individually and socially and economically. Besides these roles, the involvement of women comprising almost half of the population in working life actively and contribute to production is of importance in the development of country and fight against poverty. Therefore, in the current time, a great many incentives have been given in socio-economic sense recently in order to increase the woman employment in Turkey, which is much behind OECD data, to the desired level. However, even though the activity in woman employment has partly improved quantitatively in recent years despite these measures, necessary improvement in providing them a proper job qualitatively have not been obtained. Some reasons for this could be summed as follows: gender discrimination, inadequate growth, scarcity in proper job, lack of innovative and entrepreneurial education model for labour market, rapid urbanization, qualitative labour force, job experience etc. Women could only find an opportunity for a job in atypical working forms such as easiest one, without a union, without protection, demanding a cheap labour force with sub-employers. In this sense, in the current study that was carried out to describe women employment in Turkey, it was aimed to investigate involvement in labour force, working types and conditions. The method to be used in the study was planned as determining and evaluating the condition in the working life of women and changing trend in the country with a basis of examining current national and international studies and statistical data with regard to woman employment in the last five years.

**Keywords:** Woman Labour Force, Unemployment, Employment Trend, Reasons and Solutions

### **1-Introduction**

Active involvement of women comprising almost half of the population of the country into working life is of great importance in the development of a country and in the struggle with poverty. However, despite all efforts, the rate of the women involvement in the workforce in Turkey as a developing country is around 34%. According to latest 2017 OECD report, women in Turkey take its place much below the average of OECD countries in terms of the level at the rates of both workforce and involvement in employment (OECD.Employment-Outlook-Turkey-2017.pdf). In this sense, depending on such international foundation reports as OECD and ILO, the status of the women employment in Turkey shows that it is at the low levels in terms of such qualitative tasks as being able to get equal job and carried in the parliament and public service, being an employer, secured job, gender equality, having the right of being a member of a union, job befitting to a socially secured person as the universal criteria having a significance for the equal presentation they have and working rights in the country. As shown in Table 1, even though there is a partly improvement in the involvement of women in employment quantitatively according to similar criteria because of increasing incentives and social policies in Turkey in recent years, the same improvement cannot be observed in quality. Unfortunately, there are some lacking quality such as gender discrimination, wage level, proper job, obtaining qualitative working conditions in the sense of job and home balance. Information about 2017 OECD-Outlook Report showing the quality level of Turkey in women employment is given in Table 1.

**Table 1. Performance Level of Employment in Turkey**



Note: An upward ↗ (downward ↘) pointing arrow for an indicator means that higher (lower) values reflect better performance.  
 Earnings quality: Gross hourly earnings in USD adjusted for inequality. Labour market insecurity: Expected monetary loss associated with the risk of becoming unemployed as a share of previous earnings. Job strain: Percentage of workers in jobs characterised by a combination of high job demands and few job resources to meet those demands. Low income rate: Share of working-age persons living with less than 50% of median equivalised household disposable income. Gender labour income gap: Difference between average per capita annual earnings of men and women divided by average per capita earnings of men. Employment gap for disadvantaged groups: Average difference in the employment rate for prime-age men and the rates for five disadvantaged groups (mothers with children, youth who are not in full-time education or training, workers aged 55-64, non-natives, and persons with disabilities) as a percentage of the employment rate for prime-age men.  
 Source and definitions: OECD calculations using data for 2015 or latest year available from multiple sources. See [OECD Employment Outlook 2017](#).

Women in Turkey are mostly intensified in atypical working fields with low wage, flexible, with no insurance and long and strong working conditions developing as a result of neoliberal policies caused by globalization (Karadeniz-2011). As seen in the table below, agriculture sector as a working field, small businesses, textile sector and basic work needing no qualification and health, elderly and childcare services which cannot be easily recorded could be given as examples. The sectors with rare women workforce could be given as high level management, public service, jurisdiction, industrial affairs and business and trade affairs.

**Table 2. Common Women Occupations in Turkey (2012, Thousand person, 15+ age)**



Because of the reasons mentioned, the country with highest score according to the 2016 Global Gender Gap of World Economic Forum is Island while Turkey had its place at 130<sup>th</sup> rank among 144 countries (<http://www.dw.com/tr/türkiyenin-cinsiyet-kamesi/>). The most important indicator of women employment quality is the rank of gender discrimination. As

given Table 3 which was arranged according to the geographical features of countries in this issue, Southern Asian countries where Turkey is included are not in a good position in Gender Discrimination in terms of Workforce Involvement and it shows that Turkey has a performance close to Western African and Middle East countries (ILO,2017).

**Table 3. Labour force participation rate by sex (per cent) and gender gap (percentage points), 1997-2021**

Country/region	1997–2017	2017		2018			2018–21	
	Gap	♂	♀	Gap	♂	♀	Gap	
World		76.1	49.4	26.7	76.0	49.3	26.7	→
Developing countries		82.6	70.3	12.3	82.6	70.3	12.3	→
Emerging countries		77.5	46.9	30.6	77.4	46.7	30.7	↑
Developed countries		68.0	51.9	16.1	67.9	51.8	16.1	↓
Northern Africa		74.1	22.9	51.2	74.1	22.9	51.2	↓
Sub-Saharan Africa		76.3	64.6	11.7	76.4	64.7	11.7	→
Latin America and the Caribbean		78.3	52.7	25.6	78.3	52.7	25.6	↓
Northern America		68.3	56.2	12.1	68.1	56.1	12.0	→
Arab States		76.4	21.2	55.2	76.3	21.3	55.0	↓
Eastern Asia		76.8	61.3	15.5	76.6	60.9	15.7	↑
South-Eastern Asia and the Pacific		81.2	58.8	22.4	81.1	58.8	22.3	→
Southern Asia		79.4	28.6	50.8	79.5	28.7	50.8	↓
Northern, Southern and Western Europe		63.8	51.3	12.5	63.8	51.2	12.4	↓
Eastern Europe		68.1	53.0	15.1	67.9	52.9	15.0	↓
Central and Western Asia		73.5	44.1	29.4	73.5	44.1	29.4	→

Notes: Throughout this report, figures for 2017 and beyond are projections. Developments for the period 2018–21 are marked with a red upward arrow if the gap is projected to widen by more than 0.1 percentage points, by a green downward arrow if it is projected to narrow by more than 0.1 percentage points, and a black horizontal arrow for developments in between. Numbers in the “Gap” columns refer to the percentage point difference between the male and female labour force participation rates or the change over time but may not correspond precisely due to rounding.

Source: ILO's Trends Econometric Models, November 2016.

Even though women employment has partly improved quantitatively, necessary improvement has not been obtained qualitatively. In order to increase women employment in Turkey to the desired level, a great many incentives have been given recently, particularly socio-economic ones. As a result of the studies mentioned, an improvement has been obtained in the economy but there hasn't been a decrease in unemployment at the desired level. However, a partly increase has been obtained in women employment, nevertheless, similar improvement has not been obtained in getting a qualitative occupation (Source: TÜRKONFED 1. Faz Rapor-2017, Yıldız-2013). According to TSI (Turkish Statistics Institution) July-2017 data, non-agriculture men unemployment in Turkey was 12.4% while non-agriculture women unemployment was around 17.7%. In this sense, the primary problem of Turkey, as the outcomes of questionnaires reveal, seems to be unemployment and woman poverty after terror problem. For that reason, the state was regarded as responsible for guaranteeing the right to work as a social state principle, which is one of the basic principles of the constitution (1982, Const., Art. No 10, 50) (Ülger, 2017:24). As a matter of fact, this issue was mentioned in such international texts as Human Rights Declaration, CEDAW, European Social Charter, and ILO and the state was regarded as responsible primarily for the solution of the problem (<http://www.tbmm.gov.tr>). However, in the current issue, despite the efforts made, the problem of women unemployment is still rising in Turkey keeping its importance (Table ILO -2017).

In order to fight against woman problem actively in the current process, it is necessary to deal with such problems as education, woman and man discrimination, job and family life balance and lack of proper job. The most intensive part of the atypical working forms employing cheap workforce that is caused by globalization conditions, neoliberalism and excessive competition environment is made up of women and young people as the disadvantageous part of the population in Turkey as in the world (Tire, 2017).

For that reason, women unemployment is one of the problems with a priority in Turkey. The employment status and quality of the workforce countries have is one of the basic indicators of the economic developments in these countries. It is necessary that countries must include the workforce they have into production in an active way for development, as workforce is the most valuable and strategic one of the production factors just like the head in the human body. However, the women who are expected to become the motor power of the country in the development of the country in current

conditions regarding the reasons mentioned could remain in an idle position because of lack of necessary opportunities. This study provides insights into women employment problematic in Turkey. Accordingly, the study begins with the definition and the measurement way of women employment and unemployment. Causes of women unemployment and the recent global labour market trends concerning women are examined. The structure of women employment and the characteristics of women unemployment in Turkey are discussed. The study is completed with the conclusive remarks comprising suggestions to policy makers concerning the issue.

## 2-Methods

Major data in this study have been obtained from International Labour Office-Key Indicators of Labour Market (KILM), Turkish Statistical Institute (TUIK) and Organization for Economic Corporation and Development (OECD). Moreover, the related literatures have been used. Statistical methods such as means and percentages have been used in the study.

## 3-Findings and Discussion

Just as the fact that a person can use his right arm in his life but cannot use the left arm effectively is of importance, it is also important that women has a proper job and involve in employment for both a community and woman individuals. As a matter of fact, the similar finding in the report by International Labour Organization (ILO) in 2017 with regard to the importance of this problem called "Global Trends in Women Employment" are quite striking. According to ILO, with the elimination of other handicaps peculiar to country by decreasing gender discrimination particularly, both women and community and economy will gain very significant benefits. It is also estimated in the up-to-date report of ILO that if current difference between women and men could be decreased in terms of the rates of global involvement in workforce as 25%, the reflection of it to the global economy would be 5.8 trillion dollars (ilo.2017.world.pdf). For that reason, as many international expert institutions mentioned, Turkey, paying the token of women employment problem heavily, is at the 130<sup>th</sup> rank among 145 countries in the field of Turkey Economic Involvement and Opportunities according to the report of "Global Gender Inequality" of World Economic Forum (WEF) 2015 and it is indicated that Turkey does not deserve such a rank and it is expected to improve its place. In order to realize it, it is necessary that the education level of women in Turkey, which is of importance in catching the real involvement in the social and economic life (key role in involvement in employment) as well the success, must be increased depending on the work marked and the occupations in the future; as Turkey is still at a bad performance level of 105<sup>th</sup> rank in woman education according to WEF 2015 report. In this sense, it is of great importance to solve the problems women employment such as income distribution, poverty, and social welfare. It is of vital importance to deal with some basic indicators with regard to the women employment in Turkey in order to clarify the dimensions of the problem.

As for the profile of women employment in general employment in Turkey, it is likely to say that according to TSI 2016-2017 data, 40 million of the population is made up of men and 39 million is comprised of women in Turkey, which is regarded as a developing country as shown in the table. In the period of 2016, while men employment rate of 14-65 age group is 78%, the rate of women employment is 38%, the rate of involvement in workforce in men is 71% and 32% in women. The rate of women neither in education nor in employment is 34% while it is 13.8% in men. The rate of non-agriculture unemployment in women is 19%, it is 9.9% in men (Table, 4).

**Table 4: Seasonally Unadjusted Basic Workforce Indications. June 2016 – June 2017.**

	Total		Male		Female	
	2016	2017	2016	2017	2016	2017
	(Thousand)					
15 years of age and over	58 686	59 855	29 012	29 629	29 674	30 226
Population	30 778	31 954	20 984	21 642	9 794	10 312
Workforce	27 651	28 703	19 075	19 783	8 576	8 920
Employment	5 577	5 757	3 003	3 079	2 574	2 678
Agriculture	22 074	22 946	16 072	16 704	6 001	6 242
Non-agriculture	3 127	3 251	1 909	1 858	1 218	1 393
Unemployed	27 908	27 901	8 028	7 987	19 881	19 914
Those not included in the workforce						
Rate of involvement in workforce	52,4	53,4	72,3	73,0	33,0	34,1

Rate of employment	47,1	48,0	65,7	66,8	28,9	29,5
Rate of non-agriculture unemployment	10,2	10,2	9,1	8,6	12,4	13,5
	12,2	12,2	10,4	9,9	16,7	18,0
15-64 age group						
Rate of involvement in workforce	57,5	58,6	78,0	78,8	36,8	38,2
Rate of employment	51,5	52,5	70,8	78,8	36,8	38,2
Rate of unemployment	10,4	10,4	9,3	8,8	12,7	13,8
Rate of non-agriculture unemployment	12,3	12,3	10,5	9,9	16,8	18,1
Young Population (15-24 age)						
Unemployment rate	19,4	20,6	17,4	17,2	22,9	26,8
Rate of those neither in education nor at employment (1)	23,8	24,0	14,7	13,8	33,0	34,5

The number might not give the overall total as they were not rounded up.

(1) The rate of youth nonworking and not included in education (formal and widespread) in total youth population.

Source : TSI-2016-2017

Another indicator regarding the quality of woman employment is the sense of gender discrimination encountered in employment.

When it comes to the types of women employment, the involvement of women in employment, mostly in the service sector, increased year by year, as given in Table 5. However, women workers with their peculiar status only work near to men only in the agriculture sector.

**Table 5: Sectors Working According to Gender in Turkey**

15 years of age and over	2014		2015		2016		2017 (June)		
	Men	Women	Men	Women	Men	Women	Men	Women	
Sectoral Distribution of Employment	18.244	7.689	18.562	8.058	18.893	8.312	19.784	8.933	
Agriculture	2.937	2.533	2.956	2.527	2.920	2.384	3.079	2.678	
Industry	4.080	1.236	4.101	1.231	4.058	1.239	4.098	1.285	
Construction	1.832	79	1.843	70	1.904	83	2.094	91	
Service	9.395	3.841	9.662	4.230	10.011	4.606	10.513	4.879	

Source: TSI 2017- HHA

Another factor showing the quality in women employment in countries is that one can work in the public service which is mostly preferred as it has insurance. As shown in Table 6, men are overwhelmingly on the forefront in terms of public service employment.

**Table 6: Distribution of Public Workers Regarding Gender**

Gender	Total Worker	Rate of Workers (%)
Women	1.171.816	37.80
Men	1.928.153	62.20
Total	3.099.969	100.00

Source: State Personnel Department Presidency Statistics-2013

As of occupational branches worked, men are in the forefront at such occupations as high level manager with a rate of 90.7%, professor as 71.8%, judge as 63.7% and policeman as 94.5% compared to women. It is known that women come near to men only in such elite professions as professor with a rate of 28.2%, judge with a rate of 36.3% (TSI, Women through Statistics; 2013).

While the majority of women employment in Turkey is comprised of waged works as 65%, family workers working free of charge are in the second place with a rate of 28.4%. The rate of women working as employers is only 10%. It shows that this rate of being an employer is behind that of EU level, which is 27%. Statistics show that 46.1% work out of record. The rate for men is 28% (TSI-2015). According to all these key indicators regarding Turkey, women are behind men in labour life.

Even though it matches up with the developing countries in the world, there are some problems putting preventing women employment peculiar to Turkey. Up-to-date table of ILO showing the components preventing women employment allowing to make a universal comparison between global problems and those of Turkey give the details (Table 7).

**Table 7: The Weight of Elements Preventing Women Employment According to Geographic Regions**

	Prefer to work	Challenges reported in the labour market					Unequal pay
		Work and family balance	Lack of affordable care	Family members don't approve	Abuse/harassment/discrimination	Lack of good-paying jobs	
World	79.2	24.6	9.6	4.3	10.3	9.5	6.5
Northern Africa	69.9	30.5	6.5	5.6	24.5	7.9	3.1
Sub-Saharan Africa	85.4	19.2	11.9	5.8	14.9	7.9	3.4
Latin America and the Caribbean	74.9	22.5	14.2	3.6	9.6	7.7	6.1
Northern America	79.1	23.0	7.5	0.8	10.0	2.6	31.8
Arab States	70.5	29.4	4.5	7.5	9.8	9.1	3.8
Eastern Asia	79.8	21.7	22.4	1.2	6.7	7.4	3.6
South-Eastern Asia and the Pacific	81.2	26.6	7.3	1.2	8.8	6.6	5.8
Southern Asia	55.1	20.0	8.3	11.3	11.3	4.5	2.3
Northern, Southern and Western Europe	84.8	33.9	5.1	1.4	8.0	6.5	14.0
Eastern Europe	75.4	25.0	4.4	0.7	6.1	23.8	7.0
Central and Western Asia	79.8	23.2	8.7	8.6	6.9	16.7	3.5

*Notes: This table accounts for the survey sample of a total of 70,561 observations representing the survey responses of women in 127 countries. Population weights are applied accordingly to achieve equal country representation. Results may vary slightly to those published in Gallup-ILO, 2017 due to country coverage. Darker shading indicates the top two challenges in the region. See Appendix C on weighting methods.*

Source: Gallup-ILO-2017

There are many reasons triggering poverty, pulling women into a disadvantageous inertia position making it different from developed countries. Some of them are; difficulty in having an access to qualitative job and education, roles of childcare and elderly care, scarcity of qualitative job in labour market, unattractiveness of unqualified jobs with low wages, preserving home and work balance. Besides that, the biggest handicap in the evaluation of woman workforce potential in Turkey well enough results from the fact that the prejudice of baseless gender discrimination in the community cannot be broken, which is not related to Turkish-Islam culture encouraging women as every other individuals to be beneficial for humanity (as a producer) with such golden key discourses as "The best of people are those who are most beneficial to other people", "Learning science is obligatory upon both man and woman", "The giving hand is better than taking hand", "If two days of a person are equal, he is in loss", "Paradise is beneath the feet of mothers" with an idea of training qualitative people (Acar,2015). The main problem results from illiteracy and from the prejudiced perspective for women who are the main stones of a healthy community. For that reason, there is a serious need for following up a positive discriminative attitude toward our daughters and women who have to start a disadvantageous life in unconscious societies by having such a prejudiced attitude. In the sense of standing still on her own and having a tie with life, providing adequate education and proper job opportunities required by the positive discrimination principle written in the constitution of a social state in order to improve the skills of poor and needy women in disadvantageous position particularly in developing countries like Turkey is of great importance.

### Conclusion and Recommendations

Training women having the most strategical significance in the development of communities and preparing the people for the future would only be possible through making them have a fully equipped job in all sense. Otherwise, becoming free from the position of a weak country accepting aids and orders is hard as it is not possible to run with only one leg. In general, the problem of woman employment which is peculiar to underdeveloped or developing countries has some many dimensions such as gender discrimination, lack of proper and humanely job, work and family balance problems. However, as a solution, it is necessary at first hand to believe the importance of the involvement of women, the milestones of a community, in employment principally. In addition, it is expected that the state as the as the main role player must be leading in solving all problems comprising a handicap for women employment as a principle of a social state in the constitution through international treaties (UN CEDAW, ILO) to support the development of a society (Turkish Constitution, Articles 10, 41, 49, 50); as solving the problem of women employment leading to chaos in the globalization conditions bringing about

an excessive comparison peculiar to our age do not look so easy. For these reasons, it is necessary provide qualitative vocational education to allow women to improve their talents, a nursery school where they will not have any familial problems, social service aids like care and bus service etc., a proper job, secured but flexible working conditions and opportunities in order to solve such preliminary problems preventing women employment. As a conclusion, it is known to us that women who are in a disadvantageous position in many ways compared to men in a society are prone to any kind of exploitation mainly to labour in the materialist, excessive competition working environment as a product of a capitalist system. As a solution, it is necessary to support women through social policies to be followed by all official and voluntary institutions in a society in order to prevent such kind of destructive problems.

It is necessary for a healthy result to get the balance of production-consumption and wage trio in economies in the first hand in order to prevent women unemployment and poverty. For that reason, making all the activities to be carried out both at micro and macro levels aiming at competing against the women unemployment to have a focal point of teaching people how to catch fish instead of giving them fish and of a good employment should be evaluated as the most important task out of the ones envisaged as the principle of a social state. Because of all these reasons, making the young adapt to society means making them employed first.

It is likely to say in this context that the eventual exit is to give them equal opportunity in work life, politics, economy, in all stages of life to take active responsibility and provide them with the chance to involve in the decision making positions at every stage.

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## Innovation and Sustainability

Dr. Mukadder GÜNERİ

### Abstract

When we look at the history of humanity, it is seen that mankind has been experiencing a process of change that has not lived to this day. This process we are in is called globalization. There are many opinions about the happiness and the unhappiness of mankind related to globalization. Globalization is on the verge of questioning what sustainability will bring when it is thought of in the long run. On this result, when we search for answers to questions about what you can sustain; when we look for answers to this question, what is sustainability? Innovation comes to the forefront, which is two dimensions, technical and organizational. Whether the individual the private or the public the conditions of innovation are reflected in education and training. In the process we are in today (the developments in economic, cultural and socio-economic relations between countries), it is evident that it is imperative to have education and training to respond to the sustainability of innovation conditions. All these principles make life, life style. That is, to acquire information, to produce information, to produce common values, to protect social and individual values in the common values produced, to adapt to the rapid development of technology, to increase quality of life in existing conditions, to produce added value in existing conditions and to maintain its sustainability. In this work, the relevance of innovation to sustainability has been examined in a classical way.

**Keywords:** Education, Innovation, Sustainability.

### 1. Introduction

1.1. In today's world, which is called globalization, rapid changes in the field of technology show the influence of every field, both inside and outside conditions. This interaction is felt in every aspect of life, including military, economic, administrative, cultural, political and social. When we look at the changes that result from this interaction, "sustainability" seems to be important. The driving force of sustainability is the fast-paced innovation in communication technology, which facilitates the flow of information in both internal and external contexts.

1.2. Education and teaching are at the forefront of innovations that can be sustained both internally and externally (sustainability, roughly speaking, to keep things started or initiated).

### 2. General Table

2.1. Technological innovations ----- < > -----> Globalization. 2.1.1. Internal and external interaction----> 2.1.1.1. Military, 2.1.1.2. Judicial, 2.1.1.3. Economic, 2.1.1.4. Administrative, 2.1.1.5. Cultural, 2.1.1.6. Social, 2.1.1.7. Politics.

2.1.2. Interaction(innovation) -----> 2.1.3. Sustainability ----> 2.1.4. Education. 2.1.4.1. Basic Education(primary school---> Higher education), 2.1.4.2. Specialization, 2.1.4.3. Life long Learning.

### Result

As can be seen from the above table, the interactions seen in all areas of life are seen as keywords of "innovation", "sustainability" and "education", that is, globalization, as individuals or as societies. Moreover, the "life-long learning" in today's world is clear that the day will grow more and more.

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## Can Mobile Learning Be An Opportunity for Undergraduate Teacher Education?

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### Abstract

The purpose of research is to determine the usability of mobile learning in undergraduate teacher education. In the first part of the study, researches on mobile learning opportunities in undergraduate teacher education and teacher education are examined. In the second part of the study, infrastructure and readiness for mobile learning of prospective teachers are examined in terms of some variables. The research is designed in survey model. The sample of the research is composed of 454 prospective teachers who study in the 1st and 4th grade of Firat University Faculty of Education. Participant demographic form and the readiness scale for mobile learning developed by Lin, Lin, Yeh and Wang (2016) adapted to Turkish by GŖkçeaslan, Solmaz and Kukul (2016) is used as data collection tool. Statistical techniques such as mean, frequency, percentage, t test, one way anova are used in the analysis of the data. The research findings revealed by examining the relevant researches show that mobile learning offers important opportunities for undergraduate teacher education. Prospective teachers have mobile tools necessary for mobile learning and have opportunities access to internet. It is determined that prospective teachers frequently use mobile tools and use mobile tools partially for educational purposes. It is determined that the level of prospective teachers' readiness for mobile learning has partially high ( $\bar{X} = 3.60$ ) and the level of prospective teachers' readiness for mobile learning is not differ according to gender, educational level and department variables. But prospective teachers' readiness for mobile learning differs according to the daily average internet usage time. The results of the research show that mobile learning is an approach that should be taken into account for undergraduate teacher education.

**Keywords:** Mobile learning, readiness for mobile learning, undergraduate teacher education.

### Introduction

Today, there are rapid developments in information technologies. Today's developments in information technology affect the social lives, professional lives and habits of individuals(Wang & Li, 2012). One of the most important factors that brought about this effect is mobile devices. Because mobile devices are often used at all ages, ubiquitous and offer significant opportunities for information access and learning(Abusson, Schuck & Burden, 2009; Hussin et al., 2012; Newhouse, Williams, & Pearson, 2006). These devices make our daily life a big deal easier(Iřık, Ŗzkaraca & GŖler, 2011, Yılmaz, 2011). Also the usage of mobile devices for mobile learning is becoming increasingly popular (Jacob and Issac, 2008). So, one of the concepts that have emerged in recent years in this context is mobile learning.

### What is mobile learning?

Increase of portable computing/communication devices such as laptops, PDA(Personal Digital Assistant)s, smart phones, ipads connected to wireless networks enable mobility and facilitate mobile learning (Jacob & Issac, 2008). For this reason, the concept of mobile learning attracts researchers and practitioners recently. There are several definitions of mobile learning in literature. According to Quinn (2000), one of early definitions of mobile learning, "mobile learning is learning through mobile computational devices". Similarly according to Traxler (2005) mobile learning is "any educational provision

where the sole or dominant technologies are handheld or palmtop devices". Early definitions of mobile learning was simply use of palm as a learning device and they are centered on technology (Crompton, 2013). But there have been differences in definitions over time. O'Malley et al. (2003) defined mobile learning "any sort of learning that happens when the learner is not at a fixed predetermined location, or learning that happens when the learner takes advantages of learning opportunities offered by mobile technologies. Later definitions of mobile learning contains elements such as contexts, pedagogy, etc. (Crompton, 2013). According to the Walker (2006), mobile learning is not learning just using mobile devices, is learning between contexts. According to Crompton (2013), who studies this transformation in the concept of mobile learning, mobile learning is "learning across multiple context through social and content interactions, using personal devices. Mobile learning definitions are changing and different dimensions are emphasized over time (Baran, 2014).

### **What are the advantages and disadvantages of mobile learning?**

Researches have revealed that mobile learning has many advantages. The most important advantage of mobile learning is that it allows us to learn anywhere and at any time (Attewell, 2005; Cheong & Park, 2005; Geddes, 2004; Traxler, 2007). Mobile learning, is not just delivering contents via devices, play a facilitator role in for learning occurs different time and context (Pachler, Cook, Bachmair & Kress; 2010). There are many research towards how mobile learning applications effect academic achievement and attitude (Al-Fahad, 2009; Chen, 2013; Cheon et al., 2012; Ciampa, 2014; Jaradat, 2014; Kutluk & Gulmez, 2014; Martin & Ertzberger, 2013; Sur, 2011), engagement and interest (Hwang & Hsun, 2011; Wang et al., 2009; Ozan, 2013). Also there have been studies that demonstrated that mobile learning itself can be an effective learning approach or even better than traditional face-to-face lecturing approaches (Shih et al., 2010). Advantages that opportunity to learn without limit of time and place, increase the academic achievement, interest/engagement and motivation to make it possible to self directed learning increases the importance of mobile learning. Therefore mobile learning can be considered as an approach that should be taken into account in all levels of education today.

Mobile learning has some limitations as well as many advantages. The most comprehensive and systematic classification of the disadvantages of mobile learning in terms of learners was made by Shudong and Higgins (2005), (Çelik, 2013). The disadvantages of mobile learning are classified as technical, psychological and pedagogical. Mobile devices have some technical limitations in terms of mobile learning such as online connection status, costs, storage capacities, band width and specific security issues, lack of standardization and compatibility etc. (Shudong & Higgins, 2005; Franklin, 2011; Behera, 2013). Psychological limitations are also important for mobile learning. The effectiveness of mobile learning can vary depending on the characteristics of the person (Sha et al., 2012). As well as some pedagogical limitations of mobile learning. Some technical limitations such as online connection status, lack of standardization, feedback problems etc. can cause pedagogical limitations (Shudong & Higgins, 2005). Technical, psychological and pedagogical limitations for mobile learning may be connected each other. According to Chu (2014) mobile learning ineffectiveness could be caused by the heavy cognitive load as a result of an improper learning design. So the design of the mobile learner is important. If properly facilitated, mobile learning can be of great benefit to learners by providing instructional materials and interaction through their mobile devices wherever and whenever they are on the move (Jacob and Issac, 2008). So, only well-designed mobile learning can offer qualified learning opportunities.

### **Mobile learning in Teacher Education**

The rapid developments in science and technology in the 21st century have led to the redefinition of some educational concepts and the emergence of some new concepts. The concepts we need to focus on in this research context are the teaching profession and mobile learning. In this new definition, teaching is defined as a profession that requires lifelong learning (European Commission, 2005). Lifelong learning emphasizes that learning is continuous without depending on time and location (Güleç, Çelik & Demirhan, 2012). When situation evaluated in this context, mobile learning, which offers learning opportunities independent of time and space, offers valuable opportunities for the training of teachers and prospective teachers. Prospective teachers should develop their lifelong learning process starting from the in service training. Because Today, teaching profession is more difficult and complicated than in the past. Teachers are expected to update and develop their skills so that they can meet the high academic standards required for them today and this is possible with professional development (Craft, 2001). Professional development is also a concept associated with lifelong learning (Scales, 2011). It is expected that undergraduate teacher education should start the professional development process of prospective teachers. For this reason mobile learning can offer important opportunities for the professional development of prospective teachers as well as other opportunities (Abusson, Shuck & Burden, 2009; Christensen & Knezek, 2017). According to Öz (2014), prospective teachers have mobile devices for mobile learning and want to use them in lessons. While the majority of the existing research has focused primarily on the value of mobile learning for

students, researchers have recently started exploring its potentials within teacher development (Abusson, Schuck & Burden, 2009; Baran, 2014). Although mobile learning has an important potential for teacher education it is under-theorized in teacher education (Kearney & Maher, 2013). Therefore, more research on the use of mobile learning in teacher education (Baran, 2014).

It is aimed to investigate whether mobile learning is an opportunity for teacher education in current research. The studies on mobile learning for this purpose shows that mobile learning can be an important opportunity for teacher education. Because mobile learning can both contribute to lifelong learning process of teachers and also increase the qualification in undergraduate teacher education. In the second part of the research, a survey is conducted with a sample of prospective teachers in order to provide evidence supporting this situation. In this context, infrastructure and readiness of prospective teachers for mobile learning are examined. Mobile learning infrastructure defines network devices, accessibility and availability of internet to learners and its important for mobile learning (Khan et al., 2015). Mobile tools that prospective teachers have, internet access status, daily average internet usage time and mobile devices usage in lessons for educational purpose are investigated in the context of infrastructure for mobile learning. These features form the basis for the mobile learning of the prospective teachers. The other important dimension for mobile learning is readiness. Readiness; a variable often emphasized and measured in distance education, e-learning, mobile learning and online learning research (Horzum & Çakır, 2012; Hukle, 2009; Kaymak & Horzum; 2013). Also readiness is one of the important individual difference variables that affect individuals' acceptance and effectiveness of mobile learning (Hung et al., 2010; Lin et al., 2016). So, it is thought that the prospective teachers' readiness for mobile learning should be examined in current research.

### **Purpose of Research**

The purpose of the research is to determine the usability of mobile learning in undergraduate teacher education. In this context, following questions will be answer:

How are mobile learning opportunities that prospective teachers have?

Which are mobile devices prospective teacher have?

How are prospective teachers' internet access opportunities?

How is prospective teachers' daily average internet usage time?

How are prospective teachers' educational usage of mobile devices?

What is the level of prospective teachers' readiness for mobile learning?

Does readiness for mobile learning of prospective teachers differ according to

Gender?

Education level?

Department?

Daily average internet usage time?

### **Method**

Research Model: Survey model is used for this research. The survey model is a research approach aims to describe a past or existing situation as it exists (Karasar, 2005, Köse, 2013). This study also describes participants' infrastructure and readiness for mobile learning.

Participants: Target population of research consist 454 prospective teachers who study in the 1st and 4th grade of Firat University Faculty of Education during the 2016–2017 academic year. Appropriate sampling method was used in the selection of participants. Demographic characteristics of the participants is given in table 1.

Table 1: Demographic characteristics of prospective teachers

	N	%
Gender Female	318	70
Male	136	30

Education Level 1.	181	39,9
4.	273	40,1
Department Social Sciences Education	151	33,3
Math and Science Education	150	33,0
Computer and Instructional Technologies Education	83	18,3
Basic Education	70	15,4
Total	454	100

Shown in table 1, %70 of prospective teachers are female, %30 of them are male. Departments of participants are ; %33,3 social sciences education, %33 math and science education, %18,3 computer and instructional technologies education, %15,4 basic education.

Instruments: The data collection tool consists of two parts. Participant demographic form developed by researchers and the readiness scale for mobile learning developed by Lin, Lin, Yeh and Wang (2016) adapted to Turkish by Gökçeaslan, Solmaz and Kukul (2016) is used as data collection tool. Participant demographic form contains information related to demographics of participants. Original form of readiness scale for mobile learning, developed by Lin, Lin, Yeh and Wang (2016), contains 3 factors (self-efficacy, optimism, self directed learning) and totally 19 items. The scale explains 68.40% of the total variance. The Croanbach Alfa coefficients was calculated for whole scale; .938, for the self-efficacy subscale .908, for the self directed learning subscale .913, for the optimism subscale .913. Readiness scale for mobile learning was adapted to Turkish by Gökçeaslan, Solmaz and Kukul (2016). Linguistic equivalence, exploratory and confirmatory factor analysis were carried out within the scope of validity and reliability studies. As a result of the validity and reliability studies, 3 factor(self-efficacy, optimism, self directed learning) and totally 17 items five likert type scale was obtained. The adapted version of scale explains 76.90% of the total variance. The Croanbach Alfa coefficients was calculated for whole scale .95, for the self-efficacy subscale .94, for the self directed learning subscale .89, for the optimism subscale .95. Validity and reliability studies related to scale indicate that the scale is valid and reliable. For this research, Croanbach Alfa coefficients was calculated for whole scale .91, for the self-efficacy subscale .89, for the self directed learning subscale .80, for the optimism subscale .81.

Procedure: The collected data was transferred to the computer after checking and making necessary arrangements. Using parametric statistical tests in analysis of research is a desirable situation in terms of generalizability and reliability of results. But some preconditions(normal distribution, equal variance etc) must be met in order to use parametric statistical tests. For this reason, the data were organized by checking descriptive statistics such as standard deviation, mode, median, skewness, kurtosis and z scores to ensure normality of the data obtained in the study. In this procedure performed for the data, -3, +3 interval is taken as the criterion for z value. 12 data were extracted from the analysis according to this criterion. After this process normal distribution of the data was observed. Descriptive statistics, including frequency, percentage was used for the analysis related to mobile learning opportunities that prospective teachers have. Mean and standard deviation were used to determine the level of the prospective teachers' readiness for mobile learning. Independent sample t test was used to examine the prospective teachers' readiness for mobile learning according to gender and education level variable. One way anova was used to examine the prospective teachers' readiness for mobile learning according to department and daily average internet usage time. Scheffe test was used to determine differences between groups.

## Findings

In this section, there are findings related to infrastructure for mobile learning and the readiness of the prospective teachers for mobile learning.

### Findings related to infrastructure for mobile learning of prospective teachers

Mobile devices that prospective teachers have, the internet access status of prospective teachers and mobile devices usage in lessons were investigated to determine infrastructure for mobile learning of prospective teachers.

**Table 2.** Infrastructure for mobile learning of prospective teachers

Opportunities	f	%
Mobilephone	439	97
Mobile tools		
Tablet	71	16
Laptop	94	21
At least 1 mobile device	454	100

Internet access status	No internet access	5	1
	Home	226	50
	Out of home	35	8
	School	81	18
	GSM	316	70
	At least 1 internet access opportunity	449	99
Daily average internet usage time	Lower than 1 hour	79	17
	1-3 hour	212	47
	4-6 hour	104	23
	7 hour and over	59	13
Mobile devices usage in lessons for educational purpose	Never	27	6
	Rarely	93	21
	Sometimes	182	40
	Usually	137	30
	Always	15	3
Total		454	100

Analysis results are shown in table 2, 97% of the prospective teachers participating in the research have mobile phone, 16% tablet and 21% laptop. All of the participants have at least 1 mobile device. 70% of prospective teacher have internet access on GSM, 50% at home, 18% at school and 8% at out of home. 1% of teacher prospective have no internet access. 99% of prospective teachers have at least 1 internet access opportunity. %17 of the prospective teachers' daily average internet usage time is lower than 1 hour, %47 1-3 hour, %23 4-6 hour, %13 7 hour and over. Prospective teachers are stated that 6% never, 21% rarely, 40% sometimes, 30% often, 3% always used mobile devices in lessons for educational purpose.

### Findings related to the level of prospective teachers' readiness for mobile learning

Analysis results related to the level of prospective teachers' readiness for mobile learning is shown in table 3.

**Table 3.** Level of prospective teachers' readiness for mobile learning

Factors (Sub-dimensions) of readiness for mobile learning	Mean	Standart Deviation
Self Efficacy	3,66	,82
Optimism	3,55	,70
Self Directed Learning	3,61	,80
General	3,60	,65

As shown in table 3, level of prospective teachers' readiness for mobile learning is factor of self efficacy  $\bar{X} = 3,66$ , factor of optimism  $\bar{X} = 3,55$ , factor of self directed learning  $\bar{X} = 3,61$  and general,  $\bar{X} = 3,60$ .

### Findings related to readiness for mobile learning of prospective teachers according to variables.

Prospective teachers' readiness for mobile learning is examined according to gender, department, and average daily internet usage time.

### Findings related to readiness for mobile learning of prospective teachers according to gender

Analysis related to prospective teachers' readiness for mobile learning according to gender is shown in table 4.

**Table 4.** Readiness for mobile learning of prospective teachers according to gender

Factors	Gender	N	X	Sd	t	p
Self Efficacy	Female	318	3.67	.78	.506	.614
	Male	136	3.63	.93		
Optimism	Female	318	3.54	.70	.719	.466
	Male	136	3.59	.73		
Self Directed Learning	Female	318	3.63	.80	.720	.472

	Male	136	3.57	.83		
General	Female	318	3.61	.62	.126	.900
	Male	136	3.60	.72		

**There is no significant difference as a result of independent sample t test between female and male prospective teachers' readiness for mobile learning.**

#### **Findings related to readiness for mobile learning of prospective teachers according to education level**

Analysis related to prospective teachers' readiness for mobile learning according to education level is shown in table 5.

**Table 5.** Readiness for mobile learning of prospective teachers according to education level

Factors	Grade	N	X	Sd	t	p
Self Efficacy	1	181	3.65	.78	.092	.927
	4	273	3.66	.86		
Optimism	1	181	3.57	.71	.408	.684
	4	273	3.54	.71		
Self Directed Learning	1	181	3.58	.78	.805	.422
	4	273	3.64	.83		
General	1	181	3.60	.62	.092	.927
	4	273	3.61	.67		

**There is no significant difference as a result of independent sample t test between 1. and 4. education level prospective teachers' readiness for mobile learning.**

#### **Findings related to readiness for mobile learning of prospective teachers according to department**

Analysis related to prospective teachers' readiness for mobile learning according to department is shown in table 6.

**Table 6.** Readiness for mobile learning of prospective teachers according to department.

Factors		Sum of square	df	Mean square	F	p	Mean .difference
Self Efficacy	Between groups	9,285	3	1,050	1,551	,201	-
	Within groups	236,222	450	,677			
	Total	245,507	453				
Optimism	Between groups	7,688	3	,423	,841	,472	-
	Within groups	217,622	450	,503			
	Total	225,310	453				
Self Directed Learning	Between groups	4,184	3	,389	,594	,619	-
	Within groups	225,029	450	,654			
	Total	229,213	453				
General	Between groups	4,065	3	,432	1,023	,382	-
	Within groups	210,204	450	,422			
	Total	214,269	453				

**There is no significant difference as a result one way anova test between departments of prospective teachers.**

**Findings related to readiness for mobile learning of prospective teachers according daily average internet usage time.**

Analysis related to prospective teachers' readiness for mobile learning according to daily average internet usage time is shown in table 7.

**Table 7.** Readiness for mobile learning of prospective teachers according to daily average internet usage time

Factors		Sum of square	df	Mean square	F	p	Sign. Diff. Scheffe
Self Efficacy	Between groups	10,465	3	3,488	5,280	,001	7 hours and over-lower than 1 hour
	Within groups	297,272	450	,661			
	Total	307,736	453				
Optimism	Between groups	2,004	3	,668	1,333	,263	-
	Within groups	225,437	450	,501			
	Total	227,441	453				
Self Directed Learning	Between groups	2,232	3	,744	1,142	,332	-
	Within groups	293,301	450	,652			
	Total	295,533	453				
General	Between groups	2,894	3	,965	2,304	,076	-
	Within groups	188,391	450	,419			
	Total	191,284	453				

**There is significant difference on factors of self efficacy as a result one way anova test.** The scheffe test is conducted to determine which groups differed. According to results of scheffe test, self efficacy level of prospective teachers who use internet daily 7 hours and over ( $\bar{X} = 3,96$ ) is higher than prospective teachers who use internet daily lower than 1 hour ( $\bar{X} = 3,40$ ).

### Results, Discussions and Conclusions

Review and survey were carried out within the scope of this research. Review for this research shows that mobile learning can be an opportunity for teacher education. Because it is necessary for the teaching profession to learn lifelong like other professions (European Commission, 2005). Also mobile learning offers learning opportunities in every where and every time (Geddes, 2004; Traxler, 2007). One of the important results of this research is that almost all of prospective teacher have the mobile tools necessary for mobile learning and they have opportunities to access internet. Daily average internet usage time of prospective teachers is higher. It was determined that a significant number of prospective teachers use more than one hour of internet on average per day. It has been determined that prospective teachers frequently use mobile tools and use mobile tools partially for educational purposes. It is an important finding that nearly all of the prospective teachers have a smartphone and most of them have internet access opportunities. Because mobile phones now have same capabilities as microcomputers at a small fraction of the size and currently the most widely used devices for mobile learning (Crompton, 2013; Hsiao and Chen, 2014; Hussin et al., 2012; Wu et al., 2012). Results indicates that the prospective teachers have the necessary infrastructure for mobile learning. Also they use mobile devices for educational purposes in their lessons. These are advantageous facilitators for using mobile learning in undergraduate teacher education.

It has been determined that the level of prospective teachers' readiness for mobile learning has partially high ( $x = 3.60$ ) and the level of prospective teachers' readiness for mobile learning is not differ according to gender, educational level and department variables. But prospective teachers' readiness for mobile learning differs according to the average daily internet use. The result of level of prospective teachers' readiness for mobile learning has partially high shows that prospective teachers can easily benefit from mobile learning. Because readiness is an important variable for effectiveness of mobile learning (Hung et al., 2010; Lin et al., 2016) and some other learning approaches such as distance education, online learning etc. (Horzum & Çakır, 2012; Hukle, 2009; Kaymak & Horzum, 2013). So, it can be concluded that prospective teachers are partially ready for mobile learning. It can be said that prospective teacher show homogeneous characteristics related to mobile learning. Because prospective teachers' readiness for mobile learning is not differ according to their some characteristics (gender, education level, department). But it can be expected that those who use internet more intensively have higher self-efficacy in mobile learning than who use internet lower. Considering that future generations might use the

internet more intensely, it may be thought that their readiness for learn mobile learning might be higher. It is an interesting result that there is no difference between groups according to education level. This result may suggest that undergraduate education does not affect prospective teachers' readiness for mobile learning. But this is not an experimental study, so it may not be right to interpret this conclusion. The level of education can be interpreted as a variable age variable. Because it is estimated that the age of participants is between 18-22 years when the age of starting the undergraduate education in Turkey is 18 (Günay&Günay, 2016). It can be assumed that being no difference between the groups in this research is due to the fact that the participants are digital natives. Because they have mobile devices and internet access also use internet frequently and they have higher readiness for mobile learning. Also higher readiness of prospective teachers for mobile learning can also be due to their digital native characteristics. Because in recent research, conducted by Teo et al.(2016), Turkish prospective teachers have defined themselves as digital natives.

The results of the research show that mobile learning is an approach that should be taken into account for undergraduate teacher education as well as teacher education. Because mobile learning beneficial, increasing trend and have pedagogical affordances for teacher education (Baran, 2014; Ferry, 2009). Also effective professional learning requires reflection and collaboration and that mobile learning is ideally suited to allow reflection-inaction and to capture the spontaneity of learning moments(Abusson, Schuck & Burden, 2009; Walsh, Shrestha & Hedges, 2013). Current research shows that prospective teachers have a great potential for mobile learning. Because prospective teachers have the necessary infrastructure and readiness for mobile learning. Mobile learning is an approach that can be provide significant contributions to both undergraduate teacher education and professional development. Therefore it would be useful to use mobile learning both undergraduate teacher education and in-service training.

It can be seen as a limitation that this research only examines the infrastructures and readiness of prospective teachers for mobile learning. Because these variables can not explain mobile learning in teacher education. Other variable such as mobile learning adoption, attitude and motivation of prospective teachers should be examined. These studies should be conducted different and large samples. Besides experimental and mixed method studies should be conducted. It is thought that the results of these studies will form the theoretical basis for mobile learning in teacher education.

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## Like a Bridge over Troubled Waters: the Death of the Mother a Comparative Study in Literature Between USA and French Feminist Poetry

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### Abstract

The power of fear and the need for happiness are equal, wrote Adorno in *Minima Moralia* (2001, p. 223) describing in a phrase the inevitable contradictions of the human condition. Mother and motherhood reflect both, fear and need, transforming each other in a constant dialogue that mediates the various expressions of our sociopsychological transformations. A dialogue unready to be completed as long as our worldviews sustain hierarchies that manipulate the need and the fear.

**Keywords:** Like a Bridge over Troubled Waters the Death of the Mother a Comparative Study in Literature Between USA and French Feminist Poetry

### Introduction

"It is always the unreadable that occurs"

O. Wilde

*"Fear" and "Need"*...In the ethics of psychoanalysis Radcliff Brown pointed that ancient rituals survive in modern societies because they are essential part of the mechanism through which societies maintain their existence, promoting the establishment of certain fundamental social values (p. 951-959).

Yet, if the "round ground" of the ancient tribe has been transformed into the medieval square, and if the medieval square has been transformed into the front page or the screen of the media, the power of those ritualistic representations still functions.

Part of this broad process, literature is not actually a mirror. It mediates and represents social relations in schema of signs which require a receptive and preconditioned reader in order to be meaningful. And it is at the level of what those signs connote, often unconsciously, that ideologies are reproduced (Parker & Pollock 1981: 119). The representations of mother and childhood connote signs and they reproduce ideologies. Yet, having also deep biological parameters, not only they are more easily manipulated in the social context, but they are also fundamental in the formation and articulation of "personal worlds". The Death of a Mother is always indeed extremely personal for a child and vice versa. To elaborate those "deaths" in literature is to elaborate a deep "border", a frontier between what is self interpretation and what is hetero-interpretation. Foucault's "panoptikon" could never find a better symbol than the internalized eye of the mother. Yet it is a mother that as Irigaray (1985) claims has been colonized by the hegemonic view of the maleworld. Texts that represent the mothers are produced in these particular cultures and societies and in particular historical circumstances. In turn, they shape and are shaped by those cultures as they are read and re-read in changing circumstances by different groups, with different commitments, engagements and interests. Such readings are themselves then re-absorbed into the ideological frameworks within which the cultures and persons develop.

Having said that it is obvious that any interdisciplinary approach should take into consideration time and space not just as the broader framework that influences literature, but as inevitable part of the texts themselves.

In a situation where "hierarchy becomes a natural order» (Fairclough, 1992), what appears to survive as a prime symbol from the collective cultural capital, acts not just as "an intermediary because its inherent significance determines the values of the present" (Pollock 1999: 10) but also as a factor, as "a writer within the writer", producing texts that are influenced always by the personal characteristics of their carrier. And mother as a social symbol that becomes a multiple

literary expression, is a case like that. We tend to believe that this operation depends its personal involvement on the significance of the archetypes it involves. We could argue that the most fundamental the archetype the less space exist for personal variation.

Mother and Motherhood are fundamental archetypes. (Campbell, 1980) And yet they had to be reread and reabsorbed in a decade of a massive transformation like the 60's. It was then (even as a brief break) that the average social subject of the "west" (schematically speaking) had to leave behind commonsensicals in everyday behavior, sociopolitical ideas and long term cultural and financial practices. But the western subject by doing that, by leaving what was well known and established, became "an immigrant within" in a "terra nova". And an essential part of migration experience is notion of nostalgia for the roots, roots represented by a symbol like mother.

In this framework, the traditional discipline of literary history has to be expanded and challenged by new insights and by alternative perspectives. Exploring the evolution in the so called "eternal entities" like the one we try to challenge here. Was mother a bridge over troubled waters, or she became the troubled waters herself? But then who became the bridge? Was that a part of a Spinozian *causa sui* project? A part of an effort, in other words, to make the world "our own case", in a constant effort to become parents of ourselves? This might be an ultimate human desire and according to Brenkman (1982) the contradiction between Platonic and Freudian theories in relation to Desire is the manipulation of Desire, as psychoanalysis argues that to elevate ourselves to the philosophical scale we should transcend not the body but mother's body.

But body means politics. And male colonization might mean inner femo-phobia (in analogy to homo-phobia) Page du Bois (1988, 16) in *Sowing the Body* accuses Plato and Foucault for establishing the male subject as the ultimate master in philosophical perspective. "*l'homme de desir*", destroying the analogic thought in the benefit of hierarchical thought.

Where is the woman "*de desir*?" If the totalitarian identification of female sexuality with reproduction meant her absolute identification with motherhood (Stehle, 1990, p. 96) then the complexity of female (and male) existence is "covered". And cover means "cover up". Seduction. And is this kind of seduction that, according to Baudrillard, (1990) "women exercise from a distance". The absence of women manipulates not just themselves but males too. Distance might mean distance from ourselves.

Yet, in Greece the folk culture uses to call mother "the golden mattress" that have the capacity to "cover" all our falses, all our juxtapositions. Yet there is darkness wherever there is light: "*Listen Kinnell, that throw you to be alive and half dead in a baby-bed! "There is only a mattress of fallen wings between you and the long abyss, an abyss so similar to you"...*" wrote Kinnell in the 60's! May the journey begin in those rocky waters...

### **The topic: Death**

"But Death, be not proud!", wrote Donne in his 5<sup>th</sup> of the Divine Sonnets, articulating in an extraordinary way not a metaphysical but a "human-centered" comfort in front of this devastating phenomenon. A comfort deriving from the decent battle we fight in life and not from a post mortal religious solution. Yet, among the most frequently treated subjects in literature, death—present as a theme, symbol, or plot device—exists as one of the defining elements in the writing of modern poets, dramatists, and novelists. Intertwined with the origins of literature itself, human consciousness of mortality has for centuries provided the impetus for reflection on the causes, meaning, and nature of existence. And, while treatments of death are as varied as the authors who write them, scholars have perceived in modern texts—whether for the stage, in verse, or in prose fiction—certain clearly defined approaches to this topic of nearly universal interest: Acting as the ultimate existential dilemma, one which arouses terrible anxiety as it offers the rocky path toward authentic self-discovery, or often perceived within a larger context, as part of the natural cycle of decay and renewal, or treated as a source of laughter in black comedy and absurdist drama, who constitute a reverse recognition the high seriousness of their subject. Death in literature carries with it a range of symbolic implications, connoting the very sources of meaning and the creation of literature itself.

But what happens when death is linked with the fundamental personal figure that "created" us and gave us our first notion of meaning, mother? What happens when this is not always a natural death but it can be a moral or a symbolic one? "As we prepare to enter a new millennium it is clear that our concept of the mother is being radically destabilised and transformed" wrote Nancy Lane in *The Mother in/and French Literature* (p.x, introduction). What if it is linked not only with

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<sup>1</sup> Contemporary American poetry, trans. . K. Aggelaki Rourk, Athens 1985

child experiences but also with mothers'? "Have you ever noticed that you get stronger feelings about death in a novel when it is the death of one of the major characters, rather than the minor ones?" Skelton (2003) sits the question. ...Do you feel differently when a morally "good" character dies than you do when a morally "evil" character does? And if that is so where most of the literary mothers that evolve in our selected case studies, belong? And is our preview about mothers free of imposed expectations? Our perspectives are truly liberated from a socio-psychological "guilt taboo" societies address to women? And is it common in both shores of the so-called west, France and USA?

### **USA and France: Crossing Ocean's rocky waters**

This paper will concentrate on the female production of USA in comparison to the French Culture. Not only *Nouvelle Sociologic* interacted and integrated in *famine escriptoire*, a vast topic in its own. But also because underneath any feminine perspective exist a French influence. "Possibly there is no other country the recent centuries having that kind of variety and significance in leading female figures: Queens, philosophers, writers, "priests", wrote Peyre (1979).

Also because American 60s and French 60s have considerable things in common. As it is referred "the history of French Literature is closely linked to the state of French Politics, ideology, and culture, often reflecting and shaping these realities in France. If that is so then we could claim that what happened to the States in the 60's was a "*French-isation*" as politics Ideology and Language became central to the American alternative thought. As it was written "while the idea of the French Resistance remained an integral part of French popular literature well into the 60s several writers began to question the myth of French unity ...and offered an alternative, disillusioned view of the bond forged during the war". Similarly while the idea of "the land of freedom" remained an integral part of American popular literature, several writers begun to question its myth and offered a less narcissistic version mostly in the 60's. Thirdly because of the vast analogies produced. If the States were rapidly radicalized because of Vietnam, (a link with France...) financial evolutions and cultural changes (that gave voice to the 'New Social Movements') the 60's was a turbulent time also for France. Despite "*les trente glorieuses*" in economy the country was torn by its colonial heritage (Vietnam, Indochina Algeria), and by its Vichy Regime, facing a collective guilt that gave also birth to "Nouveau" social Movements and Artistic expressions. Those expressions brought in the front line feminine writers, such as Marguerite Duras, Nathalie Sarraute, Anne-Marie Albiach, Julia Kristeva etc. The analogies between American language poetry movement (representatives of which we present in the following pages) and French Avant Garde (many around *L' Ephemere*) are profound. Equally profound is the marginalization of female writers in both countries.

Indeed a major trend in the critical study of modern French literature has been the marginalization of women authors. The period that this question evolved in both countries is not accidental. Discussing the role of women in authoritarian ideology and psychology as well as in the history of fascists movements parties and regimes, Melanie Hawthorne and Richard Golsan, suggest that male sexuality and misogyny from crucial building blocks of the fascist male psyche that dominated France through the early 20<sup>th</sup> century, shutting out the feminine perspective in both political and intellectual arenas. Women could only be adored if she was *L Inconnue de la Siene*<sup>1</sup>, beautiful, silent and dead. This sociopathology was not irrelevant with dominant perception of women. In many cultures women have been long suspected as the source of human miseries, especially in conservative and repressing times. Since the ancient myths women were idealized but mostly mistrusted as seductive and vengeful, manipulative and even malevolent. In modern times, as ideals of purity and dedication to family have been exalted and feminine beauty lauded, women have been viewed as embodying sinister forces of evil.

But this sociopathology was to be radicalised and politicised when the traditional role of motherhood was questioned. In traditional texts the narrative constructs of legitimacy functioned to marginalize women, in fact mothers, as this was the only way they could be seen. Mothers were not personalities but figures through which the fundamental needs for security and adoration of the son and related concepts of authority and authenticity were naturalized. But this figure of the ultimate sacrifice was not just a choice of personal downfall, but also became an alternative narrative authority, spreading a guilt not just in pages but in life also. The "distant seduction" of the women...

"But she was of the world where the most beautiful things have the worst fate" as Mlherbe wrote in the 50's, having as an exception Highsmith's "Prize of Salt" (later renamed Carol). But in the 60s mostly a major redefinition happened.

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<sup>1</sup> According to a famous story the body of a young woman was pulled out of the Seine River in Paris in late 1880. Enchanted by her beauty the pathologist of the morgue had a moulder make a plaster cast death mask of her face. This death mask that was reproduced influenced from the appearance of women to pages of American and European literature. In the 60s it was reproduced by photographer Man Ray (possibly like pop art not in style but in concept) to denounce the marketable death icon of women.

Questioning authority meant questioning macho psyche. Figures like De Beauvoir and Sarraute challenged the state and the ethics by revealing the hidden antagonism between mothers and children. This was not a new idea. Mile de la Force statement that "there is no bigger threat to the unborn child than mother herself, documented the degree on which early modern medical practice and popular belief valued the well being of the fetus over than of the mother. But female figures like De Beauvoir in France make a public statement urging the French Democracy to jail the for having an abortion. In grappling with our understanding of what it is to be 'evil' (and thus marginalised) in changing eras, and how women are used to confront or identify with it, the paper aims to shine a spotlight on this dark area of the social and human condition through some significant texts and explore, without constructing of course permanent conclusions in that diversified issue, the possible sources of connection, of worship or of fear and resentment for women, death and motherhood.

Reproduction might be the exact opposite of motherhood. As Irigaray claimed to resurrect the mother we need to acknowledge that she is not an empty space or filter for reproduction. (Lane, 2000, p.xv) On the contrary with Malherbe's poem, beautiful things could demand a better fate. The maternal metaphor was transferred to society to become metonymy and history.

### **The Sociology of the 60's.**

The growing search and academic literature related to social representations and archetypes the last decades made us realize «that every culture develops its own view of archetypal nature and within it a related set of beliefs» (Schwartzman, 1979) about the interactions of that nature with the rest of the culture. Representations and archetypes are made up of the expectations, hopes and fears societies have expressed with regard to their future as Sommerville (1982) put it. Those fears and expectations that shape symbols, never universally accepted, are formed within a pre-established but tacit ontological theory (Jenks, 1996, p.4) that articulated the Self confronting the being of the "other" within the boundaries of hegemonic theories.

Child for instance, having been charged, in modernity, with all the miscellaneous societal and metaphysical notions that contribute to «the manifestations of the Other which so powerfully shape the narrative of the Self» (Cox, 1996, p.127), was hired to promote a new kind of world view, a new kind of world order. A socially mother-oriented child in a patriarchic world was little by little evolved into a motherless child in an orphan world. As the radical doubt of Postmodernity (Lyotard, 1984) occurred and "seed" itself in the 60's, legislators of any kind (Bauman, 1994) faced an elimination of their absolute necessity. The growth of sub-cultures and social movements, and yet also the growth of communication industries «intermediating between social groups and diverse meaning systems», erased the traditional ways of a commonsensical socialisation and exposed us in a chaotic world less powerful to shape or impose certain, monocultural identities and control, or in fact let others to control, our fate.

In the 60's, under the influence of radical social theories and movements like radical feminism, we glimpsed the complexity of social phenomena, and we tried «to redefine power» away from the state and the socio-economic elite. And re-establish it, under the influence of such political philosophers as Foucault, right into the heart of «the cultural and institutional formations of modern societies» (Cox, 1996, p.5) and «on the complex network of micro-powers»... «that permeate every aspect of social life».

But questioning the macrostructure of sociology allowed us to realise that «the major orienting concepts» (Schwartzman, 1979, p.10), such as childhood or motherhood, are not underlie into the naturalization realm, aiming «to process the child as a uniform entity» completed in a «firmly established, rational white male adult world» which is assumed to be homogenous «and most significantly desirable» (Jenks, 1996, p.9). But, on the contrary, they might be «relative to temporal or historical circumstances», and power relations, «as well as sociocultural context» (Schwartzman 1979, p.10).

In this context we learned to include our female selves through our exclusion. The groups that offered socialisation to us so many centuries, they were functioning as a Womb. A womb able to offer a symbolic death to us, until 60's came. The era we tried to give birth to ourselves, schematically speaking, in a multiple diversified process, establishing our own semiology for our own, creating our symbolic lives.

Yet there was a Kyrke, able to trap us in her island: In a stable, manipulative process, having consumption -and not creation or political consciousness- as the tie between individual and society. But in this world of consumption were almost everybody could achieve 5 minutes of fame, were femininity, what ever that means in a certain framework, could be exposed and consumed in a chaotic space, to "be a woman" could easily end up as a Foucaultian "*unheimlich*", where the average

social subject ends up carrying a “foreign public name”, unable to identify it with herself in a personal level, like a celebrity, unfamiliar and distant to its own self.

This was not actually unexpected. Motherhood used to function since industrialisation as a social role projected an asset to accept more easily the atrocities of everyday life, in a deep negotiation process that intermediates society:

The rising nation states, in their effort to justify and take more power than ever before hiding social dispositions and their causes, (Stone,1982) used woman’s and child’s domesticated or successfully institutionalised image to impose social harmony.

Every religion has its temple. For the newly born bourgeois world this became the garden,(Grylls,1978),«enclosing within the safety of its walls a way in touch with nature and which preserved the virtues of earlier periods of the history of mankind» (Cunningham,1991). While adult society seemed «the more bleak, urbanised and alienated»,garden ,the «must» of bourgeois domestic ideal, full of biblical notions, became «the lost Paradise of childhood», «a place to nurture and express innocence»(Cox,1996,p.113). A market oriented archetype that was going to survive until the mid 20<sup>th</sup> century.

This garden had to be preserved from the fruit of knowledge of evil: sex, in a western discourse aimed «to transform desire into religious ecstasy and perhaps even into rational endeavour» (Foucault, 1984, also Cox,1996, p.75). Social purity movement(Cox,1996,p.128), aimed to create a moral panic (Hall, 1982), «asserting the right to regulate the behaviour... in the interests of a particular ideology» (Cox, 1996, p.152) were still very powerful in the 50s.

It was within this new discourse seeking justifications for the withdrawal of the previously active female and child population from socio-economic mainstream, (through the intensive mother-child relation, and the growing maternal power as the sole arbiter of domestic morality), were Romanticism, like all the dreams hidden under its name, «was safely incorporated into a bourgeois definition of family life and its radicalness defused» (Cox,1996, p.115). Now the child was not the father of the man anymore. Blasted from a religious violence, hired to justify the new order, has become just «the father of the woman» (doctor G. Napheys, quoted in Cox,1996, p.139). There was no way to be a woman if not being a mother...

There were forces behind this campaign as Gorham (1978) argued talking initially about Victorianism: Bourgeois perceptions of domesticity and female passivity (Foucault,1984,also Cox,1996,p.151) aimed not only to control the sexuality of the growing child and to «scope limitations to childhood»(Cox,1996) but through the pure image of the young girl (De Mause, 1976, Kincaid, 1995 and Cox,1996) to ignore the realities of working class life in the beginning.

Or, we could add, to ignore the atrocities of wars miles away from home even decades later: ***“We are America, We are those who made funeral coffins to be filled... the bomb explodes like a box of shoes. And the child? The child is not sleepy of course. And the Woman? The Woman washes her heart. It was ripped out as it was burnt and as an act of Telos she washes her heart into the River. This is the bargain of Death. America, where are your excuses?”*** wrote Ann Sexton in the 60s, confronting all that. The poetess employs a child and a woman, she might be a mother, drawing them outside from the everyday American neighbourhood, using both (child and woman) to articulate an exilic identity, whom in a process were orientalism (Said, 1979) will arise as the opposite pole, will confront our Western conceptions and perspectives.

Interestingly, what Sexton does is to play “naturalisation” in its own field. In the America she grew up «home, ruled by the father and kept clean by the mother, was to project the totality of the social existence were patriarchy was the legal code» (Kline,1993, p.57, quoting Ewen,1976).There is no father in the poem. There is no man. Only a woman and a child in a natural landscape, escaping domesticity, in fact confronting it as one source of their miseries... And yet, she, being a political subject, and yet also a woman and a mother, creates a poetry that could act as their voice too. In speculum of the other Woman Irigaray speaks about that double function of the woman being the object and the subject of her creative force, in an effort to intervene in her colonisation, but an effort were the hegemonic view has been internalised and reproduced. Women claim to re-birth a language and when Sexton stands in a distance from phallic America (where are your excuses, not our excuses) connects herself with what Kristeva in Women’s Time (1981, p. 13-15) refers as the urge not to articulate a symbolic expression, a symbolic order of representation. Sexton distance her female self from “the peculiar, strange male violence were having to dare man obligatorily will reach evil and wonder, and were language speaks as a violent gathering, as manipulation of the mighty (Heidegger, 1959, 78)

## Poetry

Sixties altered a tremendous change in western life style in general. Yet a major center of this change was America. If death is the ultimate symbol of the 2 Ps, meaning Pain and Past, until then America had no sorrows, had no way to deal with. As Wecker wrote, one major cause for the incompleteness of the American myth is the lack of history. That gave a very special sense of belonging and a very special sense of travelling. One major strain of the American tradition sees life and history as just beginning... R.W.B. Lewis (1955, p.208) observes in his *American Adam*, that is an Adam before the fall, standing always in the threshold of the experience having no heavy baggages to burden his quest. This view of the innocent American hero is best represented in the works of Thoreau, Emerson, and Whitman (Rank, 1959). Heroes in their own works, their quests took them into garden-like places where they sought to preserve the vision of America's and new world's destiny.

But in the 60s time and space, Vietnam war and family crisis and capitalism, brought an end to the vision of innocence and newness. America moving to reality, and conflict inevitably arose at the point where Life and Death collided. To loose her virginity it was like to loose her vitality. America itself became a dying mother. Yet, there was a Grief Taboo as Boker explains (1997). In fact "despite the fundamentally tragic nature of the experiences of rebellion, separation, and loss out of which the American Adam, like the American colonies themselves, was engendered, the themes of uncompromising self-reliance and a willfully chosen orphan identity have been viewed by a certain masculine critical perspective as celebrated events that, for the most part, were devoid of emotional consequences". Boker's mission in *The Grief Taboo* is to expose and explore precisely these emotional consequences. Behind the American Adam, Boker finds a legacy of **mother-loss**, father-hunger, repressed grief, repressed femininity, and persistent adolescent idealism that helped to create some of America's greatest fiction, but at a very real emotional and psychological cost.

Yet the female literature of the 60's helped to move away from that masculinity. In fact, promoting personal and political like an entity, shaken like never before the "Grief Taboo". Plath writes the aggressive 'Lady Lazarus' and the notorious 'Daddy', in which the poetess "expanded the boundaries intimate expression": **Every woman adores a Fascist, /The boot in the face, the brute /Brute heart of a brute like you.** (from 'Daddy', 1966)

Both Plath and Sexton are considered as representatives of the so called confessional poetry, along with Robert Lowell and John Berryman. Despite the significant male presences confession is considered a female attitude. In fact "Plath has been considered a deeply honest writer, whose ceaseless self-scrutiny has given a unique point of view to psychological disorder and to the theme of the feminist-martyr in a patriarchal society". **For several of these writers, notably Plath and Sexton, death as a pretext for understanding life is of tantamount importance. In the poetry of these introspective writers, mortality exists as the defining sensibility, and is deeply rooted in a personal experience of the anguish of living and of death; an experience so intense for Plath and Sexton as to have culminated in their own suicides.**

**Yet, "DEATH be not proud,/ though some have called thee/ Mighty and dreadful, for, thou art not so,/ For, those, whom thou think'st,/ thou dost overthrow,/ Die not, poore death,/ nor yet canst thou kill me."** John Donne wrote, celebrating death-suffering as an inevitable part of all lives, within which lies also a feeling of eagerness, of an absolute passion for life. And how else could it be? We know Death will win, but Death need not be proud. Man fights a valiant fight; and, along the way, we gain our self-respect and the respect of others.

But Donne's era was a bit different than the 60's. Donne's era was romantic and yet, or due to that, was extremely optimistic in a deeper way of adulthood. Humanity had an endeavor in front to "taste" But 60s were "so young", and there was a certain amount of impetuous naivety mingled with an absolute realism. "Where are our excuses?" still Sexton's voice demands. **"And what exists behind?/ Behind exists the emptiness. / And who is now speaking? Someone who sleeps under a hat./ And when he wakes up? He will go to the barber shop. They are going to shave his bier, his noise, his ears and his hair there. In order not to differ..."** (Simic Charles, in Aggelaki, 1985, p.73)

Simic describes in a way the fate of his entire generation. Similar to Romanticism, the brave spirit of the 60s, a spirit were the journey was led by the possibility and not the map, «was safely incorporated into a bourgeois definition of family life and its radicalness defused» (Cox, 1996, p.115). **"I have no idea who we thought we were/ that our personalities could survive/ the defeats of the clan/ For good or bad, we didn't know/ that the clan had defeats like that/ and that we were going to have our share..."** wrote Adrienne Rich.... **"Next year will be 20 years since you so prodigal died/ you that we thought you could make the jump we were talking about. Its rather late now to happen./ and now I survive not like an alter, but like a series of brief, rigorous moves/ each one of which gives to the following the right to happen"**.

If we think about it Rich speaks of an absolute perish of joy. Life, in this poem, is a mechanical process. It is not the honorable death that Donne describes. She speaks about humble people that despite they had dreams made of skies they had wings made from dust. She mourns humanity in her own words and through her personal loss. This kind of humble mourn is not easily connected with "soldiers" trying to escape real life searching for Camelot. The task is absent, the pain is present. Or the pain, a psycho-political pain in a violently politicizing society in that era, becomes the task?

**Fate gave the word, the arrow sped/And pierc'd my darling's heart;/And with him all the joys are fled /Life can to me impart./By cruel hands the sapling drops, In dust dishonour'd laid:/ So fell the pride of all my hopes, /My age's future shade."** Wrote Burns in a Mother's Lament a century before 60's. Rich's mourn seems like a feminine mourn, and provocatively speaking, every feminine mourn is a mourn of a mother.

Yet, "I am not your mother more than a cloud is/that drops into mirror to reflect in the moon its own, slow extermination from the hand of the wind... I wake up to hear: A distant sea moves inside my ear. A voice. And unstably I wake up from the bed" wrote Plath, expressing the hidden crevices inside that lies beneath gender oriented motherhood. And crevices ask for a solution. For women of the previous centuries for instance, as the role of mothers and wives contradicted the asexuality from which their moral superiority derived, the solution had to be found through focusing the virginity discourse on the daughter. It was an inner fear. Like when we repeat in a Foucaultian way something trying to hide its opposite: «A vital Victorian mythology» dressed as Andersen's Mermaid, so different than *L Inconnue de a Siene*, that nature can't be institutionalised and that in a Freudian reverse «the fullness of woman's extraordinary and dangerous being might at any moment return through violence» (Auerbach, 1982, p.8).

In the mid 20<sup>th</sup> century it was like the revenge had finally arrive. If we think about it, the moment Plath listens a distant sea that di-privatizes her female bed connecting it with the foggy tides of a broader picture, Rich includes in her mourn the defeats of the clan. She has collective references, as the female subject was evolving from motherhood to citizenship. Interestingly psychoanalyst Judith Mitchell points (Mitchell, 2004) that in the period those poems written, during the 2<sup>nd</sup> feminist wave, and parallel to poetry, the invented language of humanities, promoting terms like "gender" instead of women, was reflecting an unconscious turn towards sexual relations beyond child-bearing, and thus beyond motherhood. Death of motherhood in the 60's was not just a topic in some texts. Was an expression of broader evolutions, regardless if it was included in the texts.

## Literature

But the grief taboo had mostly to do with the petit-bourgeoisism of a white male world, being in a constant dialogue with the various perspectives of female world and in a stable contrast with subcultures like the afroamerican or other ethnic minorities literature. Constructed away from the cultural mainstream afroamerican tradition mourns: Slave narratives, sentimental novels, naturalist fictions, and novels of manners all supposedly confront and work through grief comparatively overtly, like Boker (*ibid*) assures. And not just that, but there are migration narratives of female displacement that focus on the traumatic aspects of death or even more loss (even of yourself).

But there exist a total reverse. We have in fact, along with death, a deep celebration of motherhood, and the importance of family; that are connected interestingly with the same causes the deterioration of family had in the white female world: With the quest for independence, personal dignity, and self-definition. Morrison and Angelou, representatives of the tremendous afroamerican tradition, both employ figures of mother and death to speak about collective tragedies: In her *I Know Why the Caged Bird Sings*, edited in the last year of the decade, consisting a kind of epilogue legacy, Angelou speaks about both death and rebirth of mother hood. Because Maya, the main heroine has been abandoned by both parents, thus mother too, and along with her bother must learn how to live without her. Living in the side of her aged momy, a replacement for her mother that carries the Memory of her clan, a textual symbol with tremendous importance concerning the liberation of minorities consciousness, Maya little by little illustrates how strength of character and a love of literature can help overcome racism and trauma by fulfilling the circle, as it ends when Maya becomes herself a mother at the age of 17. In the course of *Caged Bird*, Maya transforms from a victim of racism with an inferiority complex into a self-possessed, dignified young woman capable of responding to prejudice. Motherhood helps Angelou to overcome the rape she had suffer as an eight-year-old child, a fact so silent that is presented briefly even in the text. Rape is used as a metaphor for the suffering of her race and gender. The book's title comes from a poem by African-American poet Paul Laurence Dunbar. The caged bird, a symbol for the chained slave, is an image Angelou uses throughout all her writings. But what is also caged and liberated is motherhood. A motherhood cancelled by abandonment and raeo and re-found, in fact re-invented by a young woman in the process of liberation. She becomes mother even by a "homophobic accident", but it's a motherhood not meant to stay

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in the existing roles and borders. The initial phrase of the caged birth cries out by herself. **“What are you looking at me? I m not here to stay”**

On the contrary Morrison speaks about the death as a maternal experience. In Darling, Mother loses daughter. Daughter comes back. Is death that haunts life. But it is a death that brings back a portion of life (the diseased child) into a life that carries a portion of death (the loss of the daughter). Possibly Morrison uses the daughter as a symbol of a future that was caged and murdered. Daughter, after all, has been murdered herself: *‘As the physical embodiment of Sethe’s murdered daughter, as well as those thousands who died during the middle passage’* (Corey 37) therefore offers greater scope for interpretation. Beloved’s return from the dead has the strongest effect on Sethe and Paul D. She *‘...awakens their emotions and memories, but she also arouses their fears’* (Corey 39). In an evolving era like the 60’s if Angelou goes back to the roots using *momma*, the grandmother, Morrison let the roots visit her, bringing though no liberation. *‘Anything dead coming back to life hurts.’* Writes, (Morrison 35) explaining the reluctance of the community to remember the Beloved, to remember a haunted collective memory. There is no hidden pledge to re-live like in Malherbe’s poet. In those pages it is the dead that has also the worst of fates. But this mourn, this trauma it might act as the tool to stand up and fight for liberation. L Inconnue wants to be liberated by her death mask. And, similar to aspects of the white literature we examined, pain becomes the task, in fact the mean.

Even today when we speak or write about that era, we employ those symbolismisms. In Park’s *Getting Mother’s Body*, in which Parks admits to being captivated by Faulkner’s novel *As I Lay Dying*, a work told through multiple points of view, we have Billy Beede, whom in 1963, with the help of her friends and relatives, must travel to Arizona to exhume her mother’s body before her burial site is destroyed by a new shopping center complex. In Faulkner’s book, the mother speaks from her coffin; the same is true in Parks’s novel, only in this instance, the mother, Willa Mae Beede, sings her thoughts since she had been a blues singer in life.

Travel back is not in fact to regain mother’s body, but to rescue the “treasures” that had been buried with her: a pearl necklace and a diamond ring.. Gifts are under attack by the modernizing forces of the shopping center. The task overcomes pain. The task becomes the perseverance of it. And perseverance means the ability to touch. Not incidentally Irigaray and other theorists of French second wave feminism claim the importance of touch as a trademark of female sexuality, in opposition to male optic way. From that point of view this death of Mother brings forth the agony and the task to preserve a female lost heritage that at the end will remake (our) world, our cause sui.

## Conclusions

Sixties’s were a sunny decade. Despite clouds from Vietnam or Indochina, despite the growing social diversification, there was a general optimism that anything, almost anything, could happen. In France the heavy legacy of Europe was gaining new aspects, like a new world within. The second wave of Feminism was the outcome and the pick point of it all regarding women Denouncing women’s enslavement to “motherhood”, public figures like Beauvoir used radical language to remind that Eve should give birth to Eve first. In America, the “real” new world, the “American spirit”, in a way and in some aspects, was evolving in the same masculine way the American Army was expanding in Vietnam. But American Adam had forgotten Eve. And Eve was political in an unrepresented way, a wiser, in some perspectives, voice (in fact voices) that sensed the coming defeats. Mother and Death were used in the broader sense to remind the other side of bright living, the dark side of the moon. *“Dying is an Art like all the others. I do it exceptionally well!”* wrote Plath, expressing a collective voice of women, admitting she would transcend herself, or in fact transcend her alienation, her “other self”. Interestingly “the Entire Western Civilization is founded upon the murder of the mother” wrote Irigaray (1985, 47). Male colonization evolved as cry or as silence. Not incidentally, when we speak about 60’s we speak about the decades of the gothic romance. Apart from the Beloved, in the US, Virginia Coffman, Phyllis Whitney and Barbara Michaels reigned. And as it was said *‘...the Gothic has functioned as a literary mechanism for the return of the repressed, anatomizing the pathologies lurking beneath the veneer of civilized modernity.’*

In that sense motherhood could speak about alternative social values and death could speak about their losses. Literature had to express it once again: Whilst the image of the consumer was feminised and sentimentalised to be controlled in the postwar period, the power of the mermaid, dressed under various names and stories transcending life and death, and «always essentially feminine, escaped domestic control and threatened social order» (Auerbach, 1982).

Literature could still reveal the «darker forces» (Cox, 1996, p.153) that were hidden «to Nation, the status and the honour». If women had played this part before, so powerfully represented for instance in the past in Carroll’s Alice, that

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«amalgamation of the fallen woman with the un-fallen child», the 60;s signaled a shift: the commonsensical border line between motherhood, (identified so far with life) and death was not that commonsensical anymore. In fact it could be controversial, questioning the disciplinary society, at the centre of which stood the nuclear family (Stone, 1982, p.25), aiming to function projectively as «the lowest institution in the hierarchy of discipline» (Hill, 1964,p.443). This conflict between the motherhood and the family that second wave feminism brought created «a covenant theology» the most powerful seed of which was produced probably in France and the most famous literary fruits of which were probably “born” in USA. That “theology” cut Motherhood in two pieces: one expressed by maternal forgiveness (Laverenz, 1980), the other by paternal severity, embodiment of the day of judgement itself. In the middle a new, “unreadable” woman tried to be born A woman that questioning motherhood’s “need and fear” regained the quality to be un-fallen because she had chosen to deal and redefine in a new dark light her falls. ‘A! I don’t believe in sainthood unless she is born by the sin!’ as Ritsos, a Greek poet wrote.

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## The Failure of the American Dream in "The Great Gatsby"- Fitzgerald

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### Abstract

The American Dream is one of the most important issues, which has drawn the attention of literary criticism through many years. It represents the ideals of a nation: equality, liberty, pursuit of happiness and democracy; ideals that have been understood in different ways by people. The real values related to these ideals changed and deviated from what it was meant into the enormous desire and greed for wealth and power. Fitzgerald tried to reveal that social discrimination is present and no one is treated as equal to others. The following research over the novel "The Great Gatsby" demonstrates how the dream cannot be successful because of the way it is misunderstood by the society and people's materialism view of modern life. The characters and their attitudes through the chronology of the story are the embodiment of disappointment and the lack of moral values in the pursuance of a dream. Qualitative research used in this study aims to give a clear image and a deep analysis of the novel's major themes, symbols, the period of writing, author's life, various perspectives of the American Dream and its failure. We expect this thesis to be a good guide for further readings and projects with an explicit goal that the achievement of a dream does not necessarily requires the loss of the self and an excessive significance to what ruins the personal and the others future.

**Keywords:** the American Dream, failure, Fitzgerald, The Great Gatsby, power, wealth

### 1. An overview on the novel *The Great Gatsby*

The novel begins with an advice of the narrator's father "Whenever you feel like criticizing anyone, just remember that all the people in this world hasn't had the advantages that you've had"(p. 2). Nick Carraway is the narrator of the book and introduces the reader with the characters and the settings of the story. Nick is from Minnesota and in the summer of 1922, he moved to New York because of his interests over the bonds. He leased a small house in the West Egg district of Long Island, near a mysterious neighbor named Jay Gatsby.

At the other side of the island live his cousin, Daisy and her husband Tom Buchanan, an old college friend of him. Nick goes to have a dinner with them at their house. Tom and Daisy have a two-year old daughter who spends most of the time sleeping at her room. They were one of the richest families of the area and the narrator loves to tell us a lot about it. There he meets a friend of Daisy, a young beautiful lady dressed in white, Jordan Baker. As four of them were drinking and having a friendly conversation, Tom received a call. Jordan tells Nick about the problems of their marriage and that the person on the phone was Myrtle Wilson, Tom's lover. She says that everyone is aware of Tom's affair, even Daisy herself. Daisy gets angry and starts shouting at Tom. Nick watches Gatsby from the window of his house. It seems a little strange to him because almost every night, Gatsby stares at the water of the island, particularly at a green light as he was looking for something (Shmoop Editorial Team, 2008).

After some days, Nick receives an invitation from Tom for an afternoon in New York. On their way to the city, they pick up Myrtle, Tom's mistress. She is the wife of George Wilson, who owns a modest garage and gas station along the highway. In the role of the narrator, Nick explains that Tom does not care if others see him with Myrtle and says how shameless he is about it. They go to the Catherine's apartment, Myrtle's sister. Myrtle calls her friends McKee's to come and join the party. That was only the second time in his life that he has ever been drunk. Myrtle drinks more and more and begins to talk about Daisy. Tom warns her never to mention the name of his wife but she insists in talking on whatever she wants. Tom responds and breaks her nose. Nick leaves the apartment and finds himself waiting at the train station to go back at home (Shmoop Editorial Team, 2008).

Nick takes an invitation from Gatsby's chauffeur to go at his home. There was a large and crowded party as the ones that Nick had heard about. He meets Jordan in the party and all people gossip about the mysteries of Gatsby. Some think that

he is a spy during the war and some think that he is a bootlegger. Nick visits the house and everything seems mysterious to him, even the library, books and the servants. Gatsby talks to Nick and they realize that both of them have served in the same division during the war and as he does with everyone, he calls Nick "old sport". They plan to have a trip with his hydroplane in the next day. After this short talk, he leaves to deal with the business matters.

Jordan mentions that Gatsby was graduated in Oxford and Nick gets fascinated with all that this man has. Meanwhile, a butler comes and gets Jordan for a private chat with Gatsby. When she comes back, she claims that Gatsby told her amazing things but she cannot say anything for the moment; maybe in another day when they will meet again. Even though Jordan is not honest, she attracts him, but still he, himself, thinks that he is one of the few honest people he has ever known (Shmoop Editorial Team, 2008).

Nick goes for lunch in New York with Gatsby. During the trip, he tries to explain to Nick that his past was not a real one, but an ideal life and family like what he really wanted to have. He pretends to be a son of a wealthy family from Midwest, exactly San Francisco; being graduated at Oxford; being awarded medals in World War I. There he meets a Gatsby's friend and business partner, Mr. Wolfshiem. Jordan tells the details of the mysterious chat she had with Gatsby at the party. She says that Daisy was an eighteen-year-old beautiful girl who fell in love with the Lieutenant Jay Gatsby, but the family prevented her from meeting Jay again. Years later, she married Tom Buchanan, a wealthy man, and gave birth to a little girl. They loved a lot each other up to the moment when Tom had love affairs with other women. Gatsby bought "the castle" to be near Daisy. Gatsby needs Nick's help to him in inviting Daisy at home for tea, and he would come casually (Shmoop Editorial Team, 2008).

Nick follows the plan and invites Daisy for tea. Gatsby comes, meets Daisy and Nick leaves the room. Gatsby invites them to see his house. All he has achieved is related with the idea of impressing Daisy with the fine things. She likes all the details of the house and the luxurious lifestyle as much as she starts crying. They dance in the hall full of happiness and smile for the moment. Nick leaves and let them be alone together, again (Shmoop Editorial Team, 2008).

A reporter comes to Gatsby's mansion to interview him and have more information about the myths around him, his lavished parties and the way in which he became rich. All of what Gatsby said up to now is a fantasy world that he created about himself. His real name is James Gatz and he grew up in a poor family. He did odd jobs and tried to attend a small college for some weeks. One day, while he was walking in the shoreline, he saw the yacht of a wealthy man, Dan Cody. He warned Dan Cody for a storm that might destroy the yacht. He went with Cody for five years as his friend, secretary and after Cody's death was supposed that he will get a large portion of the fortune, but it didn't happen like this. Cody's mistress did not allow Jay to get the money. Tom and Daisy go at the next party at Gatsby's house. Tom does not like the party and wonder how did Gatsby earned this enormous wealthy. He is quite sure that his money comes from drugstores. Gatsby is certain that he will convince Daisy to return and live together (Shmoop Editorial Team, 2008).

There are no more parties at Gatsby's house because now, he had found his lover. Next Saturday Gatsby goes to Daisy's house where he finds Nick, Jordan and Tom. They have a cocktail and decide to go in town in two groups: Daisy and Gatsby with Tom's car and the other group: Jordan, Tom and Nick with Gatsby's car. Both cars stop at Wilson's gas station. Aware of his wife affair, Wilson asks Tom for money to move out West with Myrtle. The two groups arrive at a hotel and try to have a quiet conversation, but the tensions between Gatsby and Tom increase. Tom says that Jay did not study at Oxford. Gatsby tries to explain that he was there for a few months. Finally, Tom mentions the affair of him and Daisy. She does not speak at all and Gatsby tells that she never loved him and now, she is going to leave him. Jay and Daisy leave to go home with Gatsby's car. Nick realizes that it is his thirty birthday. Tom, Nick and Jordan leave with the other car and stop at Wilson's garage because of a tragedy occurred in the road. Wilson's neighbor, Michaelis discloses what has happened: while Wilson and Myrtle were arguing, she went near the road, a yellow car killed her and it did not stop. Gatsby is ready to sacrifice and show himself as guilty even though it was Daisy who killed Myrtle (Shmoop Editorial Team, 2008).

Full of revenge, Wilson goes to Gatsby's house, shoots him and then suicides. Nick finds him dead in the pool. He tries to call Daisy and inform her about Gatsby's death but the Buchanans have already left to another house. His attempt on getting in touch with friends and family for the funeral, but no one wanted to come, except his father, Mr. Gatz. He reveals that Tom and Daisy are those kinds of people who make troubles and leave; other people have to find a solution for the problems caused by them.

Before moving back to Minnesota, Nick meets Jordan and goes to see the green light for the last time. The novel ends with one of the most famous passages in American Literature: "Gatsby believed in the green light, the orgiastic future that year

by year recedes before us. It eluded us then, but that's no matter – to-morrow we will run faster, stretch out our arms farther...And one fine morning--So we beat on, boats against the current, borne back ceaselessly into the past" (p. 172).

## 2.1. Defining the American Dream

American Dream has been for more than 200 years the most compelling and the most desired dreams of all times. It started almost 400 years ago with Puritans immigrating to America to become after that the driving engine of a whole nation. The movement of religious immigrants to America had started as early as the beginning of 17<sup>th</sup> century, but it was only in 1630 that 700 Puritans lead by John Winthrop would settle American shore with the belief that the New England (America) was a chosen land from God, distinguished and exceptional. They were among the firsts to set the values of a belief that for a long time would be the idol of every person on earth.

American Dream can be defined as the belief that anyone that works hard to achieve success in America can achieve it. This belief is consistent to everyone and no race, class, gender or nationality distinction makes the difference. For ten score years, this has been the prevailing idea of Americanism and most of other nation's citizens sought to reach this.

The first to mention the term American Dream is James Truslow Adams who was an historian and writer. He defines it as "dream of a land in which life should be better and richer and fuller for everyone, with opportunity for each according to ability or achievement." (Adams, 1931). Hence, from his definition one can understand that it is directly related to the tenets determined in the Declaration of Independence. Terms such as social, gender, religious inequality, racism, xenophobia etc. become invaluable ones while facing the values of American Dream.

The freedom in America is "associated with autonomy" (Rifkin, 2004, p. 13). Thus, when one has autonomy or independence upon others, he or she is free. This type of freedom that characterizes America is more in the materialistic aspect. Therefore, as much wealth has one, that much independent one would be.

The concept of freedom is not only related to that of autonomy, but to work ethic as well. Based on American beliefs that are set forth by Franklin Roosevelt, it is the hard work that sets the individual free because only if the individual works

On the other hand, this conviction on American uniqueness is associated with the patriotism, which is a core value of Americanism. American Dream developed because of deep patriotism, love for the country and celebrated the two feelings. This sense of belonging was the generator of the Dream. Rifkin notes regarding the uniqueness and belongingness as "from the very beginning it was meant to be exclusive to America" (Rifkin, 2004, p. 17). He also says that this dream was never a dream "to be [...] shared with or exported to the rest of the world" (Rifkin, 2004, p. 17). Thus, the American Dream could be lived only in American land.

## 2.2. Depiction of American Dream in "The Great Gatsby"

*The Great Gatsby* is a mere description of the culture of 1920s and the impact this culture had in the failure of the so-called American Dream. In this section the culture of consumerism, being an epitome of "going from rags to riches", luxury, parties, attempts to become an "old money" will be discussed. All these factors and the replacement of the old Protestant values of work ethic and pursue of happiness of the Declaration of Independence with leisure and pursue of wealth supply the demise of a dream that has been the driving force of a whole nation.

It also reflects the contribution and involvement of the characters in the novel to the failure and downfall of the American Dream. Despite the depiction of the socio-cultural and economic conditions of 1920s and the same conditions that push and provoke his characters, he provides the reader with an insight on the psychology of each of them and "the interior motives which they use to justify their behavior and actions." The Dream that everyone seeks in *Great Gatsby* is being corrupted by his or her immoral lives and actions.

The lives of the characters, especially Gatsby, depict the culture of excessive consumerism and extravagantly wealthy living. They, the people like Gatsby that had come from the bottom part of the society, needed to settle their position and newly gained status in the society. In addition, they attempted to gain the respect that the "old rich" already had achieved that far and the necessary esteem that characterizes the rich people through the means of displaying their wealth and fortunes and through the purchases.

Fitzgerald depicts Jay Gatsby as a paragon of self-made man of success. He starts everything from the very beginning and from living his childhood days in poverty becomes a millionaire. He achieves the success that everyone in America was

seeking for at the period. Gatsby has a huge house, servants and many friends that attend his parties. All the success he has achieved and the status he has will assist in his decay.

Given the abovementioned culture of consumerism, Jay Gatsby falls into the same tendency as the others like him. His dressing style was often pompous. Also, he inclined to show off with his "circus wagon" car and his large house where he organizes huge parties and consumes lavishly and great amount of alcohol. The wealth and power is not sufficient for a wealthy person to maintain his esteem. By putting it into evidence, thus by showing it to others, makes these people more confident.

Gatsby succeeded to give the impression that he had achieved the American Dream though from the inside he still sought assurance about him being impressive enough. In the book, he asks Nick to assure him about how impressive his house looks. The house of Gatsby was made just for the sake of its outward appearance and for public entertainment. It had a swimming pool that Gatsby says in the book "he never had used", large lawns and gardens surrounding it and a tower. All these details depict the importance that he paid to making evident his richness. This is due to his lack of being part of the "old rich" society. Another means for him to display his successes and great wealth are the huge parties that he organizes in his mansion. His guests are mostly from the new riches and, according to Fjeldstrom, "It is easy to see that the guests at Gatsby's party are completely unable to exist independently of each other, for all of these people are similarly trying to become a part of the rich set" (Fjeldstrom, p. 38). Belonging to the same strata of society, and intending to achieve the American Dream that they believed Gatsby had succeeded on; they could not understand that he was indeed lacking it. His American Dream was not only that of success. His American Dream was to win Daisy.

After the WWII, there was a great change in the economy of American people and a shift of status happened while the poor became rich and vice versa. It was a time when the riches bankrupted and many industries or companies crashed and went out of business. Therefore, the people from the lowest strata of the society could collect money through corruption and illegal means. Hence, the American Dream that before it was through hard work and self-discipline that one could attain, during 1920s turned out to be one of luxury, idleness and leisure. The newly rich had they achieved their goals regarding material wealth, did not persist in the Protestant ethic of hard work that the American Dream was supposed to be achieved. Regarding this, Cervo says:

America is the land of opportunity, but all the opportunities that really matter are basically criminal in character, like bootlegging. To spin off from this a bit, it may be truly said that in America, no noncriminal ever becomes rich. By "crime" I mean not only the illegal, but the immoral; that is, breaches of decency, like honesty and trust, and a fair product for a fair price (Cervo, 2010).

Yet, one must admit that not all became rich because of their criminal accounts but related to immoral aspect it is true. Also, regarding Gatsby it is true in both aspects while Jay Gatsby and others coming from a poor setting involved themselves into these illegal works in order to achieve their dream. Gatsby deals with bootlegging business. Because Gatsby differs from some others that achieved their materialistic dream in that respect that he earns his wealth not in an honorable means, he lacks this work ethic. It is the means through which he accumulated his material wealth that contributed in the corruption and the demise of the American Dream and Gatsby's downfall.

It is previously mentioned that Gatsby's American Dream is tightly bound to Daisy and winning her back, ergo he uses many different attempts, one might consider even naïve ones, to reach her. As long as Daisy is already a member of that part of the society that has always been rich and wealthy, only money cannot satisfy her and cannot make Gatsby reach her. She is already rich enough and has a rich husband. Gatsby fails to realize and understand that no matter how much Daisy involves with him, she will never leave the life that she has and the society she belongs to or being an "old money" representative.

The belief that having more materialistic wealth for Daisy he would have higher chances to be loved by she makes him involve in these businesses, but it concludes that money cannot make him happy. Also when they have the car accident and murder Myrtle, Gatsby cares only about Daisy and that she will have no problems. Having Daisy become the only important thing about him, he starts to become just as careless as she is. He lies about the cause of Myrtle's death in order to save Daisy and is killed by George after that. Thus, the means Gatsby chooses to win his dream cause him to die and, consequently, the failure of his American Dream for that he never could fully complete it.

Myrtle though she is not one of the main characters in novel, she is a key character in the general flow of the plot and in the understanding the society of consumerism in 1920s and, the most important, for her continuous pursue of the American Dream.

She is a flat character, which means she does not experience any changes throughout the book. Yet, though she is the type of character that does not change, she drives most of the action of the novel and reveals the real faces of other characters such as for instance Tom Buchanan or Daisy. Thus, Tom while being with her reveals his imperfections of being a husband that betrays his wife.

Her American Dream is to achieve material wealth that would be enough to satisfy the needs that cannot be completed by her husband's incomes. In order to get this dream she does whatever it takes without thinking about how much she damages other people's lives, especially George's, her husband. She married him by believing that she truly loved him and that they would be happy together, but because her only driving force in life is money and wealth. She looks down on her husband. George was not a rich man; in addition, he was a poor person indeed for that in order to marry Myrtle he borrowed his wedding suit to a friend. In the book, she says "The only crazy I was when I married him. I knew right away I made a mistake. He borrowed somebody's best suit to get married in, and never told me about it, and the man came after it one day when he was out..." (p. 37). She calls herself crazy for involving herself in a marriage with a person that could not even afford his wedding costume and views it as a big mistake. It is understandable that her only purpose in life is the material world and does not appreciate the struggles of George to be with her.

It is a completely different attitude towards Tom. Holding the belief that she would become part of the aristocracy, Myrtle involves herself into immoral actions in order to achieve her biggest dream. She holds a great desire to have a luxury life. It is this dream of becoming rich or taking the taste of the wealthy material world and luxurious lifestyle that push her to start an affair with Tom. She starts this love affair because Tom is a representative of that society that she wants to be part of. By being with Tom in a relationship, she feels as if she is already member of the aristocracy that is Myrtle's greatest happiness. Even though he mistreats her and hits Myrtle, she compromises with these. Therefore, her American Dream of having a better life and being financially successful brings the decay of her character. Despite being a mistress for Tom, she is able to endure even these mistreatments that show her real position in Tom's life and the society after committing the act of adultery that is a position of the lowest level of the society because she is both poor and a dishonest person.

Just like Jay Gatsby Myrtle's Dream is a consumerist one. She serves to Fitzgerald's depiction of what is consumerist hysteria. Fitzgerald depicts her as a typical woman character of the 1920s while her habit of buying magazines serves to feed her Dream. She reads magazines and fantasizes of being among those people. Therefore, as soon as she becomes Tom's mistress she starts to spent without any regard.

### **2.3. The Failure of the American Dream in the novel**

The Roaring years show that there was no any golden rule for the accomplishment of the American dream. Every man has just to work hard enough for his success, even if he is not part of a rich family or a high social class. Roland Marchand (1986) claims, "Not only did he flourish in the fast-paced, modern urban milieu of skyscrapers, taxicabs, and pleasure-seeking crowds, but he proclaimed himself an expert on the latest crazes in fashion, contemporary lingo, and popular pastimes." The definition on his book for the man of 1920's attaining the American dream is quite similar with the way Fitzgerald portrays the figure of Gatsby from the lower class to a luxury life. Jay Gatsby is the embodiment of the self-made success who invented a new identity for himself regardless the poor past. The richness and the social status of him are the factors that cause the death of the American dream.

An American of that time was considered wealthy according the material wealthy and how much is he able to spend. The sizes of the houses described in the novel are the main element that indicates the status of someone. At the first sight, it seems like Gatsby has everything of the American dream, but he still asks for Nick's assertion as it is shown in chapter 5: "My house looks well doesn't it? See how the whole front of it catches the light." (p. 87) Donaldson (2001) explains in his article: "The culture of consumption on exhibit in *The Great Gatsby* was made possible by the growth of a leisure class in early-twentieth-century America. As the novel demonstrates, this development subverted the foundations of the Protestant ethic, replacing the values of hard work and thrifty abstinence with a show of luxury and idleness." (p. 8). Donaldson explicates how hard work and social values lost their importance and are replaced by laziness.

"*The Great Gatsby*" represents characters that are interested in materialistic life and never get interested in working hard. One of the reasons why Gatsby loves Daisy may be her aristocracy origin. He was not able to understand that money is

not enough to win Daisy's love. In the other hand, Tom is as wealthy as Jay but he uses a careful and fine way to show off his fortune.

Gatsby tried to have everything for show such as: the big house, the beautiful swimming pool and the generous parties. Donaldson (2001) comments upon this: "The outsized house, together with the lavish parties and the garish clothing, the automobiles and the aquaplane, represent his attempt to establish himself as somebody, or at least not nobody." (p. 11) The partygoers were striving for the American dream but they couldn't realize that Gatsby who had all this fortune has not achieved yet the real American dream. All of them think that he has a perfect life but he needs Daisy to enjoy the luxury life at all.

Gatsby thinks that he has to "establish himself as somebody" for the achievement of the American dream. After the meeting with Daisy, he understands that their relationship was not as beautiful as before. This is the moment when his life starts to downfall. He decided to live alone without the servants and lost the desire for the Saturday's parties. That happened because of his wrong conception of being "somebody" for the sake of love.

The automobiles are one of the most obvious elements of the novel too. The twenties were the years when the cars, as a new technology, characterized the high class Americans. They do not consider the cars as a way of transportation but as a possibility to exhibit their fortune to the society. The protagonist has employed a personal chauffeur but he himself has an expensive yellow car. In her article, Lauraleigh O'Meara highlights the significance of cars at 1920. She describes Gatsby's car as "...a rich cream color, bright with nickel, swollen here and there in its monstrous length with triumphant hatboxes and supper-boxes and tool boxes, and terraced with a labyrinth of windshields that mirrored a dozen suns. Gatsby's 'splendid car' delineates an expensive and unique commodity, not an efficient means for travel" (p.68).

The role of automobiles seems to be related with the failure of the American dream because of Gatsby's ideas to prevail Daisy's love through the luxury life. The cars display their negative side in the culture of 1920 as well and so far, they lead the characters toward the demise of the American dream. Myrtle died due to a car accident while the reason of Wilson and Gatsby's death are also associated with the car. O' Meara calls them as the car of deaths. According to the novel and society of the twenties, wealth was the only road that could realize their dreams and makes their lives happier than before. Meyer Wolfsheim, Gatsby's "friend", deals with illegal businesses and criminal activities. Gatsby was not corrupted by Wolfsheim but he couldn't avoid being more like him through the story.

Catherine, Myrtle's sister is a lesbian and Nick describes her as a strange person. He says, "She came in with such priority haste and looked around so possessively at the furniture that I wondered if she lived here. But when I asked her, she laughed immoderately, repeated my question aloud and told me she lived with a girl friend at a hotel." (p. 34) He also portrays Mr. McKee as a weird character: "Mr. McKee was a pale feminine man from the flat blow...he informed me that he was in the "artistic game" and I gathered later that he was a photographer and had made the dim enlargement of Mrs. Wilson's mother which hovered like ectoplasm on the wall." (p. 34). These characters search for wealth as a hope to fulfill their empty spiritual world.

The Buchanans family may be the best representation of the American dream but they are people without dreams, without social values, without goals in their life. Everyone is amazed by Tom's life as far as he is "a national figure in a way, one of those men who reach such an acute limited excellence at twenty-one that everything afterward savors of anti-climax; His family were enormously wealthy — even in college his freedom with money was a matter for reproach — but now he'd left Chicago and come East in a fashion that rather took your breath away" (p.10).

He is not a responsible person and does not care for the other's feeling. Tom does not know how to behave with his wife and take care of her. His personality is considered as vulgar and mean. The novel and the way that Fitzgerald ends the life of the characters demonstrate that money cannot buy happiness. Gatsby could not succeed in winning Daisy's love because of the wrong perception of the American dream and the decline of the moral values. Obsessed with the idea of having Daisy's love back unconditionally, he forgot to pay attention to the moral and social principles. Instead of being a noble wealthy man, he became more like Tom and Daisy, careless people.

The representations of parties, automobiles and houses resulted in the failure of Gatsby's dream. George and Myrtle Wilson passed their lives on attempts to escape from the struggles of the low class to the comfort of the upper class. They tried a lot and used the "few" chances life gave to them up to death. Nevertheless, they could be neither like Buchanans nor like Gatsby ("The Demise of the 1920s, n.d.).

"The Great Gatsby" introduces hope and persistence as the most important characteristics of the American dream. People have to believe on being successful beyond all possibilities. Mr. Gatz told Nick about his son's attempts to be a great man since he was young. He brought a journal that proves all of his words by representing Gatsby as the epitome of the American dream. He has always been ambitious, hard working and looking for adventure. He used these qualities for the eternal hope over Daisy's love. Contrary to Tom, he is very careful not to hurt Gatsby. Even in the day of car accident, Gatsby dint recognize who was the dead person, but he worried about Daisy's future.

The deaths of Myrtle, George and Gatsby at the end signify the destruction of the American dream. The characters of the book are the best symbols that chased the dream until the end of life and failed in its success because they overvalued materialism and money instead of its pure ideals. Thus, the novel is focused on the existence and death of the American dream (Hindus, 1968, p. 39- 40).

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## Jane Adams: an experience of multicultural education and social care. Chicago, 1889 – 1910

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### Abstract

The focus of this study concerns a deep analysis on the innovative educational method utilized by Jane Addams (1860-1935) at Hull House. She was a philosopher, but first of all we can consider this woman as a sociologist, because of her careful survey on society, Addams's activities also implied a new educational project based on the social care of poor workers and their families. She chose for her extraordinary experience one of the most slummy suburbs in Chicago, where with her friend Ellen Gates Starr founded in 1889 this settlement. The main intention of the sociologist was to give immigrants lots of opportunities to understand Chicago's social and political context. It was important to create a place where immigrant families could socialize, learning more about their rights and possibilities. For this reason Addams suggested that it needed to start from education, taking a particular care of children who lived in that area. It was necessary to promote a reform on the different culture learning to support immigrants in their integration, people who came there hoping to find a job into factories. In 1889 when the settlement was founded, there were about four hundred social houses around the States. Addams' s important social and political idea was to develop a democratic society, where each person could recognize himself/herself as a part of it, avoiding marginalization and segregation. The sociologist was a central figure at Hull House for about twenty years.

**Keywords:** multicultural education, democracy, social care, immigrant children, integration

### Introduction

By analysing at the end of the Nineteenth century (1889) Jane Addams's work at Hull House in Chicago, we can observe how her educational method has been as modern as innovative. In fact, in such a society, where education was above all considered as a mean to obtain a factory job in an industrial city, Addams was able to open a path towards a transformation.

Starting from the first decades of the Nineteenth century, industrialization and urbanization grew up so rapidly in the States that it was more and more necessary to have got a lot of labour force to increase the production.

As we know, cities were changing their own physical aspect. They were crowned by different people and it seemed the immigration flow, coming from Europe, was ongoing. People, trying to better their life, followed their own American dream and when they got down, after a dangerous travel, at Ellis Island, relaxed, trusted in their choose.

Of course, industrialization and urbanization began long before in the Us, but in the last decades of the 19<sup>th</sup> it seemed they had a great evolution, and as these phenomena grew up, as the social problems got worse, spreading out all around the Us.

After all, the ethnic miscellaneous was not a new phenomenon for the Us which could be considered as a multi-ethnic nation in the Eighteenth century yet, before the Independence War. In fact, analysing this period, we can observe an extraordinary ethnic fragmentation around all the territory. Who lived in this country was used to share different religions and cultural traditions. <sup>1</sup>.

In such a colourful context, Chicago appeared as one of the most important industrial city of the States and the largest one in the Midwest. Its slums were full of immigrants and countryside people, looking for a job in the manufacturing settings. Most of them could not speak English and had a low level of education. So there was a high rate of analphabetism and lots

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<sup>1</sup> Cfr. D. Lacorne, (2003), *La crise de l'identité americaine*, Paris, Gallimard.

were the different languages which crossed into the streets. Children, boys, girls, adults tried to survive, working hard in factories for more than twelve hours a day, earning some coins. In the worst cases, people begged on the street to help feeding their family. Women and girls often fell down into the darkness of the prostitution, while little boys and young men learnt quickly to steel everything they could with great ability.

The three phenomena: industrialization, urbanization and immigration created a chaos and required of course some politic actions to establish a new asset. One of them was realized at the beginning of the Twentieth century, as the famous policy called *melting pot*. Actually, this experience represented above all a theoretical thought, in fact it was just an action where immigrants always sacrificed their own identity, homologating themselves to the wasp pattern. Moreover, during the first period of this experimentation, people who came into the States, after a while, felt a discomfort derived from the different reality he had to face up with, as later stated Thomas and Znaniecki. In fact they made a deep survey, observing carefully letters by immigrants who came from the Polish countryside and now moved to Chicago's society. The Polish, in fact, felt like emarginated subjects. They lost the membership sense to their original nation, but at the same time they didn't feel to belong to American society, only perceived themselves as hybrid individuals. They just were marginal men and women.<sup>1</sup>

In this atmosphere of great changes, Jane Addams (1860 – 1935) worked, trying to solve the daily difficulties which afflicted the poor's life. First of all, she was interested in experimenting an adequate manner to integrate immigrants, as consequences she aimed at giving them other chances. The sociologist and reformer, as we can define her, with her friend Ellen Gates Starr founded in 1889 the settlement Hull House in Chicago, a place where all people would have learnt to make a democratic and peaceful society. She was also involved in reforming the child labour, whose law was approved in 1902. Hull House was her main job for about twenty years, from 1889 to 1910. After that, the sociologist dedicated her life not only to solve the social problems but started fighting for peace against World War I and all kind of conflict. All her life was based on the ideals of democracy and peace. So, Hull House became a centre of lots of meetings, where all people could take part. What the settlement offered were useful services, so it could be compared to a rudimental welfare state.

In the first decade of the new century she was firmly aligned against War World I, founding the *American Union against Militarism* under her effigy "no war is right". To sustain her fight, in 1915 she became the leader of the feminine association *Women's International League for Peace and Freedom*, obtaining the Nobel prize for peace in 1931, four years before she died. She, of course, was also involved in the feminine fight to obtain the vote and in the feminine labour. In fact, she was one of the most active supporters of the *Chicago Women's Trade Union League* (1903) and of the *National American Women Suffrage* (1911).

### **Jane Addams (1860 – 1935)**

Laura Jane Addams was born on September 6, 1860 in Cedarville, Illinois (Us). Her parents John Addams, a Quacker tendencies man, and Sarah Weber were very active people both in social and political issues. John Addams was for about sixteen years in the State Legislature and directed a bank as well as a railroad, while Sarah run the domestic questions and took care of her eight children. Unfortunately, when Jane was only three, her mother died and Martha, her eldest sister looked after of the family. From that moment, Jane developed a close relation with her father, who was not the only important figure in her life, as we read in her biography some years later:

"All of these are directly connected with my father, although of course I recall many experiences apart from him."<sup>2</sup>

She learnt from her father the moral and ethic behaviour. Anyway another change happened in her life, when her sister Martha died at sixteen. John Addams married Anna Haldeman (1868). Anna was a sophisticated woman who played the guitar and the piano, as well as a great reader. Jane learnt a lot from her, in fact she started to appreciate music and art. Moreover Addams learnt from Anna her elegant manners, utilizing them to face up with Chicago's society.

Addams and her sisters attended a female college of Rockford, a college where the female headmaster supported the equality in education between girls and boys. In this high school, Jane could elaborate an independent thought, developing her interest for feminist ideals.

After the degree, in 1881, and the unexpected death of her father in the same year, she attended for about one year the Women's Medical College that left because of a health trouble. In the same period, George Haldeman, Anna's son, asked

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<sup>1</sup> Cfr., W. Thomas, F. Znaniecki, (1920), *The Polish Peasant in Europe and America*, Boston, Badger.

<sup>2</sup> J. Addams, (2008), *Twenty Years at Hull House*, New York, Dover Publications, p.1, (first published 1910)

her to marry him, but Jane refused, she considered George only a good friend. So she decided to travel throughout Europe (1883-1885). This was her first approach with European culture. In 1887, she returned to the old Continent, for the second time with Ellen Starr, her friend of Rockford with whom she kept on maintaining an epistolary relationship.

In London, Jane and Ellen visited the Toymbee Hall, a settlement house founded in 1884. It was there that Addams decided to create a place like this in Chicago to help the poor. The second visit to Europe represented an important step to define her life vocation. In fact, coming back to the States, Addams and Gates Starr moved to a residence called Hull House in 1889. The building was situated in a poor and crowded industrial district of Chicago (on Halstead and Polk Street), a slummy area full of immigrants.<sup>1</sup>

The residence was very large, with a playground and a camp near Lake Geneva. From that moment, other female social and political reformers settled at Hull House, helping Addams in her social work, as Julia Lathrop, who arrived in 1890<sup>2</sup>, and Florence Kelly who came a year later<sup>3</sup>.

These women already activists, contributed to transform Hull House not only in a place of education but also in a center of social research.

Among these women who moved to Hull House, there were some of them, as Ellen Gates Starr and Mary Rozet Smith who had an affective relation with Addams. Mary Rozet Smith was a wealthy woman who supported Hull House financially and who had an important emotional relation with Addams. Their couplehood in fact lasted up to 1934, when Mary died, a year before Jane's death.

In her stay to the residence, Addams better took consciousness of her interests and ideals, and transformed her philosophical thought in an empirical social experience.

Her critical observations and her sociological survey have been written by herself in two famous biographical works: *Twenty Years at Hull House* (1910)<sup>4</sup> and *The Second Twenty Years at Hull-House, September 1909 to September 1929*<sup>5</sup>, (1930).

Her research could be compared to that did by Charles Booth in a London slum on people's life and labour, published in London from 1891 to 1903.

At Hull House she invited many intellectuals of the time as John Dewey, William James and George Herbert Mead to give lectures, establishing with all of them a mutual exchange of ideas to better the condition of individuals and try solutions to social troubles.

According to Addams, knowledge became more efficient in the reciprocity, it meant that a good educational method should consider a mutual cultural exchange in learning. So immigrants could learn American culture but also teach their own experience. In the suburbs, where she worked, the change could come recognizing the value of each person. So American culture could take a great contribution from immigrants' traditions. It needed to rebuild the sense of a good neighbourhood that represented one of the ancient aspects of the community. The reformer observed and described in her writings that:

"the variety of impulses manifested by people of different ages – the impulse to imagine and play evident in young children, the impulse to make idealistic commitments so prevalent among young adults, and the impulse to nurture and teach so important for mature men and women."<sup>6</sup>

Addams, in her activities, supported W. E. B. DuBois in the foundation of the *National Association for the Advancement of Colored People* in 1909, one of the first important association for the American African people's rights.

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<sup>1</sup> Cfr., E. Condlife Lagemann, *Introduction*, in J. Addams, (2006), *On Education*, New York – London, New Brunswick.

<sup>2</sup> Julia Clifford Lathrop, (born June 29, 1858, Rockford, U.S.-died April 15, 1932, Rockford), American social welfare worker who was the first director of the U.S. Children's Bureau, <https://www.britannica.com/biography/Julia-Clifford-Lathrop>.

<sup>3</sup> Florence Kelley, in full Florence Molthrop Kelley (born Sept. 12, 1859, Philadelphia, Pa., U.S.-died Feb. 17, 1932, Philadelphia), social reformer who contributed to the development.

<sup>4</sup> J. Addams, (2008), *Twenty Years at Hull House*, quoted.

<sup>5</sup> J. Addams, (1930), *The Second Twenty Years at Hull House*, New York, The MacMillan Company.

<sup>6</sup> E. Condlife Lagemann, *Introduction*, in J. Addams, (2006), *On Education*, quoted, pp. 3-4.

During this period she dedicated most of her energy in supporting of peace against War World I, receiving in 1931 the Nobel Peace prize for her tireless efforts. Addams died of cancer on May 21 1935.<sup>1</sup>

Today Jane Addams is recognized for her important activism in social issues, as a reformer who left a large intellectual heritage, writings books and articles about her experience.

On December 2007, it was established the *Jane Addams Day* in Illinois, supported by the *Illinois Division of the American Association of University Women*.

In 2014 Addams received a bronze plaque by *San Francisco's Rainbow Honor Walk* as a *LGBTB* heroine, and one year later she became one of the most important icon of *LGBTB History Month*.

### **Hull House: a first approach to intercultural education**

When Hull House was open in Chicago in 1889, around the States started to spread out a real movement of social houses, and various types of social settlements rose, as it was a fashion. In the same year (1889), for example, it was founded the College Settlement in New York City, a network of women's colleges. All this was inspired by the experiment made at Toynbee Hall in a London slum in 1884, one of the early settlements. The main aim of the most social residences was to take care of people who lived in poverty. Moreover social houses tried to develop a workers consciousness, so all individuals could understand better their conditions. Giving assistance for each necessity, the social places, as already explained before, have been defined pre-welfare state systems.

These settlements became, after their foundation, an attraction for lots intellectuals and people who were involved with the poverty issues. The settlers organized education classes for children and adults, inserted evening classes for workers. Moreover it had to organize debates and discussions. They were centre to socialize and learn.

Hull House, as all the social settlement, followed Toynbee's example. Jane Addams, attracted by the re-birth of the ancient spirit of neighbourhood in London slum, tried to organize the same atmosphere in Chicago. Among all the activities she did at the residence, she was very good at raising easily funds for the settlement. In fact, thanks to her heritage, she had a strong influence on the wealthy people.

Addams aimed to integrate all the immigrants who lived into the slummy area around Hull House with American individuals who were in the same zone. Her idea of Americanization was not in favour of a melting pot, policy approved at the beginning of the Twenty century. So we can observe that her thought was forward, her mind was already crowded by the idea of a salad bowl, an idea affirmed after the *melting pot* failure, in the second half of the Twentieth.

Another important point of Addams' s theory concerned children education. She was worried for them who had not time to play or spend their leisure time because they worked. In fact, she emphasized the necessity to give importance to the game and the recreation time, destroyed by the industrial city.<sup>2</sup>

The development of industrial society in Us meant, for one side, also an improvement of the educational system. Nevertheless, at the second half of the Ninetieth century, public school was organized to support the industrial society. Students generally went out school at fourteen to work directly into the factory. From that instant, they started their dark daily routine, losing their dreams: they passed from infancy to adult life. In Europe, education thanks to many scholars, were slowly changing. Georg Simmel, for example, suggested an interesting approach to school. He moved up the postmodern image of education which had to represent the individual emancipation in the city. He emphasized that teachers must help students to develop the autonomy of their thought and the ability to join knowledge and existence.<sup>3</sup>

Addams 's method at Hull House, to improve people's knowledge and consciousness, was based on democracy and freedom concepts.

"The democratic ideal demands of school that it shall give the child's own experience a social value, that it shall teach him to direct his own activities and adjust them to those of other people."<sup>4</sup>

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<sup>1</sup> Cfr., Allen F. Davis, (2000), *American Heroines: The life and the Legend of Jane Addams*, Chicago, Ivan R. Dee Publisher.

<sup>2</sup> J. Addams, *The Spirit of Youths and the City Streets*, Chicago, The McMillan Company, 2005 (First published 1909).

<sup>3</sup> Cfr., G. Simmel, (1998), *Sociologia*, Venezia, Ed. di Comunità, (first published 1909 in German).

<sup>4</sup> J. Addams, (2006), *On Education*, quoted, p. 99.

Moreover she stated that in education in regard children it is necessary to start from their own experiences, using spontaneous activities. So it is the street to give him the first education.<sup>1</sup>

For the sociologist, society was a place where "all individuals, regardless of gender, ethnicity, race or economic status, would have the opportunity fully to express and to develop their talents, interests and ambitions."<sup>2</sup>

So education at Hull House was used as a "practice of Freedom", as later suggested, supporting Addams' s vision, bell hooks, the Afro-American writer who keeps on fighting against all the types of discrimination.<sup>3</sup>

The first subjects to understand her educational philosophy were the children who followed her classes. Addams, as she wrote, considered Hull House as a bridge to build a new relation between immigrant children and their parents, who showed more difficulties to integrate themselves into the new asset. The same difficulty of disagreement seemed to characterize the relation between European experiences and American ones. So the residence had to become a place where immigrants could create relations, transferring their culture to Americans and vice versa.<sup>4</sup>

The day spent at the Chicago's social house was very intensive. The residents offered to the audience a myriad of educational projects, thank also to the structures Hull House had. For example, it was introduced a musical school with a theatre, were the neighbourhood residents learnt to play. Some plays were dedicated to the importance of women in history.

Moreover, it was added the Butler's Museum of Art, which the workers of the suburbs started visiting. Art was seen as a relaxing activity for immigrant workers who were stuck in factories all the day. The residence had also a kitchen, a library, a coffee house, a gymnasium, a swimming pool and all the comforts that could be necessary to create an harmonic community.

Addams dedicated a lot of time to immigrant children, to whom suggested to learn from their parents their original culture and heritage. So it was born the Hull House Museum which showed the parent's labour in their original countries, comparing it with the adolescents' s job in that industrial society. Children, according to her thought, had to acquire an important message: poverty did not mean pity. Thus it was necessary to overtake the old pedagogy, whose method was based on teachers' s coercion. The child was, in the most cases, obliged to follow pre-organized lessons and as result lots of children had the tendency to avoid school. The new pedagogy, on contrary, thought from child's instinct and curiosity. Children needed to discover their capacities acting in the world around them.

Addams organized her children' s classes with the narration of traditional stories told by the immigrant children who took part in. In this way, little boys and little girls, all coming from different countries, could learn and appreciated the various traditions, creating relations among them. The stories, object of the lesson, were then compared to the new reality they were living now, that is the industrial city.

This collaborative oral laboratory, is what the Brazilian pedagogue Paul Freire later would have suggested in his educational theory, that is a practice where people could learn to help each other, overtaking the different social status.

Another important aspect of Addams' s educational philosophy concerned the fact that each activity proposed at the residence must be satisfying for the working group, this constituted the main aspect of the work. In this way, who took part to the events had the pleasure to come back again.

"One thing seemed clear in regard the entertainment of immigrants, to preserve and keep whatever of value their past contained and to bring them in contact with a better type of Americans. For several years every Saturday evening the entire family of our Italian neighbours were our guests [...] during our first winters at Hull House. They came to us with [...] their incorrigible boys [...] with their need for an interpreter."<sup>5</sup>

It was easy to perceive that the first necessity for immigrants was to understand and of course to learn English. Addams, following her educational theory, tried to use passages, read in English, about familiar subject for the various immigrants,

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<sup>1</sup> Cfr., Ibidem.

<sup>2</sup> Cfr., E. Condliffe Lagemann, *Introduction*, in J. Addams, (2006), *On Education*, quoted.

<sup>3</sup> Cfr., bell hooks, (1994), *Teaching to transgress. Education as a Practice of Freedom*, London Routledge,.

<sup>4</sup> Cfr., J. Addams, (2008), *Twenty Years a t Hull House*, quoted.

<sup>5</sup> Ibidem, p.149.

something which remembered their own roots. For example, for Italians she read Mazzini, well known by them, and Tolstoj, she knew well, for Russian.

Joining feminism and social improvement, Addams wanted to create an educational method which could realize a good cooperation among slummy residents, showing the positive aspects of the poor workers to the other part of that society. She was not interested to the ghettoization of the slum. For this reason the audience at the meeting was variegated so as her writings could influence different subjects. She, in fact, affirmed that the occupational status could not determine a social status, thus education must give individual a dignified life and a civic consciousness. Only in this way, it was possible to obtain a social and political reform.

Addams' s education is often associated to John Dewey's pragmatism and educational method based on the democracy concept and student's experience. Dewey (1859 -1952) met Addams for the first time in 1892, when he moved to Chicago University for a lecture. In that occasion, he expressed the desire to visit Hull House. He was very surprised for the excellent work made at the residence, becoming a frequent guest of the ladies. From that moment, Addams cooperated with Dewey.

Jane Addams taught at the University of Chicago in lots of courses, always as a free teacher, refusing to be affiliated to it.

### Conclusion

This research is only one branch of a larger study about women who at the end of the Nineteenth to the first decades of the Twentieth century worked to better adults' and children's mental and physical condition through innovative educational methods. These heroines used not only practices based on democracy and freedom, but also developed empathy and compassion for different people often forgotten by their society.

They considered only philanthropists by the intellectuals of their time, analysed their own society with attention and deepness, writing notes and biographical writings about their own observations and activities.

Today they are considered great reformers and sociologists who, thanks to a hard work, have affected their society from another point of view, in an era where the patriarchal supremacy was incontestable.

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## Thought and Metaphor: Does Philosophy Teaching Clash or Collaborate with Literary Education?

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### Abstract

M. Mahlios, D. Massengill-Show and A. Bary in the article "Making Sense of Teaching through Metaphors: a Review across the Studies" investigated how metaphors influence teachers approach to teaching, curriculum and their work with pupil (Mahlios, Massengill-Show, Barry 2010: 49-71). The aim of this thesis is rather different: to investigate the relation between the thought (concept) and the image described by words (metaphor). The question would be asked: is it possible such a phenomenon as the literary argument, which was formulated by Jacques Derrida in discussion with Habermas. If it is possible, next question; how it is possible? How can the consequences of this clash between metaphor and concept be reflected in the philosophy of education? Can literature as interdisciplinary subject on equal grounds be included into philosophy curriculum? Can philosophy on equal grounds be included into literature curriculum? If not - what is the reason for their separation? If on the contrary one chooses the opposite premise that they can be included - what are the philosophical suppositions for their meeting? This article tries to overview the problem from the historical perspective and to suggest the theoretical approach relying on Jacques Derrida conception.

**Keywords:** Thought and Metaphor: Does Philosophy Teaching Clash or Collaborate with Literary Education

### Introduction<sup>1</sup>

#### Philosophy and Literature in the Curriculums of the Universities

One can discern two different approaches in teaching philosophy with regards to literature at the universities in the world. For example, the University of Cambridge suggests the Bachelor course in Philosophy without any attention to English literature. Such a type of teaching philosophy explores human thought, the basis of knowledge, the nature of reason, consciousness and cognition, as well as the foundations of value and political theory. Its questions are intriguing and its study requires complex critical thinking, rigorous analysis and consideration of new perspectives. The educators are following the analytic style of philosophy that is now prominent in much of the world developed by Russell, Moore, Wittgenstein, Ramsey and others. This analytic tradition is combined with study of the history of philosophy from Plato to the present day. Literature is not included as a discipline enlarging or enriching critical thinking (<http://www.undergraduate.study.cam.ac.uk/courses/philosophy>). The similar line of teaching philosophy is taken by the two departments: Department of Philosophy and department of the History of Philosophy and Logic in Vilnius University for Bachelor and Master programs.

On the other hand there are attempts to harmonize these two different spheres of culture and to teach philosophy altogether with literature. New College of the Humanities in London suggests the BA studies Philosophy with English. The creators of the program justify their option for this junction by following arguments: "The central aim of the Philosophy major is to bring clarity and rigour to students' thinking and to advance their understanding of, and ability to engage with central questions, arguments, theories and texts concerning the world and our place within it. The central aim of the English minor is to teach you the relevant conceptual tools, skills and knowledge to read the texts we call literature, and other uses of language, with greater accuracy, penetration and pleasure, for the rest of our life" (<https://www.nchlondon.ac.uk/philosophy-with-english->

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ba/). Alongside with the broad variety of courses in philosophy the students are obliged to study the course of Comparative literature. Philosophy is associated with something rigid, literature- with pleasure. Philosophy's part dominates.

The English/Philosophy Department at Monroe Community College offers courses in English and Philosophy which will fulfill requirements in Humanities, Social Science, English, Literature, and Natural Science. A course emphasizing college-level, source-based writing (summary, analysis, synthesis, research), with special attention to critical reading and thinking skills. Students will draft, revise, and edit multiple thesis-driven essays. They will also study and practice argument and persuasion. They have three study programs: **A. A. Degree in Creative Writing A.A. Degree in English and A.A. Degree in Philosophy** (<https://www.monroec.edu/depts/english/>). In any case, the degrees are separated.

Bristol University suggests BA English and Philosophy course which gives the opportunity to study two distinct disciplines: philosophy and English literature. The students have an opportunity not only to learn the fundamental principles of logic, metaphysics, epistemology, ethics, and political philosophy, but also to study literature written in English from the medieval period to the present day. Three year course is constructed on equal grounds: suggesting the same amount of courses in philosophy and literature, but literature is suggested as formally first.

The Department of Education and Philosophy at Lithuanian university of educational sciences had chosen the other strategy: giving Philosophy Bachelor degree it nevertheless suggested some interdisciplinary courses in the curriculum of the Bachelor degree program Philosophy and Ethics: such as Philosophy and Literature also Borges seminar. It also included some interdisciplinary courses mixing philosophy and visual arts: Philosophy of Cinema also Ethics and Cinema. But the practice of mixing literature with philosophy is not usual practice for philosophy curriculum designers. As usual Cambridge model prevails. Why it is so difficult to coordinate philosophy with literature in study curriculum? What are the deep historical reasons of this clash?

### **Contradictions: Battle Between Logics and Creative Imagination**

Historically one can find the contradiction between philosophy and literature even in Antique. Famous comedian writer Aristofanus is writing comedy *The Clouds* and makes fun of Socrates, showing him swinging in the hanging bag. When old man Strepsiad asks him, what is he doing Socrates answers, that he is walking to and fro in the air and is thinking about the sun. Philosopher Plato in the dialogue *Symposium* overturns the point of view and shows the Aristofanes from a slightly ridiculous perspective. All the participants of the feast one by one discuss the God of love Erot, but when it comes Aristophanes turn, "either he had eaten too much, or from some other cause" (Plato 1942: 174) he had the hiccough and was obliged to change turns with Eryximachus and the physician.

This patronising attitude of the philosopher towards the poet could be traced in the the other writing of Plato as well, e.g. *Symposium Apology, Republic*. The philosopher constantly is meditating on wisdom, is longing for her, searching with the same passion as the person being in love seeks for beloved. But seems that the poets as if does not have any contact with wisdom. In *Apology* Socrates visited poets after the visit to politicians searching for the men more wise than himself and from this visit draw the conclusion, "that not by wisdom do poets write poetry, but by a sort of genius and inspiration; they are like diviners or soothsayers who also say many fine things, but do not understand the meaning of them" (Plato 1942: 39). Socrates does not consider these talents more valuable or at least equal as his own ability for abstract brooding. He is ironical about the belief of the poets upon the strenght of their poetry to to decide other things in which they are not wise. Socrates does not think he is following their path and he left them conceiving himself to be superior to the poets for the same reason as he decided he was superior to politicians. He invented his famous formula to justify his superiority: "for he knows nothing, and thinks that he knows; I neither know nor think that I know" (Plato 1942: 38).

In the later texts witten by Plato *Republic* this division between a philosopher and a poets becomes even deeper. The philosopher in the project of an ideal state takes total supervision over the poet. He requires him as well as from the other creative artist to express the image of the good in his work, avoiding the exhibition of opposite forms vice, intemperance, meanness and indecency. If the case poet is not going to obey the instruction he would be excluded from the state altogether. Why philosopher thinks he has a right to suggest such a project? Because only does he knows what is beauty in itself. All the artists, including poets "having a sense of beautiful things has no sense of absolute beauty". Only philosopher is able "to recognize the existence of absolute beauty and is able to distinguish the idea from the objects which participate in the idea" (Plato 1942: 364). Poet is a man of opinion, philosopher – of a knowledge. He loves wisdom and is able to contemplate absolute idea of unchangeable beauty, poet loves just the beautiful signs (See: Baranova 2015).

Aristotle in his *Poetics* turned his attention to the phenomenon of metaphor. He made a distinction between ordinary descriptive language as literal language and metaphorical figurative language and left the epistemic primacy only to the literal language, where metaphor according to Aristotle can only operate as a secondary device, one which is dependent on the prior level of ordinary descriptive language. Philosophical language is the first-order language and in itself contains nothing metaphorical. "In purely conventional terms, poetic language can only be said to refer to itself; that is, it can accomplish imaginative description through metaphorical attribution, but the description does not refer to any reality outside of itself. For the purposes of traditional rhetoric and poetics in the Aristotelian mode, metaphor may serve many purposes; it can be clever, creative, or eloquent, but never *true in terms of referring to new propositional content*. This is due to the restriction of comparison to substitution, such that the cognitive impact of the metaphoric transfer of meaning is produced by assuming *similarities* between literal and figurative domains of objects and the descriptive predicates attributed to them" (Theodorou).

The rebellion against the philosopher as a more wiser supervisor of a poet takes part in philosophy itself. Nietzsche bravely disagrees with Plato starting from his first book *The Birth of Tragedy*. Contrary to the postulate stated by Socrates and Plato that logic has obvious priority over creativity he suggests opposite statement: "<...>only as an aesthetic phenomena are existence and the world eternally be justified <...>" (Nietzsche 203: 76 ). Nietzsche tries to return the immanent value of this creative spontaneity and the right for the poet to create leaning only on the dionysian spontaneity and the apollonian feeling of form. He unmasks Socrates who condemns the art and ethics for the reason his critical gaze saw everywhere only the lack of insight and spreading delusion. As a matter of fact Nietzsche by stressing the contempt an superiority Socrates felt to the poets, reveals the aggressiveness and self-loving pomposity of the intellect and the logic, its limited ability to grasp creativity. According to Nietzsche, Socrates understood only single form of poetic creativity – the fables of Aesop. But for Socrates tragic art does not seek "to speak the truth" at all. Apart to the fact that it address itself to those "without much sense", and thus not to philosophers. Nietzsche considers Socrates totally incapable to understand tragedy, which is Greek art *par excellence*. He saw in it only some signs of irrationality, for this reason classified tragedy as toady's art showing what is pleasant but not what is useful. He demanded from his disciples stay away such unphilosophical temptation with much success that the young poet of tragedy Plato, immediately burned his poetical writings in order to be able to become Socrates's student" (Nietzsche 2003: 164). Nietzsche considered, that even following logic every decent and gifted man one day inevitably meets what is unexplainable.

Nietzsche also challenged the Aristotelian understanding of the role of metaphor together with Aristotelian theory of truth as correspondence. He saw in metaphor the straight way towards the truth. Nietzsche boldly suggests that we are, from the outset, *already in metaphor*. The concepts and judgments we use to describe reality do not flatly reflect pre-existing similarities or causal relationships between themselves and our physical intuitions about reality, they are themselves metaphorical constructions; that is, they are creative forms of differentiation emerging out of a deeper undifferentiated primordality of being. The truth of the world is more closely reflected in the Dionysian level of pure aesthetic immersion into an "undecipherable" innermost essence of things (see: Theodorou ).

On the other side, literary men are themselves quite strong. They are able to challenge philosophers.

"I always found it untasteful to treat equally the poet and the thinker, – wrote Emil Michael Cioran. – There are some spheres philosophers should avoid. To dismantle a poem as if any system, is a crime, even blasphemy. It is strange, that poets are happy, when they do not understand what is said about them. The jargon pleases them and creates the illusion of laudation. This weakness reduces them till the level of their commentators" (Cioran 2005: 128).

Witold Gombrowicz the polish origin writer from Argentina sagaciously noticed, that literary men should protect the art from compulsion of philosophical speculations : "The artist who allows himself to be seduced into these spheres of brain speculations is lost. We, the men of art, recently too much trustfully allowed to make ourselves fools by philosophers and other scientists". "The art – is fact, but not a commentary, attached with a pin to a fact. It is not our business to explain, teach, systematize, prove. We are the word which testifies: here I have a pain, - this attracts me - I love this - I hate this- I desire this - I do not want this...Science would remain abstract, but our word – it is a voice of a man from body and blood, this is an individual voice. For us it is important not idea, but personality. We realize ourselves not due to the concepts, but due to individuals. We are and must remain individuals, our task is to maintain the alive human voice in the world becoming more and more abstract", - as a program formulates the writer. In difference from philosopher, moralist, thinker or theologian, says Gombrowicz the artist is permanently changing. The artist cannot see the world from one point of view, - he experiences the permanent shift inside himself and only his own movement he can oppose to the movement of the world. The easiness of the artist Gombrowicz is inclined to call his depth and to oppose this his trait to philosopher

(Gombrowicz 1999: 82). Gombrowicz tells the story about his meeting with the German writer Günter Grass. Knowing in advance that he does not like philosophy very much Gombrowicz deliberately started to discuss philosophical matters. "Then with a subtle bow politely discreet Grass pronounced: "Deeply sorry, but my sister, she is standing near by every time she hears more than six names of philosophers experience nervous cough"(Gombrowicz 1999: 196). One can understand Grass very clearly. The writer can write without integration into his consciousness any traces of philosophical speculation.

But if one attentively exams the indexes of Gombrowicz diaries in three volumes, one can find more than six name of philosophers. Gombrowicz discusses texts of philosophers he recently read: He mentions Nikolaj Berdiajev, Henri Bergson, Martin Buber, Soren Kierkegaard, Heidegger, Spinoza, notices even philosophers of history - Wilhelm Dilthey, Oswald Spengler and Arnold Toynbee. He cites Roland Barth, reads Michel Foucault book *The Things and Words*, is attracted by the idea of episteme, plays with it. He mentions quite frequently Wilhelm Hegel, in the first volume mostly frequently remembers Friedrich Nietzsche, in the third – concentrates on Jean-Paul Sartre. It is obvious, that Gombrowicz likes Sartre, but strangely enough, that not literary Sartre, Sartre as a writer of novels, but 'philosophical Sartre, the author of "Being and Nothingness". When he is coming to Paris meeting everyone Gombrowicz asks if they had read the phenomenological treatise by Sartre *Being and Nothingness (L'Être et la Néant)*. Gombrowicz is wondering that nobody reads this Sartrean book and speak on it only superficial banalities, saying that his novel are only illustration to his philosophy, and the philosophy – only illustration to his belestrisits. Frenschmen more that philosophizing Sartre like the writer Proust. Gombrowicz chooses quite contrary. "Sartre, not Proust! The helplessness of Proust ges in no comparison to the creative tension of Sartre! How could they do not notice that!", - becomes angry Gombrowicz. He confesses that half of book of the *Being and Nothingness* is not acceptable for him as well, does not fit his life experiencene and he simply skipped these pages. But for creative power of Sartre interfere his philosophical writings. He sees them as integral part of the Sartrean works. Maybe for this reason Gombrowicz as a writer is able speculate upon the problem of relation between philosophy and literature seeing not only their contreversions, but also immanent parallels. Gombrowicz discerns two possible strivings in man: striving for form, for definite shape and striving to negate this shape. Humanity, according to writer, must constantly define itself and constantly to negate this definition Philosophy is the result of the first striving, literature – of the second Every thought, with a help of which the discrepancy between form and reality is been tried to define becomes form itself and confirm once more that we are longing for form. But, on the other side, every philosophical thought exists only in the background of infinity. This infinity–still–not–yet–form, is neither light, nor dark, but the mixture of everything, ferment, disorder, contingency. This sphere of not yet–form and not-yet- importance is unpredictable and unexpected. Gombrowicz considers, that arguments of philosophers are nor able to explain it (Gombrowicz 1999: 169). This is a sphere of a writer. So philosophy and literature can coexist not pretending to take the place of the other or enlarge at the expense of the other. The striving for form is as much important as the ability manoeuvre in indetermination.

### **Philosophy as a Branch of Literature**

On the other hand, it is possible to treat philosophy as a branch of a literature. The example of such rapprochement, even identity uniting them both under one title as 'literature' is the French literary journal *Magazine littéraire*. Every issue of the journal as usual is devoted to one personality. The scope of authors is rather broad. Some of them are really "in between" philosophy and literature" as already mentioned Kierkegaard, Schopenhauer, Nietzsche, literary critique Maurice Blanchot, post-philosopher Jacques Derrida, Gilles Deleuze or existentialists Albert Camus, Jean-Paul Sartre. But under the title of literature here appears issues dedicated to seems at the first sight so far from literature standing philosophers as Spinoza, Descartes, Bergson, Wittgenstein, Emmanuel Levinas, Karl Marx and Michel Foucault. It seems that in French culture literature and philosophy are rather close. Derrida notices that their meeting becomes possible for some peculiarities of educational system. Literary critique in France has long trust in philosophy. The best example is Maurice Blanchot – literary critique, who made much influence to the postmodern philosopher (he communicated with Michel Foucault, Jacques Derrida. He was also lifelong friend of Emmanuel Levinas). To understand the nature of literature he used insights of such a heavy thinker as Georg Hegel.

The author of this article does not identify philosophy with literature. The conjunction "and" indicaties their difference, leading to a contradiction, parallels and only after that – to intersections. The dialogue between the philosophy and literature becomes possible when uniqueness of every of them is comprehended. Kant transformed platonic conception what philosopher is. According to Plato philosopher sees truth. According to Kant, philosopher reasons about the conditions of possibility, how is possible congition, obligation or hope. When one reasons about the conditions of possibility one can skip peculiarities as contingences for the reason all attention is devoted to the thought experiment and logical consequence.

Literature, on the contrary, shows its strength when is based on the deep understanding of the contingencies of experience giving new life for them with a help of creative imagination. Nobody requires from the literature direct exposition of the idea. Socialistic realism is historically dead. But to write, the same as to read mean to see, says Lithuanian writer Giedra Radvilavičiūtė. "Literary text first of all is visual. The literary text without created inside visual image is flat and dull. We see first of all black words in the white background, but as in Japanese drawing when reading the light appears, the shadows, the movement, the space, the texture and emotion." But nevertheless philosophy and literature somehow meet. They are two eminent philosophical academic journal with the conjuncture 'and' – "Philosophy and literature". One of them is issued in Great Britain, the other one – in United States of America. Philosopher Martha C. Nussbaum worked much on this topic. In her book *Love's Knowledge. Essays on Philosophy and Literature* she notices, that to the exploration of some important questions about human beings and human life form and style are not incidental features. "A view of life is told. The telling itself – the selection of genre, formal structures, vocabulary, of the whole manner of addressing the reader's sense of life – all of this expresses the sense of life and of value, a sense of what matters and what does not, of what learning and communication are, of life's relations and connections. Life is never simply *presented* by a text, it is always *represented* as something. This "as" can, and must, be seen not only in the paraphrasable content, but also in the style. Which itself expresses choices and selections, and sets up, in the reader, certain activities and transactions rather than others"(Nussbaum 1992: 5). So the writer also tells his conception of life. The author agrees with Henry James and Marcel Proust's idea, that in choosing his style or the other possibilities of expression the writer becomes a bit of a medium or a prophet. When philosophers and poets meet each other in the state of Plato they always discussed the same questions: what life is the best to live? Nussbaum discusses the rapprochement of philosophy and literature from the perspective of moral theory, emphasizing questions of moral imagination and specially the special kind of it – love- as initiating them both.

But to approach the connection between philosophy and literature is possible from the other perspective as well. Everett W. Knight in the book *Literature Considered as Philosophy. The French Example* treats the meeting of philosophy and literature from a phenomenological perspective: starts from Husserl's ideas and ends by Sartre, uniting phenomenology and literature. Between Husserl and Sartre different writers, such as Baudelaire, Gide, Malraux, Saint-Exupéry are phenomenologically discussed. Richard Kuhns in the book *Structure of Experience. Essays on the Affinity between Philosophy and Literature* states, that philosophy and literature influence each other, but in a such a subtle way that it is difficult to express it in words. But both of them meet the same problems and at some historical stages very similarly structure the experience. Such a history when the philosophy and literature meet, usually is named the history of ideas. The author discusses the problem of truth as a value of tragedy, the art as a phenomenon of imagination and the defender of moral values, the connection between modernity and death, the philosophy as a form of art.

### **Philosophy and Literature: Logic or Rhetoric?**

Jürgen Habermas in the book *The Philosophical Discourse of Modernity* writes: "Derrida is particularly interested in standing the primacy of logic over rhetoric, canonized since Aristotle, on its head" (Habermas 1987: 187). Habermas – on the side on Aristotle. The thing Derrida stood on its head, he tries to put on its feet again. He discusses the project of Derrida in the only purpose - to show that his strategies on leveling the genre distinction between philosophy and literature do not work.

Habermas starts from very far away – from Nietzsche's radical self-critique of reason and its engaging in a performative contradiction when the tools of thought seems are the only available means for uncovering their own insufficiency. Derrida, according to Habermas, wants to expand the sovereignty of rhetoric over the realm of logical in order to solve the problem confronting the totalizing critique of reason. In doing so Derrida, says Habermas, undercuts the very problem, makes it objectless. There can only be talk about 'contradiction' in the light of consistency requirements when logic maintains its primacy over rhetorics. But when it loses this primacy and is subordinated to aesthetic demands, the contradiction is over. Then the deconstructionist can deal with the works of philosophy as works of literature and adapt the critique of metaphysics to the standards of a literary criticism that does not understand itself in a scientific way.. "The distinction between philosophy and literature as different genres are submerged in one comprehensive, all-embracing content of texts. "Derrida talks in a hypostatizing manner about a "universal text" (Habermas 1987: 190), notices Habermas. Habermas is not going to agree with this leveling of two genres. "What remains is self-inscribing writing as the medium in which each text is woven together with everything else. Even before it makes its appearance, every text and every particular genre has already lost its autonomy to an all-devouring context and an uncontrollable happening of spontaneous text production"(Habermas 1987: 190). Habermas nevertheless tries to maintain these criteria of logical consistency. He supposes philosophy, science, art,

should maintain their autonomy vis-à-vis the universal text. He cares not only about the status of philosophy, but the literary critique as well. Habermas is conscious about the fact, that when the genres of philosophy and literature are leveled, literary criticism is not primary a scientific (or scholarly *wissenschaftliches*) enterprise but observes the same rhetorical criteria as its literary objects. Literary critic becomes a creator as well. Criticism does not need to consider itself as *something* secondary; it gains literary status. Habermas has in mind Hillis Miller, Paul de Man, Geoffrey Hartman, critics who no more consider themselves as a parasites of the text they interpret, for the reason that all of the writers (creators and critiques) with pre-existing language inhabit a host-text (Habermas 1987: 192). What the matter about it? Why Habermas does not congratulate the fact, the the critiques of metaphysics emerging in philosophy itself so largely increased the possibilities of literary critique? Habermas is inclined to leave everything as it was.

But maybe for this are there rather weightly arguments? Why Habermas starts this battle? He is inclined to maintain the rights of everyday language which fulfill the communicative functions of everyday life. This language has a power to solve the problems of everyday life and due to it the community members have a possibility to master the problems posed by the world: e.g. the acquisition of knowledge, the transmission of culture, the formation of personal identity, socialization and social integration. The unleveling of two genres - literature and philosophy - and aestheticizing the language ignores this function of language and reduces to one – poetic-world-disclose-function of language. Poetic function of language discloses the world or creates new worlds, acknowledges Habermas. But it ignores the power of language to solve the problems of every communicative practise. “The polar tension, - says Habermas – between world-disclosure and problem-solving is held together within the functional matrix of ordinary language; but art and literature on the one side, and science, morality and law on the other, are specialized for experiences and modes of knowledge that can be shaped and worked out within the compass of one linguistic function and one dimension of validity and a time. Derrida holistically levels these complicated relationships in order to equate philosophy with literature and criticism. He fails to recognize the special status that both philosophy and literary criticism, each in its own way, assume as mediators between expert cultures and everyday world” (Habermas 1987: 207). Habermas acknowledges that literary criticism and philosophy have a family resemblance to literature – and to that extent to one another as well – in their rhetorical achievements. But their family relationship stops right here, for in each of these enterprises the tools rhetoric are subordinated to the discipline of a distinct form of argumentation (Habermas 1987: 209-2010).

Habermas considers that Derrida does not belong to those philosophers who like to argue, so he argues with his disciples in literary criticism within the Anglo-Saxon climate of argument, namely Jonathan Culler. To Culler's exposed arguments Habermas opposes the arguments of Austin and Searle. When Habermas polemizes with “anglo-saxon” Culler is he really argumentating against “french” Derrida? Is “anglo-saxon Derrida” indeed a “real Derrida” or maybe only his already interpreted textual version? When arguing against “not real Derrida” is not Habermas himself engaged into the textual game of creating new worlds by textuality he is opposing in this discussion? But what Habermas has to do when Derrida, as he says, does not like to argue?

### **CAN SINGULARITY OF EXPERIENCE BE CONSIDERED AS AN ARGUMENT?**

Maurizio Ferraris gave the possibility for Derrida to answer Habermasian challenge “Derrida does not like to argue”. At the interview when talking with Derrida Ferraris asked him what does he think about the challenging statement of Habermas saying: “Derrida is particularly interested in standing the primacy of logic over rhetoric, canonized since Aristotle, on its head” (Derrida, Ferraris 2002 : 53), expressed in speech in 1984 during the opening address at the Joyce conference in Frankfurt and published later in “The Philosophical Discourse of Modernity”. Derrida when answering showed his disagreement with Habermas' critique. According to his view deconstruction does not oppose the project of Enlightenment, as Habermas considers it, but, on the contrary, deconstruction is a project in favour of the Enlightenment (*Iles Lumières*). Derrida suggests not to confuse the Enlightenment of the eighteenth century with the Enlightenment of tomorrow. The right thing would have been not to accept debate for or against Enlightenment but to differentiate each time which Enlightenment is discussed. But what particular Enlightenment he has in mind this time Derrida does not mention as well. But it is obvious that Derrida does not want to be excluded from the Enlightenment. That does not matter which from. There are concepts he does not want to renounce or to deconstruct. The same thing he does not want to be excluded from the philosophy or from the truth. “Truth is not a value one can renounce. The deconstruction of philosophy does not renounce truth – any more, for that matter, than literature does. It is a question of thinking this other relation to truth”, says he in the book “A Taste for the Secret” (Derrida, Ferraris 2002 : 10). Derrida notices, that, for example, Richard Rorty, is perfectly happy to give philosophy over to literature – on the understanding that it is a private matter, a private language. Derrida, on the contrary, is eager to emphasize, that deconstruction has nothing whatsoever to do with privatizing philosophy, letting it take

shelter in literature <.>”(Derrida, Ferraris 2002 : 10). He disagrees with the issue of Habermas that he himself reduced philosophy to a literature. Also Derrida is traing to avoid the label of being the creator of “post-philosophy”. He considers the concept of “post-philosophy” even dangerous for it leaves the philosophy behind. He is a philosopher and once more a philosopher, does not end stating Derrida. He repeats it so ardously as if Habermas would had have touched his long lasting trauma of “not-to-belonging”, as if he would have had something in common with this principal of gymnasium (surveillant general) who long ago in 1942 excluded him from the school sending him home to the parents who had him to explain why he being Jew is not permitter to attend any more the school, to belong to it. Derrida constantly spoke about this traumatic experience from his childhood as an immanent fact of his intelectual and creative biography. Sense of not-belonging distanced from from belonging to the jewish community as well. He hated Jewish school, saying to himself “no, I am part neither of this nor of that”(Derrida, Ferraris 2002 : 38-39). And after that he become a philosopher. In Algeria he already read not only Camus, but also Nietzsche, in Paris studied Hegel, Husserl, Heidegger, Merleau-Ponty. Always was attracted by Kierkegaard. The weel of the history makes a round and he hears again as if Habermas saying to him: “Derrida, You are reducing philosophy to a literature, so please, go home, go back to the literature, for the reason you do not belong to the real philosophers, go to “post-philosophers.” Is being a literary man from the point of view of philosopher the same status as being Jew in the Algeria occupied by Nazis?. Nobody is destroyed but on the other hand do not feel any real belonging. Derrida does not allow to be kicked out so easily for the second time. But in doing so he must to to answer somehow or to contradict to the arguments presented by Habermas. Derrida tries to remain a philosopher but at the same time not to betray the literature as well. So he opposes Habermasian arguments saying, that reduction of philosophy to a literature is not possible altogether for the reason they are not seperated at all. Literature is as good as philosophy is: it has its own arguments. Derrida suggest to broaden the concept of argumentation. When philosophers speak of argument, notices Derrida, they very often have a certain model of argument in mind and when they fail to recognize the familiar model, they hasten to conclude that there is no argument. Derrida thinks, that there is argument, but in another form. “I think that literature is argumentative, in another way, with different procedures. Literature attempts to lead to conclusion, even if they are suspensive or undecidable; it is an organized discourse that exchanges with the other, needs the response of the other, is discursive, and therefore passes through a temporality”, concludes Derrida. (Derrida, Ferraris 2002 : 38-39). The fact that literary arguments do not coincide philosophical is not making them not arguments at all – such is Derrida’s main idea.

But he does not explain how this literary argument looks like. He is not giving any example. For this reason the following question arises: in what form and how literary argument is possible in itself? It is possible to ask the way Derrida likes to ask: who is the author of it? The author? The reader? Literary critic? Is a writer writing for the sake of presenting arguments and the reader reads for the sake of recognizing them? Even if not in a very deffinite form. But if really there is such a thing as literary argument in itself? Is literature really alive for the reason of its argumentation ability? It seems thus Kantian criterion of disinterestedness play of understanding, intelect and imagination as the basis of aesthetic judgement in this case are left behind? What is the need for approaching literature towards philosophy? Does it gives more intrinsic value to the literature? And philosopher who is applying the method of deconstruction for reading literary texts, - is he searching in it for particular arguments? What these arguments look like? Arguments have to persuade. Whom they are persuading? For what? Derrida does not ask such kind of the questions and does not search for the answers. And when reading the literary texts it seems he himself is looking not for the arguments. He is paying attention to the margins, to the details, to the style, betraying the intentions of writer. The concepts of the literary argument in vocabulary of the creator of deconstruction becomes the most mysterious of all his insights. Nevertheless Derrida intends to defend the right of the literature for the argument saying philosophers themselves are using rather various forms of argumentation. Kant, for example, criticized Descartes saying he is not faithful to what argumentation ought to be. Aristotle indicated to Plato, that in some places he is no longer arguing. If within philosophy itself there is no consensus on the subject of argumentation, according to Derrida, one has to accept the fact that outside philosophy the same dissent exists. Lets suppose that Derrida already persuaded. Philosopher already feels a bit ashamed and does not require from literary men the same structure of the arguments they are accustomed to use. But does it meas that for this reason the trauma of not belonging become less heavy? This trauma would had have dissapeared at all if Derrida were identified itself with a literary men. In this case he would have a right to pronounce: the reproches of Habermas do not reach me any more. I am literary man, so I am argumentating in another form. But Derrida says quite the opposite things. He insists he is a philosopher and only philosopher. He only have defended the right of literary men to be treated very close or the same as philosophers are. But leaves himself totally unprotected. The open question remains: how should the philosopher, who invented deconstruction as a strategy for reading and interpreting texts, not allowing himself to be named as post-philosopher argumentate himself? If remaining the classical philosopher is he allowed to argument the same indefinite manner ar literary men usually do?

Or maybe if he wants to maintain the label for himself as philosopher, he must follow for the other definite rules of different language game?

According to our view, Derrida confronted this unsolved contradiction for the reason he allowed himself to be engaged to the discussion started by Habermas about the argumentation in philosophy and in literature. The nature of arguments never interested Derrida. It is difficult to explain the premises of one's philosophy using the concepts and premises of the opponent. The relation between literature and philosophy is more clear when Derrida approaches it from the perspective important to him.

This perspective, as testifies Derrida, was opened him by Soren Kierkegaard, to whom he had been most faithful and who interested him most. Derrida was impressed by the meaning Kierkegaard gave to the word subjectivity, the resistance of existence to the concept or the system Derrida even acknowledges that what some people thought they could interpret as a reduction of philosophy to a literature, as a way of reducing the philosophical to the literary, stems from that gesture he learned from Kierkegaard. In the text "A letter to a Japanese friend" Derrida, when discussing deconstruction refuses to describe it using the word "is" for the reason that the very word "is" returns back to logocentrism. Derrida was more inclined to speak what deconstruction "is not". But in the interview book "A Taste for the Secret" he is not so categorical. He described the phenomenon he created saying: "Deconstruction is not a method for discovering that which resists the system; it consists, rather, in remarking, in the reading and interpreting the texts, that what has made it possible for philosophers to effect a system is nothing other than a certain dysfunction or 'disadjustment', a certain incapacity to close a system" (Derrida, Ferraris 2002 : 4). Deconstruction is always a singular geste and mainly literature was always the representation of the singularity of experience and singularity of existence. "In literature what always interests me is essentially autobiographical – not what is called the 'autobiographical genre', but rather the autobiographicity that greatly overflows the 'genre' of autobiography". In autobiographicity Derrida was searching what exceeded the literary genre, the discursive genre and even autos (the self/same). "I try to interrogate that which in the autos disturbs self-relation, but always in an existential experience that is singular and if not ineffable at least untranslatable or on the verge of untranslatability" (Derrida, Ferraris 2002: 41). But academic philosophy for Derrida has always been at the service of this autobiographical desing of memory. The great question for Derrida was always the question who. *Who? Who asks the question que? Where? How? When? Who arrives?* Memoirs – the wild desire to preserve everything – interested Derrida both in literature and philosophy. So literary text and philosophical text are approaching each other because of this singularity of writing. On the other hand they both have something to do with the untranslatability of existence, so they both have something to do with the secret..

### **How to Overcome the Gap Between the Linguistic-Metaphorical and the Philosophical Realms?**

Ferraris in their conversation with Derrida suggest a possible criterion how to demark the difference between philosophy and literature in two different recourses to language. They both speak different language regimes which are very visible in translation. The sense of philosophy may at least partially survive even the most tortuous of transmission, which is not the case with literature, where a very great deal is lost in translation (Derrida, Ferraris 2002 : 10-11). Very similarly, through the relation with language the connection between philosophy and poetry describes Lithuanian poet and literary critic Aidas Marcenas in one of his interviews: "For the philosopher the language is a tool, but not a philosopher – a tool for the language. In the case of a poet everything is opposite. For this reason a poet is more primordial, 'closer to gods'. Maybe it is so: poet is more closer to the heroes of *Iliada*, many things instead of them are deciding gods. Or just consult. Or when the sentence is well started they finish even better. But philosopher seems is more like a wanderer from *Odyssey* who all the obstacles must overcome himself, using his own efforts of reason and insanity" (Marcenas 2005: 103-104). Maybe what in literary writers texts is coming 'from gods', according to Marcenas words, remains untranslatable. Derrida maybe would have had accepted this point of view. He disagrees with the other thesis expressed by Ferraris : he dislikes the idea, that in contrast to the literary text in the text of philosopher everything is translatable. Derrida says, that does not want neither to mix philosophy and literature, nor reduce the one to the other. On the other hand Derrida sees in what is called 'philosophical' an adherence to natural language, a profound indissociability of certain philosophemes from the Greek, the German, the Latin, which is not the literary part of philosophy, but is instead something that philosophy shares with literature. And conversely, there is something translatable in literature, as Derrida names it – a promise of translation. But both philosophy and literature are bound up with natural language. Descartes and Leibniz tried to formulize the philosophical language, but their efforts failed. So as if accepting differences between literature and philosophy Derrida suggests to look for the different criterion of their difference. He tries to avoid the usual division between philosophy and literature and see more complicated divisions. He says, that " if we look more closely, we shall find a Platonic literature that is not literature of

Hegel, and a Shakespearean philosophy that is not the philosophy of Dante, Goethe or Diderot" (Derrida, Ferraris 2002 : 12). So Derrida open the huge project of new possible interdisciplinary investigations.

What allows for Derrida so to change this point of departure? For him every text – philosophical or literary – has its own context and its signature. The contexts are changing, but in this change something stable nevertheless is left. " So by *oeuvre* I mean something that remains, that is absolutely not translatable, that bears a signature " (Derrida, Ferraris 2002 :14)

As notices Theodorou, "Derrida, from the outset, will call into question the assumption that the formation of concepts (logos) somehow escapes the primordially of language and the fundamentally metaphorical-mythical nature of philosophical discourse. In a move which goes much further than Ricoeur, Derrida argues for what Guiseppe Stellardi so aptly calls the "reverse metaphorization of concepts." The reversal is such that there can be no final separation between the linguistic-metaphorical and the philosophical realms. These domains are co-constitutive of one another, in the sense that either one cannot be fully theorized or made to fully or transparently explain the meaning of the other. The result is that language acquires a certain obscurity, ascendancy, and autonomy. It will permanently elude our attempts to fix its meaning-making activity in foundational terms which necessitate a transcendent or externalized (to language) unified being" (Theodorou).

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## **Adapting New Approaches in Quality Assurance Measurement from the Beneficiary Perspective in Kosovo Higher Education**

**Bujar Gallopeni**  
**Gjylbehare Llapi**

### **Abstract.**

Understanding clients' needs and adapting the qualitative provision of services has always been a challenge for higher education institutions, particularly in a reforming education context. In a competitive higher education provision, the overall student satisfaction goes beyond a qualitative education, but including also other important aspects, such as catering, study environment, administration and other important issues. The aim of this study was to adapt new tools for quality assurance in higher education in Kosovo from a comprehensive satisfaction perspective. Internal consistency and inter-theme correlations were examined as a form of questionnaire standardization in an Albanian sample of students. In general, most of examined themes showed moderate to high internal consistency. In addition, almost all themes (in exception of one) showed significant correlations among each other. The study further discusses methodological approaches from a piloting study phase, as well as further research prospects.

**Keywords:** *Internal quality assurance, measurement, beneficiary, satisfaction.*

### **Introduction**

Quality assurance in higher education has been one of most focused topics in higher education development in the last decades. Today, almost every country worldwide has adapted sorts of quality assurance policy, in order to guide the higher education development towards economic and societal development needs. Recently, global trends of quality assurance at university level have increased interest on university ranking systems, such as Times Higher Education, Shanghai Ranking, and so on, which are seen as a crucial indicator of university quality assurance.

Quality assurance in higher education was initially adapted from the quality assurance practices used in business organizations. In that perspective, quality assurance has been seen in the importance of involvement of stakeholders and the value they bring in the higher education development (Harvey and Green, 2003). Among important stakeholders in higher education are students, in their role as beneficiaries or clients of higher education service.

From the beginning of the current century, the development of quality assurance standards in the European universities has been collectively guided with the introduction of the European Higher Education Area, known otherwise as Bologna Process. Because Bologna process aims to introduce and guide similar and common principles and standards of higher education in the member countries, the policy of quality assurance has been centralized under the umbrella of European Association for Quality Assurance in Higher Education (ENQA). Following up on recommendations deriving from education ministerial meetings of Bologna member countries, ENQA regularly adopts and revises European Standards and Guidelines for quality assurance (ESG), which guides them down to relevant country authorities to translate them in concrete policies and actions thereby being implemented by respective higher education institutions. In Kosovo, as the socio-economic context of this study focus, ESG have been largely adopted in legal and policy framework, being promoted and overseen by established state authorities, such as Kosovo Accreditation Agency.

A major dimension that ESG focuses is the standards and guidelines for internal quality assurance, which basically guide higher education institutions to have internal policy and structures continually ensuring and checking quality assurance internally. These standards invite higher education institutions to work with stakeholders, and particularly with students in different areas of higher education development, like for example in the process of curriculum development and revision, and so on. Consequently, higher education institutions in Kosovo have adapted different practices in the involvement of students, as beneficiary stakeholders, in the internal processes of quality assurance. Among most used practices in this

direction is the measurement of students' satisfaction with different aspects of academic life, as a reflection of perceived and experienced qualitative services they receive.

The students' satisfaction measurement by higher education institutions (HEI) in Kosovo, as an internal quality assurance standard, has not a mature tradition yet. This process started quite recently, respectively as a responsive action from the implementation of external quality assurance measures, which started for the first time in Kosovo in 2008, upon establishment and operationalization of Kosovo Accreditation Agency. In many cases, this process is not part of institutional policy, and quite often happens in ad hoc approaches, and different institutions use different dimensions of measuring student's satisfaction. As such, there lacks a common understanding among higher education institutions about such measurement. Consequently, HEIs in Kosovo have not managed to establish stable mechanism yet in taking regular measures and collecting relevant information from students in order to continually reflect on the different dimensions of providing services for students. Therefore, relevant measurement approaches considerably lack, but are also necessary to install in the regular actions of HEIs. Therefore, the aim of this study was to provide a more comprehensive approach in Kosovo of students' involvement in the quality assurance measurement from the beneficiary/client's perspective. In this dimension, this study has at least two specific objectives. First, we aimed to adapt a common framework for measurement of students' satisfaction, taking into consideration different dimensions that influence the satisfaction among students, such as teaching and learning approaches, academic personnel, campus infrastructure and learning environment, theoretical and practical learning, dormitory and canteen, and so on. And second, we used a piloting approach in a single HEI in order to undertake norming procedures for the adapted instrument used to validate such framework.

## Methodology

In relation to the first objective we adapted two previously established frameworks of measuring student satisfaction. First, we used a European approach, respectively the Student Satisfaction Questionnaire, developed under a framework of European Lifelong Learning project financed by Leonardo da Vinci scheme (Quality in VET schools, 2005), which has more focus on development of skills and competences reflecting on the learning environment and resources put by education institutions. And second, we used the National Student Survey used in the United Kingdom higher education institutions (Higher Education Funding Council for England – HEFCE, 2014), because the first collective quality assurance external and internal evaluation in Kosovo was conducted by British Council, thereby in many of the cases reflecting on the British system of quality assurance.

Whereas, related to the second objective we used a pilot study perspective, employing quantitative methodology and data collecting from a single higher education institutions, the University for Business and Technology (UBT).

### 2.1 Sample

In this pilot study phase, we employed a purposive sample method for data collection, in main UBT study areas, and included 300 students of undergraduate studies, mainly enrolled over a five-year period.

Table 1. Sample distribution

Sample category	Sample category unit	N	%
Gender	Female	111	37
	Male	187	63
Study field	Management, Business and Economy	35	11.7
	Computer Engineering	103	34.3
	Architecture	95	31.7
	Media & Communication	50	16.7
	Other	17	5.7
Enrolment year	Earlier	1	0.3
	2011/2012	13	4.4
	2012/2013	6	2
	2013/2014	27	9.1
	2014/2015	100	33.7
	2015/2016	150	50

## Data Collection

The adapted framework for measuring student satisfaction in this study has two sections. First section contains individual and program information, such as student's gender, age, year of enrolment, and study program. The second section contains 54 items clustered in 10 main themes listed below, and scored in a five-point Likert scale: 0 = I do not agree, 1 = I slightly agree, 2 = I agree on average, 3 = I agree, and 4 = I agree a lot.

Questionnaire main themes:

Teaching and staff (7 items)

Assessment and feedback (6 items)

Learning sources and library (4 items)

Academic support and advising (6 items)

Admin support and organization (3 items)

Personal/Professional development (3 items)

Facilities and infrastructure (10 items)

Canteen (4 items)

Practical learning/internship (7 items)

Overall satisfaction (4 items)

In this piloting phase, the questionnaire was prepared in the form of paper-and-pencil, and administered by two trained students from the Faculty of Management, Business and Economy.

## Data Analysis and Results

We followed a four-step methodological approach of questionnaire adaptation and testing.

In the first step, using the two indicated frameworks we adapted the study questionnaire framework, with relevant themes related to student satisfaction, as well as the measurement scale, as described in the previous section. In the second step, we translated the questionnaire in Albanian using a double-checking approach from two independent translators. The third step followed with data collection. And in the fourth step finally, reliability and correlational analysis were performed.

Reliability analysis (as presented in table no.2) show a relatively high internal consistency, except a few themes, respectively *assessment and feedback*, *admin support and organization*, and *teaching and staff*, which showed moderate consistency.

Table 2. Reliability analysis

Theme	Cronbach's Alpha
Practical learning/internship	0,99
Facilities and infrastructure	0,94

Canteen	0,94
Personal/Professional development	0,92
Overall satisfaction	0,83
Learning sources and library	0,83
Academic support and advising	0,83
Assessment and feedback	0,79
Admin support and organization	0,74
Teaching and staff	0,64

Almost all inter-theme correlations are statistically significant, with the exception of practical *learning/ internship* theme, which does not give any significant relationship with other themes, except with themes of *canteen*, and *overall satisfaction*. In addition, the dimension of overall satisfaction show in general low correlation values, but in many cases statistically significant, except with two themes, such as *teaching sources and library*, and *academic support and advising*, which has no significant relation. Interestingly, the theme of *overall satisfaction* has significant and stronger relationship only with the theme of *practical learning/ internship*, which one has no significant relations with none of other themes. These results suggest that particularly the themes of *overall satisfaction*, and *practical learning/ internship* needs some or major revision in terms of adaption of included items in Albanian population and the measurement context.

Table 3. Inter-theme correlational analysis

	1	2	3	4	5	6	7	8	9
1. Staff and learning									
2. Assessment and feedback	.392**								
3. Teaching sources and library	.331**	.539**							
4. Academic support and advising	.316**	.465**	.435**						
5. Admin. support and organization	.318**	.437**	.368**	.608**					
6. Professional/ personal development	.212**	.346**	.241**	.516**	.698**				
7. Facilities and infrastructure	.232**	.255**	.233**	.446**	.697**	.728**			
8. Canteen	.258**	.279**	.264**	.360**	.564**	.431**	.530**		
9. Practical learning/ internship	0,073	0,004	0,008	-0,063	0,064	0,086	0,108	.144*	
10. Overall satisfaction	.133*	.122*	0,111	0,089	.189**	.188**	.261**	.258**	.483**

\*\* Correlation is significant at the 0.01 level (2-tailed).

\* Correlation is significant at the 0.05 level (2-tailed).

## Discussion

In the time of diversification of higher education provision, as well as taking into consideration the developing dimension of higher education sector in a rapidly changing socio-economic context, such as Kosovo's, focusing on the provision of education services taking account for client's needs is more than necessary. To the knowledge of authors, this study provides first efforts regarding adaption of measurement approaches of student satisfaction in the Kosovo context, using testing standardization methods.

As a first step to adapt new methodological approaches in this direction, we provide an initial framework to measurement of student satisfaction in an Albanian population and socio-economic context. In this direction, however, the results in this pilot study show that in general the adapted framework has good a ground of reliability and validity of the measurement instrument, therefore slight changes should be considered in the future use of this measurement instrument, particularly in the dimension of validity.

Nonetheless, future research should consider the use of this framework in a larger population sample and in a high number of higher education institutions, as well as in all study cycles.

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## Domestic Anti-Avoidance Legislation in Relation to Tax Treaty Law

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### Abstract

In today's international taxation most of the developing countries enter into tax treaties which are drafted in line with the OECD MC to eliminate double taxation. Yet, is well-known fact that tax treaties in practice are abused by tax payers, therefore, majority of states have introduced legislation specifically designed to prevent tax avoidance and protect their domestic interests. In legal practice and literature the act of overriding international tax treaties and denying treaty benefits in favour of domestic law provisions threatens main principle of international law and therefore is questionable to what extent the relationship between domestic law and international tax treaty agreements bridges the international norms.

**Keywords:** *domestic law, tax treaty, tax avoidance, OECD MC*

### Introduction

The free movement of people and capital has enabled individuals and businesses to engage in cross-border transactions, this fact has raised concerns in many states about the potential erosion of the domestic tax base. In the other hand, there are several jurisdictions that have made their tax environment available for tax avoidance known as 'tax haven'. Apparently, this problem has become pressing issue for different countries, as well as, intensively have been discussed in an international context. Most of the countries have introduced legislation specifically designed to prevent tax avoidance and protect their domestic interests<sup>1</sup>.

Accordingly, the act of overriding international tax treaties in favour of domestic law provision threatens the internationality of bilateral and multilateral agreements as founding principles of international law strongly advised by Vienna Convention and adopted in international law practice. Nevertheless, it is a notable fact that international tax treaties might be abused by tax payers to benefit tax advantages that are not meant by the context and purpose of the treaty, hence, while tax treaties provide a great structure that encourages cross-border trade and investments they also provide opportunities for taxpayers to avoid domestic tax obligations. Therefore, nowadays this is a pressing legal issue and signified by 'disagreements' among scholars' whether domestic anti-avoidance legislation can be applied to deny the treaty benefits<sup>2</sup>.

In this regard, states have introduced domestic anti-avoidance rules to prevent the possible tax evasion, however, it is questionable to what extent the relationship is between domestic law and international tax treaty agreements.

In addition, OECD in its Commentary has incorporated a note on this issue by setting an analytical framework from which the relationship between domestic general anti-avoidance rules and international tax treaty agreements is to be evaluated as this is the main purpose of this paper to analyse the changes made in the commentary in 2003 and the weight of this work with the reference to guiding principles set in the Commentary.

### Conceptualizing the issue of domestic anti-avoidance rules and international tax treaty agreements

With the free movement of capital and the fact that businesses are becoming more and more international tax avoidance as mentioned it is a pressing issue for countries worldwide. However, in order to facilitate the 'process' of cross-border transactions and protect domestic economy from tax avoidance there is a great need for coherent structures; in this regard, such structures are considered international tax treaties<sup>3</sup>. International tax treaties encourage economic

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<sup>1</sup> Michael Lang (ed.) 'History of Tax Treaties' (Linde, 2011), p.19

<sup>2</sup> Michael Lang 'Introduction to the Law of Double Taxation Convention' (IBFD, 2010) p.59

<sup>3</sup> Lang (ed.) (2011) p. 45-56

investments by promoting the movement of capital and exchange of goods and services by preventing international double taxation which is generally defined as “*a form of double taxation on the same income by both country of residence and the source country in respect of the same subject matter and for the same period*”<sup>1</sup>.

However, it is evident that international tax treaties provide taxpayers with the possibility to avoid domestic tax obligations by receiving benefits under the treaties. In this regard, countries have passed anti-avoidance rules to protect their domestic interests by provoking a ‘direct tension’ between the international treaty and the domestic law. However, it is worth mentioning that the Commentary on the OECD MC considers the notion of the abuse of a treaty as a doctrine of international law which according to the commentary might denied the benefits from the treaty by considering it as purposive interpretation of tax convention<sup>2</sup>.

In order to evaluate the approaches of the relationship between tax treaties and domestic anti-avoidance rules there are two fundamental principles which should be taken into account. First; the application of the domestic anti-avoidance rules, application of which may ‘weaken’ the certainty of tax treaties and second: the inviolability of the agreements signed between states<sup>3</sup>. The relationship between tax treaties and domestic anti-avoidance rules it is a dynamic process which differs from country to country, however, most of the practitioners and scholars often refer to the OECD MC Commentary for further explanation.

The Commentary on OECD MC Article 1 sets an interpretative framework in order to analyse the connection between domestic anti-avoidance rules and international tax treaties, however, is important to mention that according to different legal interpretations the Commentary on Art.1 before the revisions on 2003 was unclear about this matter by indicating in one hand the right of countries that had domestic anti-avoidance rules to include this legal provisions in their treaties with the aim on preventing the application of these rules, on the other hand, the commentary had provisions suggesting that domestic anti-avoidance rules which are not in line with the treaties do not have to be expressly included in treaties<sup>4</sup>. Consequently, before the revision on 2003 two main questions that domestic anti-avoidance rules had to consider where if; benefits derived by the treaty must be granted even if they abuse the treaty provision and second if domestic anti-avoidance rules conflict with treaties<sup>5</sup>.

### **Changes made on Article 1 of the OECD Commentary in 2003**

Changes made in the Commentary on Article 1 in 2003 were described as considerable changes which intend to clarify the relationship between tax treaties and domestic anti-avoidance rules. However, it is pointed out that the Article 1 of the Commentary has gone beyond its provisions by commenting the relationship between domestic anti-avoidance rules and tax treaties<sup>6</sup>.

It is worth mentioning that changes in commentary have been preceded by the Rome Congress of the International Fiscal Association in 2010 which served as a forum to analyse this relationship of domestic law and tax treaty worldwide. Stef van Weeghel in his report about the forum has concluded that most of the countries has reported that their anti-avoidance rules are in light with their treaty obligations<sup>7</sup>.

The changes made on Article 1 of the OECD Commentary in 2003 might be consider in three areas. Changes on paragraph 7, an additional paragraph in 9.1 to 9.6 and 22, as well as, changes on paragraphs 10.1 and 21.5 regarding avoidance issues defined as conduit companies and beneficial ownership as well as under paragraph 23 and 26 regarding controlled foreign companies.

Paragraph 7 indicates two major differences after the changes has been made in 2003; the word ‘principal’ is inserted referring to the objective and purpose of tax treaties to promote cross-border trade by eliminating double taxation and encouraging the movement of persons and capital. Hence, this is explained that the purpose of tax treaties is to prevent tax avoidance/evasion, the previous commentary hasn’t been so expressive on this issue<sup>8</sup>. Further, par.7.1 considers the possibility of abusing the tax laws of states by exploiting the differences that countries might have in their domestic laws,

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<sup>1</sup> Same definition can be found also in different business dictionaries (example: <http://www.businessdictionary.com/definition/juridical-double-taxation.html>)

<sup>2</sup> OECD Commentary to Article 1 par.9.2

<sup>3</sup> Lang, (2010) p.62-63

<sup>4</sup> Guglielmo Maisto ‘*Tax Treaties and Domestic Law*’, p. 99, Same interpretation can be found also at Lang ‘(2010), p. 62

<sup>5</sup> Commentary on Article 1 par.9

<sup>6</sup> Craig Elliffe ‘*Cross Border Tax Avoidance: Applying the 2003 OECD Commentary to Pre-2003 Treaties*’

<sup>7</sup> International Fiscal Association ‘*Key Issues Report*’ 2010, The report indicates the reservation made by Netherland and Portugal.

<sup>8</sup> Commentary on Article 1 of the OECD MC, 2010, and Commentary on Article 1 of the OECD MC 2013

however, the commentary acknowledge that this attempts most probably will be 'rejected' by domestic law, but also suggests that states would not agree to tax treaty provision that might allow transactions which may allow tax benefits<sup>1</sup>.

Nonetheless, there are views that the changes on 2003 were more in the nature of clarification rather than substantial changes, in this direction according to David Ward most of these changes has been proposed in the 1986 Base Companies Report in particular discussion whether the general anti-avoidance rules can be applied in all the circumstances or only in particular cases where are expressly mention<sup>2</sup>. Paragraph 40 of the Base Companies Report stated: "*It is the view of the majority that such rules and the underlying principle do not have to be confirmed in the text of the convention to be applicable*"<sup>3</sup>. Further, the paragraph 39 of the Base Companies Report was discussed in the Commentary of 1992 in its paragraph 23 by emphasising the fact that majority of OECD countries would consider domestic anti-abuse rules or as known 'substance over form' as basic rule for determining the facts which give rise to tax liability in domestic context, in this regard changes proposed under Commentary 2013 paragraph 22.1 are reflection of this suggestion made back in time in 1992<sup>4</sup>.

In this regard, changes under par. 10.1 and 21.5 as well as under par. 23 and 26 are mostly reflections to clarify the confusion of the 1992 Commentary made which was supported only by few OECD countries at that time, which were protective to apply domestic anti-abuse rules.<sup>5</sup>

Nevertheless, the 2003 OECD Commentary has brought new reflections in relation to its article 1 on the improper use of tax treaties by deleting the point 7 of the Commentary on Art.1 which was defending states to preserve the application of their domestic anti-avoidance rules by obliging states to add specific provision to that effect in their treaties. However, these changes have been justified by the commentary by making a distinction between states for which an abuse of treaty is also an abuse of the domestic law and those states that consider these abuses as treaty abuse. Furthermore, the changes of 2003 OECD Commentary emphasize the fact that states by applying anti-abuse provision in a treaty context will not find legal problems as far as these rules are part of basic rules for addressing tax abuses. In addition, states will be able to attack treaty abuses which will result in the purpose of the treaty and the obligation on interpreting it in good faith, nevertheless, in both cases when application of domestic anti-abuse rules in a tax treaty context seems to be acceptable by the commentary<sup>6</sup>.

### **Interaction between domestic anti avoidance rules and tax treaty**

When it comes to the interaction between domestic anti-avoidance rules and tax treaty in respect of the 2003 revision of the OECD commentary two main views have been identified by scholars, Brian Arnold has described them as the 'factual approach' and the 'interpretative approach'<sup>7</sup>. According to the Commentary states fall into one of two categories depending on how the general anti-avoidance rules operate. As for Craig Elliffe depends on the legal effect they give; countries will fall under one of these two approaches, for example if the general anti-avoidance rules provide the ability for reconstruction of the abusive transaction that country will fall under the factual approach, as for the interpretative approach the anti-abusive rule is viewed as an abuse of the treaty itself and not as an abuse of the domestic law.<sup>8</sup>

### **Factual approach**

The factual approach has been a result of 2003 Commentary adoption and was very much debated. The factual approach has been used in different states for domestic purposes. The OECD Commentaries have been stressing out that anti-avoidance rules are part of the domestic rules, hence are not affected by the treaty rules<sup>9</sup>. However, OECD approach

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<sup>1</sup>Commentary on Article 1 par.7.1

<sup>2</sup> David Ward 'The Role of the Commentaries on the OECD MC in Tax Treaty Interpretation Process' (2006)

<sup>3</sup> Double Taxation Conventions and the Use of Base Companies" Committee of Fiscal Affairs which was adopted by the OECD Council, as well par.2 of the Commentary 1992, November 1986

<sup>4</sup> Report "The Revision of the Model Convention" based on par. 39 of the Base Company Report adopted by the Council of the OECD, November 1986

<sup>5</sup> Craig Elliffe 'Cross Border Tax Avoidance: Applying the 2003 OECD Commentary to Pre-2003 Treaties'

<sup>6</sup> Juan Jose Zornoza and Andres Baez 'Tax Treaties: Building Bridges between Law and Economics: The 2003 revision to the Commentary to the OECD MC on Tax treaties and GAARS: a mistaken starting point', p.290

<sup>7</sup> Brian Arnold 'Tax Treaties and Tax Avoidance; The 2003 Revision to the Commentary to the OECD Model' p.251.

<sup>8</sup> Craig Elliffe, 'International Tax Avoidance – The tension between protecting the tax base and certainty of law'

<sup>9</sup> Commentary on article 1 par.9.2

according to literature might sent to wrong solutions in domestic jurisdictions as well as on the basis that this approach is too simple.<sup>1</sup>

Different scholars have been considering that the factual approach avoids the possible conflict between tax treaty and domestic anti-avoidance rules by giving a priority to anti-avoidance rules and considering the factual approach as more goal-oriented reasoning comparing to the interpretative approach<sup>2</sup>.

### **Interpretative approach**

The interpretative approach by the commentary is seen as abuse of the convention itself and not as the abuse of the domestic rules. Accordingly, the tax legislation either in domestic or treaty level will not be applied if these transactions are not in line with the treaty and aim to obtain unintended benefits by the treaty itself<sup>3</sup>.

### **Guiding principles**

Guiding principles are set in paragraph 9.5 of the OECD Commentary and they highlight that the benefits of any kind which are not meant by the purpose of the double tax convention will not be available<sup>4</sup>. In this regard, par.9.4 stress that states are not obliged to grant such benefits when these '*arrangements*' do not reflect the provisions of the treaty or constitutes a possible abuse<sup>5</sup>. However, the commentary it is vague and does not give further explanations what is an abusive '*arrangement*'. In addition, guiding principles sets the so called 'main purpose test', the purpose test might be different depends on the conditions imposed to apply the domestic anti-avoidance rules. In this regard, if both; tax treaty and domestic anti-avoidance test is the same there will not be a conflict, moreover, every time where the domestic test is fulfilled or satisfied the treaty test itself will be met<sup>6</sup>.

However, in the literature is arguable if the guiding principle in fact establishes a treaty anti-avoidance rule or it establishes a test which should be met before applying domestic anti-avoidance rule. In the first 'scenario' the principle requires courts and tax administrators to analyse if transaction aims to abuse the treaty while the test should take place only to secure that transactions in the context of tax treaties when they might result on defeating the object and the purpose of the treaty.

In addition, the guiding principle set on par.9.5 sets a limitation on the use of domestic anti-avoidance rule and doesn't necessary mean that the states can avoid their treaty obligations by taking any position without proper justification and claiming that actions by individuals or companies are abusive. Though, there are areas of concern when it comes to the reliance of guiding principle, domestic law test has a lower threshold, thus, it is possible to have situation where domestic test it is fulfil but not under the treaty as set in the commentary. Furthermore, in tax treaties we might have situations where one country has no provision about domestic anti-avoidance rules, in this situation according to Brian Arnold countries without anti-avoidance provision have a 'better' position since they can introduce provision in the treaty which abolish the application of the domestic anti-avoidance rules that other country has<sup>7</sup>, however, in the light of the commentary this can be interpreted that the guiding principles could create a standard which each transaction should meet before domestic anti-avoidance rules are applied. Different scholars preserve the opinion that guiding principles have their limitations and are open to very subjective interpretations by tax authorities and taxpayers which might lead to tax disputes<sup>8</sup>. Furthermore, the guiding principles with respect to changes in 2003 has not in detail explained the burden of proof, however, there are indications that tax authorities have to prove that transactions of different legal persons or individuals are in line with the treaties or not<sup>9</sup>.

### **Conclusion**

The author of this work keeps the opinion that changes made in the 2003 commentary cannot be consider as fundamental changes but more as clarification of changes made in the commentary on 1992. Even though the OECD Commentary with the updates in 2003 for the first time in its par.7 explicitly stresses that "*it is also a purpose of tax conventions to prevent*

<sup>1</sup> Michael Lang (editor) '*Series on International Tax Law*' Volume 101, Preventing Treaty Abuse, Sriram Govind, p.242.

<sup>2</sup> Juan Jose Zornoza and Andres Baez '*Tax Treaties: Building Bridges between Law and Economics; The 2003 revision to the Commentary to the OECD MC on Tax treaties and GAARS: a mistaken starting point*', p. 134 – 135

<sup>3</sup> Commentary on Article 1 par.9.3

<sup>4</sup> Commentary on Article 1, par.9.5

<sup>5</sup> Commentary on Article 1 par.9.4

<sup>6</sup> Luca De Broe, '*International Tax Planning and Prevention of Abuse*' p. 394

<sup>7</sup> Brian Arnold '*Tax Treaties and Tax Avoidance; The 2003 Revision to the Commentary to the OECD Model*' (IBFD, 2004) p. 295

<sup>8</sup> Vikram Chand '*The Guiding principle and the principal purpose test*' p. 486

<sup>9</sup> Ibid, page 487

*tax avoidance and evasion*<sup>1</sup>. Domestic anti-avoidance rules can be applied in tax treaty situations and there is no infringement of international law. Guiding principles are an additional 'statement' of the right that countries have to override treaty benefits which are not on the light of the treaty. Moreover, the author believes that guiding principles set in the commentary can be used in accordance with the international law. OECD member countries use the commentary as the main legal source when it comes to tax treaties, however, when it comes to the relationship between domestic anti-avoidance rules and tax treaties, guiding principles should be the only principles given weight on evaluating this relationship which is not the case since some countries has put limitation, however, OECD through guiding principles aims to prohibit any kind of benefits arising from treaties, hence, guiding principles are the core work of OECD which should be taken into account in this situations.

Furthermore, the author of this work considers that BEPS reports on Action 6 and Action 14<sup>2</sup> will be very important on further addressing this issues in the future.

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<sup>1</sup> Commentary Article 1 par.7

<sup>2</sup> BEPS Action 14 Making Dispute Resolution Mechanisms More Effective, Due to possible subjective interpretation of guiding principles by tax authorities or taxpayers tax disputes may increase in upcoming years, hence, action 14 might be important on resolving possible disputes. Therefore, the author of this work considers both this actions important to be mention.

## Evaluation of Landscape Change Using Remote Sensing: a Case Study of Burdur Lake Basin

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### Abstract

Georeferenced satellite images can be used for acquisition of topographic information, navigation and visualisation for various environmental studies. The objectives of this study were to determine land use and land cover changes and describe local landscape characteristics in the Burdur Lake Basin. Analyses were carried out using remotely sensed data. The topography of the land has been determined using GlobalDEM data of ASTER satellite with a resolution of 15 m. With this data, ArcMap 10.3 ArcHydro plugin was used to identify the basin of Burdur Lake and it was accepted as the boundary of the study. LT51790341987245 (02 August 1987) and LT51790342011254 (11 August 2011) coded Landsat TM satellite images have been used in the study. For the orthorectification, a digital elevation model (DEM) with an RMS accuracy of ca. 3.5 m, and for classifications 100 selected ground control points (GCPs) measured with differential GPS were used. Land uses identified with classified satellite images are analyzed in a spatial and proportional manner in a total study area of 3.361,56 km<sup>2</sup>. The changes in land cover are compared with each other and have been evaluated in terms of landscape change. Population growth, rising water consumption for agricultural and domestic purposes and building dams has led to water surfaces declining from 208,71 km<sup>2</sup> to 155,42 km<sup>2</sup>. Also analyses show that the landscape had been dominated by a mixture of urban and cultivated land, and became more homogenous and aggregated in 24 years.

**Keywords:** Information technologies, change detection, landscape change, remote sensing.

### 1. INTRODUCTION

Natural, cultural and ethnographic values are of great importance for sustainable development. The best way to use resources for both protection and development policies depends on assessing their susceptibility to changes (Benliay, 2009). Landscape is a dynamic phenomenon that almost continuously changes (Antrop, 1998). Landscape changes are thought to be driven by the complex interactions of socioeconomic (anthropic) and environmental (physical) factors (Forman, 1995; Zonneveld, 1995; Acosta et. al, 2005). The changes in landscapes become extremely devastating and many heritage values and resources become irreversibly lost. The speed of the changes, their frequency and magnitude increased unprecedented in the second half of the 20th century (Antrop, 2000).

Describing proportional changes of different land cover types though time may be crucial, not only for preserving biological diversity, but also for developing general landscape models which are useful in ecosystem management and environmental policies (Franklin, 1993; Christensen et al., 1996; Blasi et al., 2003; Acosta et. al, 2005). Remote sensing and the use of satellite imagery offer interesting possibilities for monitoring changes in land cover in a synoptic view (Antrop, 2004). Georeferenced satellite images can be used for acquisition of topographic information, navigation and visualisation for various environmental studies (Vassilopoulou et. al., 2002). Remote sensing and Geographical Information Systems (GIS), when integrated with the tools of landscape ecology, can be used to investigate the changing spatial patterns of biodiversity (Innes and Koch, 1998; Roy and Tomar, 2000; Rocchini et al., 2006).

In this study, Burdur Lake Basin land cover area and volume changes were analyzed by using Landsat satellite images of year 1981 and 2011 and the reasons for these changes were investigated.

### 2. MATERIAL AND METHOD

## 2.1. Material

The study area is located in the Burdur Basin, which is one of the 25 hydrological basins in Turkey. The Burdur basin consists of six separate covered basins, including Acıgöl, Salda Lake, Yarıklı Lake, Akgöl and Atabey Plain along with Lake Burdur, which is the third largest lake in the Göller region (Ataol, 2010).

Burdur Lake Basin is located in the Western Mediterranean Region and is located between 37° 59' 47" - 37° 08' 35" N and 29° 40' 40" - 30° 29' 21" E according to the Geographic WGS 84 coordinate system (Figure 1).



Figure 1. Burdur Lake Basin

GlobalDEM data of ASTER satellite with a resolution of 15 m. has been used for creating topographic map of the study area. LT51790341987245 (August 2nd, 1987) and LT51790342011254 (August 11th, 2011) coded Landsat TM satellite images have been used for detecting the land cover of Burdur Lake Basin.

ArcMap 10.3 was used to create maps, orthorectification and classification of Landsat images. ArcMap 10.3 ArcHydro plugin was used to identify the basin of Burdur Lake.

## 2.1. Method

Development and conservation of water resources; it is a subject that needs to be considered in hydrological basin integrity and it is possible in the process of integrated watershed planning and management to be done on the axis of water production and consumption starting from production of quality water. The ArcHydro plugin of the ArcMap 10.3 software has detected a water basin along the water flow direction with a total of 3,361.56 km<sup>2</sup> area.

In the study, land use exploitation was made from the earth's reflections. Seven of satellite images were combined into a single composite band. Satellite images were geographically corrected according to Arc MAP 10.3 software UTM (Universal Transverse Mercator) and North zone 35 system and nearest neighbor was taken as sampling method. This sampling method gives the most accurate result with minimum error in geo-rectification process.

In order to obtain land use by utilizing the satellite image, it is necessary to determine the actual landscape characteristics of the date on which the image was taken. This is a prerequisite for controlled classification. For the orthorectification, a digital elevation model (DEM) with an RMS accuracy of ca. 3.5 m, and for classifications 100 selected ground control points (GCPs) which carried out between May 5th 2017 and April 8th 2017, measured with differential GPS were used.

The satellite images are defined by the "image classification" plug-in to the ArcMap software with coordinates of 100 points deducted for basin boundary and designated for controlled classification. The resulting images were visualized to confirm spatial data and additional points were added.

Land uses identified by classified satellite images are analyzed in a spatial and proportional manner, and the changes in land cover are compared with each other. These changes have been interpreted in terms of landscape change.

## 3. Results

Five land cover categories were identified in the study area. These are forests, water surfaces, agricultural lands, settlements and finally dune areas. In addition forests were classified as Low, Middle and High for their vegetation values. Satellite images and maps showing their distribution in 1987 and 2011 are shown in Figure 2.

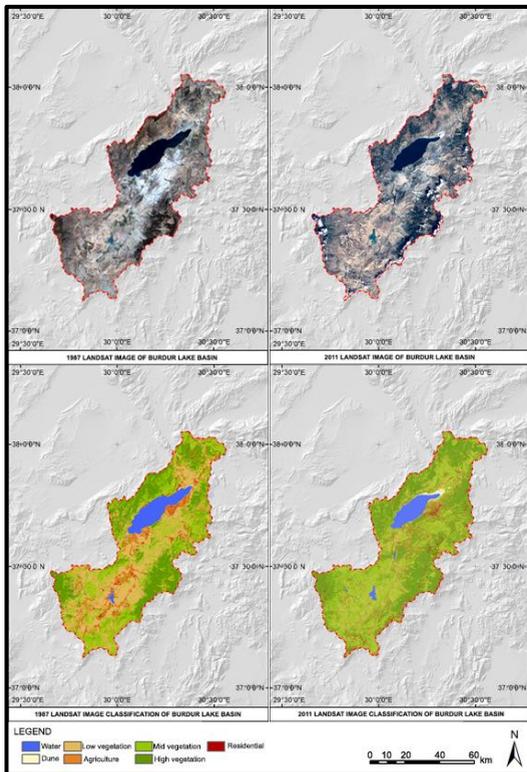


Figure 2. Landsat images and classifications of 1987 and 2011 in Burdur Lake Basin

According to the analysis, the land use which is the highest proportion in 1987 is the forests with low vegetation values with a ratio of % 32,42. Other types of land use were determined as forests with medium vegetation values, high vegetation forests, water surfaces, agricultural land, settlements and finally dune fields, respectively. The pixel, areas and ratio values for 1987 Landsat Image Classification is given in the Table 1.

Table 1. Classification values for 1987 Landsat Image.

1987 Classification	PIXELS	AREA(km <sup>2</sup> )	RATE (%)
1 Water surface	3.310.431	208,71	6,21
2 Dune	92.992	5,86	0,17
3 Low vegetation	17.285.496	1.089,78	32,42
4 Agriculture	2.634.288	166,08	4,94
5 Mid vegetation	15.366.242	968,78	28,82
6 High vegetation	13.070.534	824,04	24,51
7 Residential	1.559.241	98,30	2,92
<b>TOTAL</b>	<b>53.319.224</b>	<b>3.361,56</b>	<b>100,00</b>

The land use which is the highest proportion in 2011 is the forests with mid vegetation values with a ratio of % 38,33. Other types of land use were determined as forests with high vegetation values, low vegetation forests, water surfaces, agricultural land, settlements and finally dune fields, respectively. The pixel, areas and ratio values for 2011 Landsat Image Classification is given in the Table 2.

Table 2. Classification values for 2011 Landsat Image.

2011 Classification	PIXELS	AREA(km <sup>2</sup> )	RATE (%)
1 Water surface	2.465.206	155,42	4,62
2 Dune	387.166	24,41	0,73
3 Low vegetation	6.705.715	422,77	12,58
4 Agriculture	595.952	37,57	1,12
5 Mid vegetation	20.437.347	1.288,49	38,33
6 High vegetation	20.341.533	1.282,45	38,15
7 Residential	2.386.305	150,45	4,48
<b>TOTAL</b>	<b>53.319.224</b>	<b>3.361,56</b>	<b>100,00</b>

These values will not be sufficient to determine the landscape change in years. For example, same ratio and land area can change between agriculture to forest and forest to agriculture land use character in time for different locations in the basin. But this can not be considered as a no change situation. Not only the amount of land use changes but also spatial changes should be examined at the same time. For this, image difference analysis performed for the classified images. The image difference map for the classified images of 1987 and 2011 is given in Figure 3.

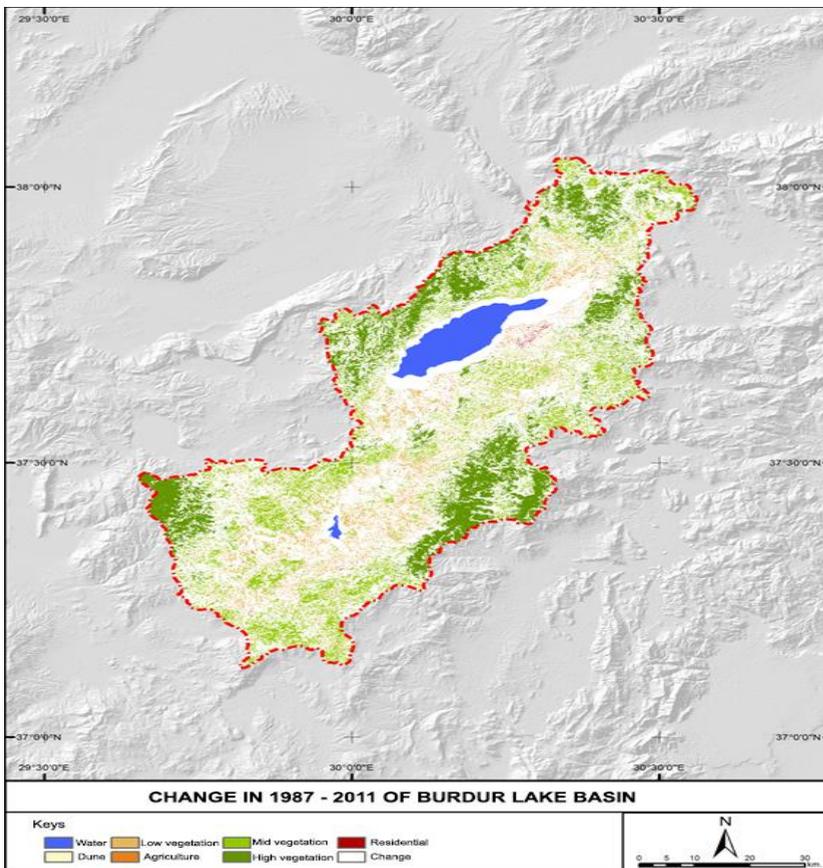


Figure 3. Land cover change in years 1987 ad 2011 in Burdur Lake Basin

Table 3. Difference analysis for 1987 – 2011classifications.

	Change Situation	PIXELS	AREA(km <sup>2</sup> )	RATE (%)
NO CHANGE	1 Water surface	2.001.603	126,19	3,75
	2 Dune	4.159	0,26	0,01
	3 Low vegetation	2.943.622	185,58	5,52
	4 Agriculture	81.785	5,16	0,15
	5 Mid vegetation	6.693.194	421,98	12,55
	6 High vegetation	8.564.933	539,98	16,06
	7 Residential	101.257	6,38	0,19
CHANGE	1 Water surface	1.308.828	82,52	2,45
	2 Dune	88.833	5,60	0,17
	3 Low vegetation	14.336.924	903,88	26,89
	4 Agriculture	2.551.958	160,89	4,79
	5 Mid vegetation	8.687.149	547,69	16,29
	6 High vegetation	4.497.339	283,54	8,43
	7 Residential	1.457.640	91,90	2,73
	<b>TOTAL</b>	<b>53.319.224</b>	<b>3.361,56</b>	<b>100,00</b>

When the image difference analysis for the classified images of 1987 and 2011 examined, It has been seen that there is a significant change in the areas of the forest with low vegetation land covers. The rate of change is % 26.89 and it is determined as 903.88 km<sup>2</sup> area. Analysis shows that biggest type of change for these land use is for forest with medium vegetation with % 15.89 and it is calculated as 534.03 km<sup>2</sup> area and forest with high vegetation with % 8.62 and it is calculated as 289.82 km<sup>2</sup> area.

Forest with medium vegetation land cover has a variation of %16.29 and the area is 547.69 km<sup>2</sup>. Biggest type of change for these land use is for forest with high vegetation with a ratio of % 10.67 and it is calculated as 358.71 km<sup>2</sup> area and forest with low vegetation with a ratio of % 3.60 and it is calculated as 121.01 km<sup>2</sup> area.

The forest with high vegetation have 283,54 km<sup>2</sup> of area and has a ratio of change of % 8,43. Biggest type of change for these land use is for forest with medium vegetation with a ratio of % 5.69 and it is calculated as 191.35 km<sup>2</sup> area and forest with low vegetation with a ratio of % 1.54 and it is calculated as 51.62 km<sup>2</sup> area.

The change in agriculture landscape is observed in a total area of 160.89 km<sup>2</sup> and showing a change of % 4.79. Biggest type of change for these land use is for forest with medium vegetation with a ratio of % 2.09 and it is calculated as 70.21 km<sup>2</sup> area and forest with high vegetation with a ratio of % 1.42 and it is calculated as 47.70 km<sup>2</sup> area.

The residential areas have been changed by % 2.73 and as for the area, 91.90 km<sup>2</sup> was found. Biggest type of change for these land use is for agriculture with a ratio of % 1.27 and it is calculated as 42.59 km<sup>2</sup> area.

Water surfaces show a change of % 2.45. and determined as 82,52 km<sup>2</sup> of landscape change. It has been seen that there is a notable change for dunes in water surfaces with a ratio of % 0,32 and 10.62 km<sup>2</sup> area and residential areas with a ratio of % 0,14 and 4.62 km<sup>2</sup> area. The dune landscapes shows the least changes by % 0.17 and shows a change in the area of 5.6 km<sup>2</sup>.

In addition, when the areas where there is no change between the years 1987-2011 are examined; the one with the largest area is forest areas with high vegetation. It is observed that there is no change in these area of 539,98 km<sup>2</sup> with a rate of % 16.06. The forest with medium vegetation has a rate of % 12,55 and no change in the area of 421,98 km<sup>2</sup>. The forest with low vegetation with a rate of % 5.52 and no change in the area of 185,58 km<sup>2</sup>. The water surface has a rate of % 3.75, with 126,19 km<sup>2</sup> of area no change. Residential areas have a rate of % 0.19 and no change in the area of 6.38 km<sup>2</sup>. Agricultural lands have a rate of % 0.15 and area of 5.16 km<sup>2</sup>. The unchanged areas of sand dunes have % 0,01 rate and area of 0.26 km<sup>2</sup>.

#### 4. CONCLUSION

Urbanization has become ecologically complicated but geometrically simpler whereas the rural landscape became less abundant and diverse. Population growth, rising water consumption for agricultural and domestic purposes and building dams has led to water surfaces declining from 208.71 km<sup>2</sup> to 155.42 km<sup>2</sup> in Burdur Lake Basin. Depending on these outcomes, from 1987 to 2011, the lake lost about % 25.53 of its surface area, as compared to the surface area in 1987. Decrease in water volume is 53.29 km<sup>2</sup> and detected water surface change is 82.52 km<sup>2</sup> in total landscape area. This result shows that there is an additional water surface gain of 29.23 km<sup>2</sup> which was not a water surface before. The change in water surfaces volumes may be due to climatic factors or a consequence of human activities.

The results showed that in only % 61.74 of total landscape there is no change in land use character. Also analyses show that the landscape had been dominated by a mixture of urban and cultivated land, and became more homogenous and aggregated in in 24 years. But vegetaton values of forests has risen over time and only this can be regarded as a gain in landscape character.

Acknowledging that the sources of the Burdur Lake and surroundings landscape change situation is multilayered in nature, thus requiring a multilevel solution. An appreciation of the direction and proportions of landscape change could help managers make the best use of available resources. Information derived from this kind of study should be taken into account when developing management policies and particularly when considering the possible ecological implications for biological diversity.

This study used remote sensing satellite image interpretation and GIS to detect and analyze the spatial changes and quantify the landscape change of Burdur Lake Basin. Using satellite images to extract information is faster and more accurate than other observation methods, particularly in identifying changes between two or more different time intervals. Also for Burdur Lake Basin, additional work must be done. Calculating and analyzing landscape metrics can enhance the results and detect the ecological consequences of urbanization.

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## Explaining Global Citizenship Levels of Polish University Students from Different Variables

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### Abstract

At the age of a new kind of everything (a new kind of communication, a new kind of education, a new kind of social problems etc.) citizenship also takes a new kind form: global citizenship. Global concept has been conducted on almost every area including citizenship. Therefore, citizenship has been understood from a global perspective to overcome new global scale problems. EU is a good example of changing citizenship understanding differing from the national base. Poland is a good target country taken its membership since 2004. 12 years duration means that new generation has been raised in the atmosphere of a supra national environment. At this point, what kinds of variables have what kinds of impact on the global citizenship level of this generation is worth being studied. This study has aimed to understand this question using a personal information form in addition to a "global citizenship" scale developed by Morais & Ogden (2010). The study conducted through survey model included 353 Polish university students. It is understood from the results of the study that Polish students have an intermediate level of global citizenship and low level of global civic engagement. It is also one of the findings that some variables have impact on global citizenship levels. In this respect, the study will contribute to the understanding of the global citizenship levels of EU member students. This document gives formatting instructions for authors preparing papers for publication.

**Keywords:** Global Citizenship, Polish University Students, EU, Poland

### Introduction

In 2000s .the global effect and impact of problems has been felt in a sudden and dramatic way. The 9/11 attacks, and therefore 2003 US military intervention in Iraq, the process called as Arab Spring, the migration flow as a result of Syrian civil war, global ISIS terror attacks may be the primarily global concerns at glance. Environmental (e.g. climate change) and economic problems (e.g.2008 crisis) may also be added to these global concerns. The widening scope of problems leads to the widening scope of solutions as a matter of course. Indeed, the citizenship definition which is based on a national base is being defined at a global scale so as to solve global problems.

The citizenship definition that goes beyond the nation base has been distinctively and practically reified in The European Union. The Union has entitled its member citizens a European Union citizenship right in addition to their national ones and provided individuals with rights that make it possible to address and apply for EU institutions directly. In this context, the significance of The EU not only comes from its economic and political togetherness also comes from the closest point it gives for the transnational content of the citizenship concept.

Given the relationship of The EU with citizenship, Poland which has been the member of The Union since 2004 gives us a dependable sample with its young generation who has been raised during the membership. The aim of the study, at this point, is to evaluate the variables that are though to be influential on global citizenship. To this end, a global citizenship scale was carried out with Polish university students and the correlation between variables on the personal information form and global citizenship levels was tried to be uncovered.

In this study 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 the membership of Turkey 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, one of the quantitative research methods, survey model is employed to evaluate global citizenship levels of Polish university students in terms of various variables. Survey model is a quantitative research method which 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 353 Polish university students who are studying 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	%
Polish University Students	162	45,9	191	54,1	353	100

45,9 % of 353 participants of Polish university students is female and 54,1% 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	%
Polish University Students	145	41,1	162	45,9	46	13	353	100

20-22 ages group consists of the highest share with 45,9 % while the lowest share belongs to 23 and over ages group.

Table 3. Distribution of the study group by mother's education level

Mother's Education Level	Polish University Students	
	f	%
Illiterate	-	-
Only literate	2	0,6
Primary School Graduate	4	1,1
Secondary School Graduate	4	1,1
High School Graduate	117	33,1
University graduate and above	226	64
Total	353	100

There is no participant whose mother is illiterate and mothers of 64% has a university and above level of education.

Table 4. Distribution of the study group by father's education level

Father's Education Level	Polish University Students	
	f	%
Illiterate	1	0,3
Only literate	2	0,6
Primary School Graduate	6	1,7
Secondary School Graduate	7	2
High School Graduate	152	43,1
University graduate and above	185	52,4
Total	353	100

Only one participant's father is illiterate among the study group. Those Polish students whose father has a primary school education level is 1,7 % while those whose father has a university and above education level is 52,4%.

Table 5. Distribution of the study group by monthly family income

Income Level	Polish University Students	
	f	%
500- 1500 Euro	242	68,6
1501-2000 Euro	62	17,6
2001-3000 Euro	31	8,8
3000 + Euro	18	5,1
Total	353	100

The highest income level (3000+ Euro) consists 5,1% of the study group while the lowest level consists 68,6 % of the study group.

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	%
Polish University Students	61	17,3	292	82,7	353	100

The rate of those Polish university students who are a member of a nongovernmental organization is 17,3%.

Table 7. Distribution of the study group by the level of interest in politics

The level of interest in politics	Polish University Students	
	f	%
None	45	12,7
Little	110	31,2
Some	153	43,3
Much	45	12,7
Total	353	100

The rate of Polish university students who feel much interested in politics is 12,7% while that of Polish university students who don't feel interested in politics is 12,7. And the highest rate belongs to those who feel some interested 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	%

Polish University Students	123	34,8	87	24,6	143	40,5	353	100
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The rate of Polish university students who prove the Turkey's membership to EU is 34,8% (123). On the other hand, those who don't approve Turkey's membership has 24,6% share. And, 40,5% of the study group has no idea about the Turkey's EU membership process.

### Data Collection Tool

In this study, a personal information form that is made of variables thought to be influential on participants' global citizenship level and "Global Citizenship Scale". developed by Morais and Ogden (2010) have been employed to determine global citizenship levels of Polish university students. 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. The Global Citizenship Scale was translated into Polish and then explanatory factor analysis was carried out for the construct validity. The scale was proved to be reliable according to the results.

### 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. reveals the fact that Polish university students' total score from the scale equals to "average" (2,95). It is also recorded that Polish students has "average" (3,59) level of social responsibility while they have lower score of global competence (3,29). This finding suggests that Polish students have enough faith to take social responsibility but they don't have enough global competence to fulfill these responsibilities. The lowest score that Polish university students have is seen in global civic engagement dimension. (2,50 = inadequate). This finding highlights that Polish university students don't feel confident enough to take action for solving the global problems.

Table 10. Global citizenship levels of Polish university students.

Global Citizenship Scale Subdimensions	Polish University Students		
	N	$\bar{X}$	S
Social Responsibility	353	3,59	,690
Global Competence	353	3,29	,575
Global Civic Engagement	353	2,50	,754
TOTAL	353	2,95	,484

As seen in Table 11. female students have higher scores in subdimensions of social responsibility and global civic engagement. Also female students have a higher total global citizenship score compare to male ones. As a result of these findings it is clear that female Polish university students have a better sense of global citizenship than male ones. They also have more social responsibility conscious and show more global civic engagement compared to male ones.

Table 11. t-test results of Polish university students' global citizenship levels by gender variable

Global Citizenship and Subdimensions	Gender	N	$\bar{X}$	S	sd	t	p
	Female	162	22.31	4.29			
	Male	191	20.96	3.91			
	Female	162	29.96	4.93			
	Male	191	29.46	5.38			
	Female	162	38.92	11.19			
	Male	191	36.29	11.30			
	Female	162	91.20	14.10			
	Male	191	86.72	14.61			

What is striking to find is that income level makes no difference in university students' global citizenship level. Table 12. shows in detail that neither subdimensions nor global citizenship total score has any correlation with income levels.

Table 12. One way variant analysis of Polish university students' global citizenship scores in terms of income level

Subdimensions	Variance Source	KT	sd	KO	F	p	Difference Scheffe
	Between groups	18.4612	3	6.153			
	Within groups	6017.153	349	17.241			
	Total	6035.614	352				
	Between groups	34.634	3	11.544			
	Within groups	9414.708	349	26.976			
	Total	9449.342	352				
	Between groups	62.190	3	20.730			
	Within groups	45016.052	349	128.985			
	Total	45078.243	352				
	Between groups	51.970	3	17.323			
	Within groups	74330.233	349	212.980			
	Total	74382.203	352				

A significant difference has been found between the university education the students' global citizenship scores except social responsibility subdimension (Table 13.). In other words those who believe the university education makes them feel more global citizen including global competence and global civic engagement.

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
	Yes	207	21,60	4,21			
	No	146	21,56	4,04			
	Yes	207	30,70	4,94			
	No	146	28,26	5,18			
	Yes	207	39,24	11,21			
	No	146	35,03	11,02			
	Yes	207	91,55	14,27			
	No	146	84,85	14,04			

Table 14. gives interesting implications about the relationship between being a member of a NGO and global citizenship. First of all, as seen in the table, big majority of Polish university students (292 out of 353) aren't a member of a NGO. Secondly, those students who are a member of a NGO have a better sense of global citizenship sense including global civic engagement dimension while those who aren't a member of a NGO feel more socially responsible. Here it can be suggested that being a member of a NGO make students feel more global citizen but it also fails to make them feel more socially responsible.

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
	Yes	61	19,75	4,45			
	No	292	21,96	3,97			
	Yes	61	30,37	5,62			
	No	29,54	5,08	4,16			
	Yes	61	43,22	10,87			
	No	292	36,30	11,05			
	Yes	61	93,36	14,64			
	No	292	87,82	14,35			

Table 15 gives us opinion about the correlation between being interested in politics and the level of global citizenship. According to the results seen in the table, there is a positive correlation between the interest in politics and global citizenship level. That being said, the more a students feel interested in politics, the better they feel global citizen. However, social responsibility dimension should be excluded from this correlation because not any significance has been found for social responsibility dimension.

Table 15. One way variant analysis of Polish university students' global citizenship scores in terms of interest in politics.

Subdimensions	Variance Source	KT	sd	KO	F	p	Difference Scheffe
	Between groups	18.567	4	6.189			
	Within groups	6017.047	349	17.240			
	Total	6035.614	353				
	Between groups	813.566	4	271.188			
	Within groups	8635.775	349	24.744			
	Total	9449.342	353				
	Between groups	2871.988	3	957.329			
	Within groups	42206.255	349	120.934			
	Total	45078.243	353				
	Between groups	6366.7261	4	2122.242			
	Within groups	68015.477	349	194.886			
	Total	74382.203	352				

The attitude towards to Turkey's EU membership has also been asked to the study group. Table 16 shows that those students who prove the membership of Turkey seems more global citizen including global competence and global civic engagement dimensions. In other words, except from social responsibility dimension, those proving the membership of Turkey have more global competence and global civic engagement, thus they have a better sense of global citizenship.

Table 16. One way variant analysis of Polish university students' global citizenship scores in terms of proving Turkey's EU membership.

Global Citizenship Subdimensions	Variance Source	KT	sd	KO	F	p	Difference Scheffe
	Between groups	192.608	3	96.304			
	Within groups	5843.005	350	16.694			
	Total	6035.614	353				
	Between groups	521.010	3	260.505			
	Within groups	8928.332	350	25.509			
	Total	9449.342	353				
	Between groups	2868.651	3	1434.325			
	Within groups	42209.592	350	120.598			
	Total	45078.243	353				
	Between groups	4843.337	3	2421.668			
	Within groups	69538.866	350	198.682			
	Total	74382.203	353				

### 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 the membership of Turkey 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.

*H1: There is a positive correlation between being a membership of a NGO, being interested in politics and global citizenship level. True*

Table 15 gives us opinion about the correlation between being interested in politics and the level of global citizenship. According to the results seen in the table, there is a positive correlation between the interest in politics and global citizenship level. That being said, the more a students feel interested in politics, the better they feel global citizen. However, social responsibility dimension should be excluded from this correlation because not any significance has been found for social responsibility dimension.

Table 14. gives interesting implications about the relationship between being a member of a NGO and global citizenship. First of all, as seen in the table, big majority of Polish university students (292 out of 353) aren't a member of a NGO. Secondly, those students who are a member of a NGO have a better sense of global citizenship sense including global civic engagement dimension while those who aren't a member of a NGO feel more socially responsible. Here it can be suggested that being a member of a NGO make students feel more global citizen but it also fails to make them feel more socially responsible.

Firstly, it should be remembered that being interested in politics shows the awareness of contemporary issues in the world. Independent from ideological background, someone who is interested in politics is considered to know migration problem, conflicts, global and local inequalities are nowadays problems thanks to the speed of information flow and vanishing national-international distinction. At this point, those who are aware of the global concerns should be understood, in Kantian sense, to feel the violation of a Right in one place of the world (Kant, 2010). Taken from another perspective, those who are interested in politics are the closest group to think globally and act globally while those who aren't interested in politics tend to consider local issues. Also, NGO memberships are among the examples of what a citizen can do to be a global citizen regardless of legal regulations (Dower, 2000). By being a member of a NGO that works for global purposes someone can take responsibility to solve global issues (Armstrong,2006) and this person can be considered as a global citizen in both structural and moral terms (Dower, 2000).

The rate of Polish university students being a NGO is 17,3 %. 2014 fieldwork research results supports this finding showing that only 20% of Polish young people have become a member in the last year (EU Commission Flash Eurobarometer 408, 2015). The weakness of civil society is also considered to be a negative impact on global citizenship level. Young people of 21<sup>st</sup> century should be directed to NGOs and the factors that hinder Polish young people from being a member of a NGO should be revealed.

*H2: Those proving the membership of Turkey have a higher level of global citizenship. True*

Table 16 shows that those students who prove the membership of Turkey seems more global citizen including global competence and global civic engagement dimensions. In other words, except from social responsibility dimension, those proving the membership of Turkey have more global competence and global civic engagement, thus they have a better sense of global citizenship. The number of students who proves Turkey's membership is 123 (34,8 %) and this rate reflects approximately the EU average; in 2008 %31, in 2010 %30) EU Commission Standard Eurobarometer 74, 2010). What is more interesting is that 40,5 % of Polish university students have no idea about Turkey's membership process. This result is supported by the view that Polish ruling elites have no policy agenda to bring Turkey's membership to the public debate (Szymanski, 2009, Balcer, 2010, Biegaj 2012). In fact 73% of Polish sees Turkey belong to Europe geographically while 61 % of them sees Turkey belong to Europe historically in 2006 (EU Commission Eurobarometer 66, 2006). At this point it is worth to analyze what has changed since then.

Turkey that has been in accession negotiations since 2005 is about to lose Poland in which public opinion does not reflect any prejudice against Turkey's membership today. This study reveals that there is a 40,5 % share who is waiting to be convinced or at least be informed about Turkey's EU membership process. If Turkey wishes to be a member of EU, it should effort more to inform and convince these Polish young people.

*H3: Gender makes a difference in global citizenship level. True*

Table 11. shows that female students have higher scores in subdimensions of social responsibility and global civic engagement. Also female students have a higher total global citizenship score compare to male ones. As a result of these findings it is clear that female Polish university students have a better sense of global citizenship than male ones. They also have more social responsibility conscious and show more global civic engagement compared to male ones. This gender difference should be studied in detail trying to understand why male Polish students have a weaker sense of global citizenship.

*H4: The more family income a student have, the better s/he has a global citizenship level. False*

One of the interesting result of the study is that income level makes no difference in university students' global citizenship level. Table 12. shows in detail that neither subdimensions nor global citizenship total score have any correlation with income levels. It can be said that it is not a prerequisite for being a global citizen to have a certain level of income. Everybody from all income levels have a potential be a global citizen. It won't be incorrect to claim that the globalism wind has touched at every citizen of all income groups.

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## Review of Georgian Leasing Market and Perspectives for Development

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### Abstract

At contemporary stage leasing has formed as one of the dynamically growing trend that encourages investment progressions throughout the world business development. In the modern world, leasing acts as a multimillion industry. 80% of companies in developed countries use this financial instrument. 1/3 of investments in fixed assets are accomplished by means of leasing. Leasing companies have quite diverse business and operations. All these depend on lease term, type of relation, form of object, organizational structure of a company, etc. Leasing essentially is a whole complex of three simultaneously executed operations (lease, crediting and material support). At certain point, leasing is similar to credit, which is given to buy an object. Consequently, it may be called a property credit. Nowadays, in Georgia, banking credit is more well-known than leasing, in spite of the fact that for entrepreneurs leasing is more convenience than banking credit.

**Keywords:** Leasing, advantage, alternative, calculation, leasing market.

### Introduction

**The methodology of the study:** During the research we used the following general-scientific methods: analysis by synthesis, observation, comparison, hypothesis and analogy.

### Review of Georgian Leasing Market and Perspectives for Development

In the modern world, leasing acts as a multimillion industry. 80% of companies in developed countries use this financial instrument. 1/3 of investments in fixed assets are accomplished by means of leasing. In Georgia, leasing relations started to develop in 1997. Certain leasing operations had taken place before legislative control was established for leasing relations. For example, in April 8, 1997, governments of Japan and Georgia entered into an agreement according to which Japan granted unremunerated assistance for Georgia. The grant included \$ 4 million. In the following years, China and Greece also made grant to Georgia for assisting the leasing business. In Georgia, leasing business is controlled by articles 576-580 of Georgian Code and Law of Georgia "Regarding Assistance for Leasing Business" which was adopted in 2002.

Leasing business is one of the types of entrepreneurial activity which accompanied the establishment of market-economic model in Georgia. In Georgia, leasing market is the only area where demand exaggerates supply, while there is high competition in other entrepreneurial activities. Despite Georgia has a law "Regarding Leasing Business" and credit resource, leasing alternative is quite expensive, as a result of which neither small and middle-scale companies, nor large companies very often do not have access to leasing. Leasing sector is basic factor for economic progress of a country, though it plays less important part in Georgian economics.[3] Development of leasing sector shall promote economic progress in the country and especially increase small and middle-scale business. In Georgia, there are 138 registered leasing companies while actually less than 10% of them work. Today, acting leasing companies in Georgia fund following fields: construction, health care, transportation and utilities, trade and manufacture industry, agriculture, printing trades and polygraphy.

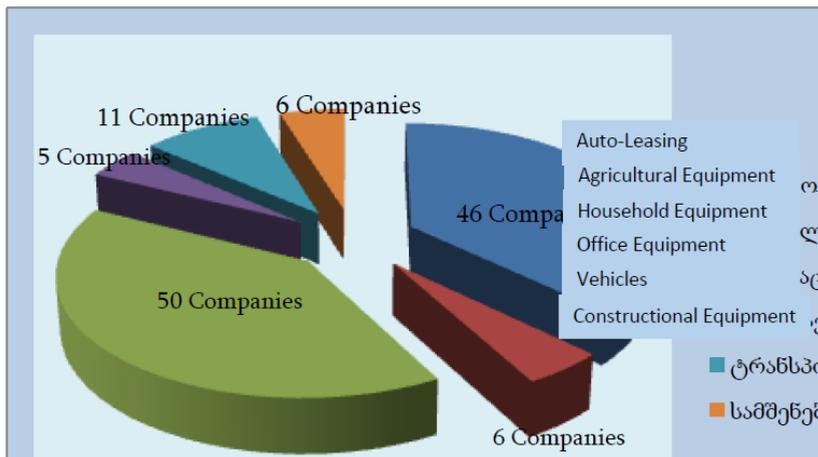
In Developing countries, 3-15% of investments required for constant capital renovation are financed from leasing, while in developed countries this value reaches 30%. In Georgia, as in a developing country, leasing finances approximately 2% of total assets, while the rest 98% appeal for banking, microfinance loans or their private resources to purchase primary means. Leasing in Georgia has not yet been developed properly, though, compared to common loan, it has lots of advantages. Security for mortgage is not required while taking a lease of property, as the subject of leasing is itself a guarantee. Return of lease property or terms of final purchase is agreed with lease recipient, finances are established in accordance with 100% demand and lease payment is less than bank's beneficial interest. The founders of lease companies are mainly banks and financial institutions because a client prefers to receive credit not in the form of money, but receive the property which is the subject of purchase. Although, banks are not allowed to perform leasing operations directly. [1]

Setting up an agreement is simple and does not require financial expenses. In Georgia, lease companies offer clients a financial leasing and leaseback. Terms of financial leasing are from 5 to 15 years. The lease company purchases the equipment/machinery chosen by the client and leases it to the client for monthly lease payments in return. The lessee uses the asset for the business, makes payments every month and after covering the whole liability becomes the owner of the machinery. In case of leaseback, the lease company buys client's fixed assets and gives them with financial leasing. The lessee continues to use the assets and once the payment is fully covered the he/she gets back the ownership again.[4]

Today, financial leasing holds an important part of portfolios of lease companies. This type of leasing is popular especially in those countries where lease industry is on inception stage.

Non-existence of secondary machines is related to a high risk. In such countries, lease companies cannot offer customers a possibility to receive machines back because a second-hand sale of machines is a big problem. At present, lease companies in Georgia take risks that are related to crediting but not to lease item.

Work of lease companies in Georgia According to specialization



According to legal forms lease companies are divided in the following way: joint-stock company - 11%, joint liability company – 23%, individual company – 37%, limited liability company – 27.6%, mixed companies and cooperatives – 0.7% relatively.

Most part (almost 50%) of lease companies existing in Georgia are registered in Tbilisi and their place of work is Tbilisi. The reason is that Tbilisi is more active in business than other cities of Georgia. 19% of companies (26 companies) are registered in Kakheti, 10 % (14 companies) – in Imereti, 6.5% (9 companies) – in Kvemo Kartli, 6% (8 companies) – in Shida Kartli, 5% (6 companies) in Samegrelo-Zemo Svaneti, etc. Such uniformity is caused as a result of irregular demand on leasing service in Georgian territory.[2]

Georgia has a big potential for developing a lease market and it was encouraged by reforms made in civil and tax legislation in 2011. These reforms mitigated the leasing service and regulated the tax accounts for lessor and lessee. Preparation of draft law had been taking place for several months. The process involved appropriate governmental structures, as well as representatives from lease companies, business association and international experts. The law was approved by Parliament of Georgia in November 1, 2011. Following these reforms in Civil Code, leasing was registered as an independent agreement. Before that leasing was a type of rent.

According to the existing statistics, there are 3 leading lease companies in local market of Georgia:

“TBC Leasing” of TBC Bank;

“Georgian Leasing Company” of Bank of Georgia;

“Alliance Group Leasing” – an independent lease company.

JSC TBC Leasing was established in 2003. The company with up to 600 clients across Georgia and over 1500 valid leasing agreements, is currently the leader of the market with 69% share and manages GEL 102mm portfolio. There are 53 employees in the company. The list of TBCL clients vary from medical, printing, transportation companies, food and processing industry, to service industry and trade, as well as some agricultural companies all across Georgia. The company participates in government programs (“Produce in Georgia”, Georgian Rural Development Fund, Cheap Agro-Credit). The company has been offering the customers exclusive conditions on auto-leasing since 2015 – financing for new, second-hand, local or imported automobiles is available both for individuals and legal entities. For individuals this is the first product that was offered by the company. Prompt and flexible service makes TBCL products attractive for both newly established yet developing and accomplished large companies. The company constantly strives to develop partnership with local vendors and thus offer clients flexible new products. Being a leader on Georgian leasing market, TBC Leasing has a number of reliable partners both on local and international market: BSTDB, EBRD, RESPONSABILITY, SYMBIOTICS, MICROVEST, TRIPLE JUMP, etc.

The sectors that are financed by TBC Leasing are as follows: medicine, service, development, construction, Road construction, industrial (agro, producing, trading), natural resources, renewable energy, technologies, media and telecommunications. Terms of Financial leasing: average price of asset - \$25,000 - \$1,000,000; term – 12-84 months; standard implicit rate - 15-35%; guarantee: the purchased machinery.

TBC Leasing is applied by many companies. By 2016, TBC Leasing whole leasing portfolio was more than 8 million dollars with over 90 financed projects. TBC Leasing has active relations with international organizations and with their direct support holds a dominant position in Georgia.

EBRD made decision to purchase 10% of stocks of TBC Leasing Company. This was the first investment that was made in Georgian leasing market. EBRD issued a credit for TBC Leasing with the amount of 3 million dollars. Such investment encourages both successful business of TBC Leasing and also development of newly created leasing market of Georgia. The credit of EBRD is for 5 years that enables TBC Leasing to perform lease projects with private, small and middle-scale Georgian companies.

Demand on leasing between enterprises in TBC Leasing portfolio are divided in the following way 15% of customers – small productions; 55% - medium-sized; 30% - large companies.

In 2014, TBC Leasing was financed with USD 4 million loan. The facility was issued by the Black Sea Trade and Development Bank (BSTDB). The facility will be used to finance small- and medium-sized local companies. The new loan extended by BSTDB to TBC Leasing serves increasing access to the finances for Georgian small- and medium-sized companies through development of nonbanking finance sector in Georgia. Leasing as a tool for investment in equipment promotes economic growth and consequently, creation of employment.

Best Equity Fund (LHV Persian Gulf Fund) GCC 2015	LHV Asset Management
Best Asset Manager GCC 2015	United Securities LLC
Best New GCC Fund 2015 – SEDCO Capital GCC Equities Fund	Sedco Capital
Fastest Growing Retail Bank Gambia 2015	FBNBank (The Gambia) Limited
Best Retail Bank Gambia 2015	Trust Bank Ltd
Best Regional Trade Finance Bank Gambia 2015	Ecobank Gambia ltd
Best Banking Cards (Regional and Visa Card) Gambia 2015	Ecobank Gambia ltd
Best Commercial Bank Gambia 2015	Guaranty Trust Bank (Gambia) Ltd
Best Internet Bank Gambia 2015	Guaranty Trust Bank (Gambia) Ltd
<b>Best Leasing Company Georgia 2015</b>	<b>TBC Leasing</b>
Fastest Growing Corporate Bank Georgia 2015	PASHA Bank
Best Retail Bank Georgia 2015	Liberty Bank
Best E-commerce Bank Georgia 2015	Capital Bank
Best Investment Brokerage Company Georgia 2015	Galt & Taggart
Best Corporate Finance Advisory Georgia 2015	Galt & Taggart

According to Global Banking & Finance Review Awards-2015, TBC Leasing is the best leasing company of the year of 2015 in Georgia

“Luca Polare”, a popular ice-cream shop in Tbilisi, collaborates with TBC Leasing. In the beginning of the business, purchase of technic equipment was funded by their partner. After that, the ice-cream cafe and production was expanded by the support from TBC Leasing. Today, they still collaborate with TBC Leasing and have many plans for the future. “Luca Polare” started its business with one ice-cream shop in Tbilisi, Leselidze street. Soon, they opened another cafe. At present time, they have five locations in Tbilisi. Support from partner is most important in competitive market.

The company works for establishment of new leasing projects that will give an opportunity of the customers to reduce monthly taxes: during the lease term the client will pay only part of the value of item and after the end of the period he/she will have an opportunity to return the old item back and take new. In September 2004, “TBC Leasing set up an agreement with “ADVANTAGE”. “ADVANTAGE” is USAID financed project, which aims to help the export of Georgian agricultural products to increase.[10]

“**Georgian Leasing Company**”, sub-company of Bank of Georgia, offers funding for purchasing the basic facilities. “Georgian Leasing Company” Ltd. (GLC) is a member of the JSC Bank of Georgia Group, with 15 years of experience in leasing services. GLC was the first company to offer customers leasing services as an alternative way of financing and continues successful implementation of this mission today. GLC provides an opportunity to start up business, SME’s and large companies to acquire wide range of leasing services such as finance lease, Sales & Leaseback and operating lease. GLC offers its leasing services to individuals as well. GLCs business relations with the clients is based on partnership and mutual understanding. GLC considers success of its clients as its own and offers services of highest quality tailored to the needs of clients. Bu use of leasing, you have a chance to purchase assets without capital outlays. As a result, you have an opportunity to save credit lines for business development. Leasing products are: financial leasing, auto-leasing, auto-leasing without financial records, auto-leasing with remainder cost, leasing of restaurant equipment, leaseback, operational leasing.

GLC and “Mercedes-Benz” official representatives in Georgia offer customers (individuals/legal entities) completely new product – “Auto-leasing \_ Your New Mercedes”. From today on, one of the most prestige and marketable brand “Mercedes-Benz” will become available for customer by means of auto- leasing. “Auto-leasing \_ Your New Mercedes” allows customers to take advantage of so-called ‘trade-in’ which means that: an individual/legal person purchases a new car at “Mercedes-Benz” center and after some time if he/she wants to return the purchased model back and replace it with a new one, GLC and “Mercedes-Benz” official representatives give the possibility for that. Customers will also be able to redeem leased car and keep it in permanent use. First time in Georgia it is possible to

purchase new "Mercedes" car by leasing based on minimal monthly lease cost and payment only 10% of car's price (implication). It should be noted that monthly lease cost does not cover set up, legal, purchase-related, insurance or other costs. It is important to mention that during car using the customers can have their cars checked at "Mercedes Benz" service center for free once in 6 months. Term of "Auto-Leasing – Your New Mercedes" is maximum 72 months. During auto-leasing customers can reduce their monthly lease cost by increasing implication (first payment). For example, if a customer prefers 30% implication, monthly lease cost for 72 months' period will be only 287 €.

**Alliance Group Leasing (AGL)** is the first independent, non-banking leasing company in Georgia, which offer customers financial, operational leasing and leaseback services. Since it was established in 2006, the company has served over 4,000 customers and funded 40 million USD transactions. Except Tbilisi, the company's leasing service is available in Zugdidi Region. Alliance Group Leasing is the first leasing company in Georgia which was awarded with quality control international certificate ISO 9001 in 2011. Besides, Alliance Group Leasing is the first which was awarded with "portable guarantee" by US government in 2011. Alliance Group Leasing has special offer for wine producers, small and family wineries and touristic sites. In May 26, 2015, with regard to Independence Day of Georgia, Ministry of Environmental Protection hosted visitors at "Green City" on Rustaveli Avenue. Alliance Group Leasing represented electric bicycles at the corner of the city where visitors were able to be informed about technical specifications of the bicycles. The bicycles deserved great interest from the visitors. First time in Georgia, Alliance Group Leasing offers a unique, modern and easy way of transportation – electric bicycle. There are three types of Bicycles in sale: tourist i.e. mountain bicycle, city and cargo tricycles. Biking and maintenance of electric bicycles are very simple. It can be charged from household power supply. Electric bicycles can be used both in high mountain regions and also in lowlands and city. Electric bicycle is perfect for those People who follow a healthy lifestyle. Holidaymakers who want to take a ride in the city or in the mountains; Small and medium business and hotel employees in the regions who have to travel from village to the city and vice versa and need to carry some goods. For interested people it is possible to purchase the bicycles by easy, leasing service.[12]

In Georgia government project "Produce in Georgia" started in June 1, 2014. The program budget is 46 million Lari. It aims to support small and medium-sized businesses and start-up companies. In October 2016, Georgian government added to program a new component – leasing. "Leasing Course" is a new direction of the program. Industrial machinery technologies are very old in Georgia and that's why the government will subsidize and provide far more cheap services for the program involved companies through existing leasing companies. This is a good opportunity to import technologies and new machineries in Georgia.

### **Recommendations**

For development of leasing sector, it is required to work on new concept, according to which, new legislative ground will be established that will encourage to appear new sources of finances for assets, develop products and bring new investments in this field. According to the representatives of leasing market, leasing service prices will become cheap and more producers will come in the market as soon as leasing law is improved. It will increase the turnover of companies that consequently will cause set-back of prices on the assets. Finally, it will stimulate the companies to invest in fixed assets;

Development of leasing sector has direct relation to economic progress. Level of unemployment is lower in the countries where leasing operates properly compared with the countries where leasing is still in developing stage;

Proper leasing system provides successful business for small and medium-sized companies;

Profit of leasing companies was reduced by high taxation regime that is active in Georgia. Low profit margin is one of the main reasons that hindered the development of this market.

In Georgia, leasing business is taxed with VAT and this regulation still remains in legislation. Leasing is the best facility for developing small and medium-sized businesses. In foreign countries, Leasing is free from VAT and legislation regulated many other issues. In our country, leasing business is not free from VAT and consequently, using credit is cheaper than leasing. The owner of business prefers to take credit from bank rather than take leasing because VAT rate is added to monthly lease cost and in fact, the last one is more expensive.

In Georgia, there are two types of leasing companies – existing at bank and independent leasing companies. Georgian legislation allows being of leasing companies existing at bank by consent from National Bank. The lack of finances

is more a problem. At this stage, banks have less opportunity to expand and establish leasing companies. On the other hand, banks look at leasing companies as their competitors. Though, word experience shows that banks and leasing companies are in different segment and are not competitors for each other.

In Georgia, interest rate on loans of leasing companies is between 16% - 20%, which is too high and requires work to be reduced.

More work is required with local businessmen to make them aware of advantages of leasing and its economic benefit.

None of the leasing companies work in quite large regions of Georgia, such as Racha-Lechkhumi and Kvemo Svaneti. This region is less developed and its part in Georgian industrial production is only 0,3%, still the recourse potential of this region makes it possible to develop.

Level of implication of customers in leasing should be cancelled by considering living conditions of our population.

We consider that market requires support and interfere from government on the beginning stage of leasing market formation where Georgia is now residing. Otherwise, it will not improve.

### Literature review

The following materials from Georgian magazines were discussed during the work on the issue:

Practical-scientific journal "Accounting Records";

Informational-scientific journal "New Agricultural Georgia";

Methodic-practical journal "Taxations and Calculation";

Juridical journal by Association of Judges of Georgia "Justice and Law";

Materials for international scientific conference organized by Tbilisi Teaching University;

Collected works of Batumi Shota Rustaveli State University;

International practical-scientific journal by Guram Tavartkiladze University;

Addition of journal "Moambe" by Georgian National Academy of Sciences;

Scientific, practical-analytical journal "Business and Legislation";

Collected Scientific works of Paata Gugushvili Institute of Economics of Tbilisi State University.

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## Strategic Management for Organizational Performance: from Which Come the Mistakes of Strategic Decision-Making

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### Abstract

The current context of organizations is marked by changes or even dramatic changes. The main function of decision-makers becomes increasingly difficult and complex. At the same time, performance has become one of the most important topics within companies. That is why management and economics have addressed this central issue. Faced with a turbulent environment characterized by rough and fierce competition, guaranteeing performance and above all maintaining it becomes a strategic priority, which is why strategic management will be called upon. So our article will deal first with the performance of companies and the role of strategic management in this sought-after performance; and the precautions to be taken into account in strategic decision-making. To do this, we will begin our research by the conceptual framework of performance, to justify the contribution of strategic management in the performance of the company. The paper will conclude with an analysis of strategic decision-making and recommendations. The methodology used in this paper is a literature review.

**Keywords:** Strategic management, Performance, Companies, Competitiveness, Information, Environment, Decision.

### 1. Introduction

It is the environment in which any organization is today, whatever its activity, is complex and constantly changing and requires it not only to evaluate its performance at a given moment but to manage it by aiming for a sustainable performance.

*"The management of the performance process must be understood in the long term. Any company operating in a dynamic environment, performance management cannot be repeated identically. On the contrary, it must produce the conditions of its own transformation by providing an organizational learning function"<sup>1</sup>.*

In this context, the need for an organizer over time, the necessary matching between environmental requirements and the company's capabilities, justifies the use of strategy and strategic management.

In the corporate world, the strategy is generally geared towards achieving a sustainable competitive advantage as a result of harsh and fierce market competition, a strategic area of activity, responsiveness to environmental survival or growth of the company<sup>2</sup>.

From a chronological point of view, we can divide the emergence of strategy into an enterprise according to the goal and we obtain three main periods:

The sixties when the corporate strategy is aimed at determining development objectives.

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<sup>1</sup> Mandez, Performance management in a French multinational, in Proceedings of the 7th Congress of the AGRH 1996 on "performance and human resources" Page 328.

<sup>2</sup> A.D.Chandler, Strategies and structures of the company, Editions d'organization, Paris, 1989.

The seventies when the strategy integrated competition.  
The 1980s when the strategy begins to support the stakeholders.

On the other hand, a typology of the strategy according to the behavior of the organization allows us to obtain two classifications, namely, the reactive strategy which covers a set of action decided in the face of an environmental threat; and the proactive strategy that comes down to an initiation of an autonomous action.

Whatever the strategy, information is the key. According to R. REIX<sup>1</sup> [2000], *information is what changes our moral vision, which reduces our uncertainty.*

Indeed, the organizations have evolved over time, the strategy will have to take charge of this evolution in order to better adapt and consequently to guarantee the attainment of the expected objectives. Although it is not an end in itself, but a set of paths and options to achieve the organization's goals in the long run, having a strategy seems to be a fundamental element for any organization. It is therefore necessary to have a plan defining the main orientations to be pursued and the action plans to be undertaken to ensure its profitability, continuity and growth that it is developed and put in place. We can say that the essence of the strategy is the taking into account of the future, the will to anticipate and control to better prepare.

In this context, this article aims to re-examine the relationship between strategic management and the overall performance of the company. Two simple and important questions are addressed: does strategic management improve the performance of the company? What are the sources of strategic mistakes?

## State of the Art

### a. Performance and Key concepts

The performance of organizations is a very answered concept. It has gained momentum, especially with globalization. This importance will be further accentuated by the emergence of the information and knowledge society. The often underwritten performance of the evaluation. Information and its mastery becomes the new crucial element that occupies managers. As with other management concepts, the concept of performance is far from unanimous in terms of definition. The definition of the concept of performance is generally confused with the concept of efficiency and effectiveness.

By distinguishing between individual performance and organizational performance, Turcotte considers that the latter "differs from productivity in terms of the value of a unit of goods and services relative to its cost of production. It is different from the efficiency that is the ability to achieve objectives as well as efficiency that reflects the ability to be effective at the manufacturing level, regardless of whether the products sell well or not"<sup>2</sup>.

Several attempts to define performance have been recorded. We quote the one by M. Lebas<sup>3</sup>, who tries to define performance in the management domain by evoking what he called "*the common characteristics of performance*"<sup>4</sup>:

Accomplish, carry out an activity for a specific purpose.

Realization of a result.

Comparing a result against an internal or external reference.

Ability to achieve or achieve an outcome (potential for achievement).

Apply concepts of continuous progress with a view to competing.

Assessment of performance by several stakeholders who may not have the same vision and approach. Hence the need for a multi-criteria approach to performance.

Measure by a digit or a communicable expression.

On his part, A. Bartoli has linked three notions of results, means and objectives by linking them to three logics and which are logic of efficiency, logic of effectiveness and logic of budgeting<sup>5</sup>.

Because of the changes already cited in the organization environment, evaluating an organization's performance using relevant and appropriate indicators remains a difficult exercise. It must ensure the success of organizations regardless of

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<sup>3</sup> R.REIX, information system and management of organizations, Vuibert, Paris, 2000, 3rd edition.

<sup>4</sup> P.Turcotte, Behavior in an organizational environment, Consul 2000, Publisher Sherbrooke.1997, 658 pages. Page 22.

<sup>5</sup> M. Lebas, The concept of performance, in Revue Travail, n ° 34, spring - summer 95, page 137 to 149.

<sup>6</sup> [http://theses.univ-lyon2.fr/documents/getpart.php?id=lyon2.2001.lahlali\\_m&part=47389](http://theses.univ-lyon2.fr/documents/getpart.php?id=lyon2.2001.lahlali_m&part=47389).

<sup>7</sup> A.Bartoli, The management of public organizations, DUNOD, Paris, 1997, 283 pages, page 78.

their sector of activity, while taking into account the evolution that organizations are experiencing today. This attitude is justified by the presence of many organizations that continue to measure their performance through indicators designed to meet past needs. An effort to adapt is strongly urged so that the indicators reflect the reality sought.

In today's increasingly competitive, turbulent and unpredictable environment, appropriate performance indicators should be developed and, in particular, operational models should be defined to measure them in order to determine the level of performance of the company. This will help to properly manage the overall performance of the company.

## b. Strategic management

Decision-making processes that are strongly influenced by the structure of the organization produce the strategy. The manager's job is "strategic management", defined as the management of the interactions between strategy, structure, decision and identity. The latter are the tetrahedron of strategic management.

Strategic management has been the subject of numerous writings, starting with the definition of management according to Peter DRUCKER (1999), which consists of the art of making rational and informed decisions; the strategic management is described as "*the organizer, over time, of the necessary matching between the requirements of the environment and the capacities of the company*"<sup>1</sup>.

Strategic management is a top-management assignment, characterized by a long-term commitment, concerns the organization's relations with its environment and engages the entire organization.

Strategic management thus enables an organization to ensure its competitiveness, its security, in addition to its legitimacy by allocating its resources as well as possible in order to create added value. Talking about strategic management is about tackling different notions such as strategic diagnostic, strategic choices and strategic deployment.



**Figure 1. The components of strategic management**

The Strategic Diagnostic consists of understanding the strategic impact of the external environment, the strategic capacity of the organization (its resources and skills) and the expectations and influence of the stakeholders. Strategic Choices include the selection of future strategies, both at the organizational level and in the strategic areas of activity, as well as the identification of development orientations and modalities.

Strategic Deployment involves putting the strategy into practice. A strategy exists only when it is effectively implemented and translated into operational and concrete actions.

The role of managers in strategic management is of such importance that it equals the importance of information and its control in the decision-making process. The latter, by its very nature, proves to be very complex and requires more resources and effort compared to the operational decision-making process.

Clearly, any strategy must be evaluated in order to judge it. The evaluation of a strategy remains crucial; it is limited to three axes, namely:

<sup>8</sup> A.Ch. Martinet, Strategic Management: Organization and Policy, McGraw-Hill, 1984.

**Relevance:** the degree of fit between a strategic choice and the conclusions of the strategic diagnostic.  
**Feasibility:** the expected performance of a strategic choice. It is measured by the gains (expected benefits of this choice), the risks (in case of failure) and the reactions of the stakeholders.  
**Acceptability:** the company's ability to acquire and deploy the resources and skills needed to implement a given strategic choice.

Given the need to optimally allocate scarce resources, to arbitrate and prioritize possible programs and development paths, and to adopt proactive organizational behaviors, as well as a willingness to adjust activities and missions of the organization to the changes of its environment, strategic management has become more than ever a vital necessity.

**Strategic management & Global performance a. The strategic process**

The strategic process consists of an organization in a succession of stages which leads to the definition of a specific identity, its values and to the setting of long-term objectives. The strategic process outlines the steps required for strategic decision-making, and outlines the process.

The strategic process generally takes place in four stages:

- 1) The definition of the identity of the organization: mission, vision and values.
- 2) The strategic diagnostic.
- 3) Strategic choice and target setting.
- 4) Evaluation and correction of the actions implemented.

Strategic approaches have evolved over time; Jacques SORNET (2010) synthesized them in the following table:

**Table 1. The evolution of strategic approaches<sup>1</sup>**

	Years 60 – 70	Years 70 – 80	Since
Context	- Sustained growth - Establishment of large groups	- Sluggish growth - Increased competition and cost of resources - Social inclusion	- Opening of the stock market - Globalization - Economic Emergence of New Countries
Essential Goal of Strategy	- Define development objectives (volume, diversification)	- Surpassing competition	- Coping with globalization (size, costs, financing, competition)
Principles	- Determinism - Quantification - Optimization - Diversification	- Global vision - Management of uncertainties and crises - Process vision	- Adaptability, flexibility - Stakeholder Integration - Change management - Global Approach and Projects - Refocusing
Contemporary Approaches	SWOT (LCAG – Harvard) : strengths - weaknesses - opportunities - threats	Competitive approach (PORTER)	Resources and Skills

	- Plans (long-term, operational)	- 5 competitive forces	- Redesigned Strategic Areas of Activity (same resources and competencies)
	- Budgets and Differences	- Strategic Segmentation, DAS	- Information system
Significant Tools	- Product lifecycle	- Value chain	- Analysis of technological potential, technological life cycle
	- Effect of experience	- Success Factor	- Total Quality
	- Economies of scale	- Strategic matrices (competitive positioning)	- Competitiveness Analysis

<sup>9</sup> J.Sornet, Management Course, CRCF Finance Resource Center 2010, France, Page 54, accessed [online] at <http://crcf.ac-grenoble.fr/>, on 22 October 2012.

Source : Jacques Sornet, Management Courses, Financial Resource Center CRCF 2010, France page 54 Web site : <http://crf.ac-grenoble.fr/>

For a better understanding, one can divide the strategic process into two main phases, one abstract and another concrete. The abstract side encompasses everything that is diagnosis, choice and conceptualization of strategy; as regards strategic control and the operational declination of the strategy, they constitute the concrete side of the process.

### **b. Management strategic and performance**

The strategy intervenes in an organization at several levels:

The first level that of corporate strategy, concerns the purpose and scope of the organization as a whole and how it adds value to its various activities. This includes choices of geographic coverage, diversity of product and service offerings, and how resources are allocated between activities. Generally, the corporate strategy takes into account the expectations of the owners (the shareholders), the government or the stock markets.

The second level is sector-specific strategies, which identify key success factors in a particular market. This usually means defining how an advantage can be obtained in relation to competitors and which new markets can be identified or constructed.

These different orientations must meet market expectations while meeting the organization's overall objectives, such as long-term profitability or market share growth. While corporate strategy implies choices that engage the organization as a whole, these decisions are relevant to a strategic area of activity. A strategic business area is a subset of business activities that have similar success factors that share resources and know-how.

A key success factor in an activity is "what you need to know how to succeed in a market".

It is usually: - an element of the offer that has value for the customer - and / or a particular know-how - and / or a cost advantage in the design / production-distribution-distribution chain of the product / service.

(3)The third level of strategy lies at the base of the organization. This is where operational strategies are developed that determine how the different components of the organization (resources, processes, individual know-how) actually deploy the strategies defined at the global level and at the Strategic Areas of Activity level.

Coherence between operational decisions and strategy is therefore a determining factor.

## **3. Strategic decision-making errors**

### **a. The organization, a decision-making center**

An organization is a social entity, bringing together people who work together to achieve a specific goal. To reach it, it uses decision-making processes, so the organization is a center of decision-making by excellence.

The word decision is therefore omnipresent in the life of organizations. It is subject to reflection and debate, since it conditions and shapes the very future of the organization. For example, there are decisions of all kinds: financing decisions, investment decisions, or operating decisions.

The main role of any head of an autonomous center is to make decisions. In general, the decision-maker (s) are not autonomous, there are forms of limiting the decision such as market constraints, competition or legislation. In addition, decisions do not have the same importance, nor the same impact. All this makes the area of decision-making very important.

A first typology of the decision highlights the exceptional decisions of repetitive decisions. It is in this sense that it is important to establish a typology that allows each decision to be treated and identified as well as possible.

Depending on the criterion chosen, a typology of the decision can be drawn up. Establishing a typology of decisions involves identifying the main factors that affect decision-making. Reference can be made to the impact of a decision or the decision-making process for that classification.

### **b. Strategic decisions**

The classification according to the purpose of the decision or called according to the importance of the problem is developed by Igor Ansoff [1965], the results of this criterion are a distribution by level and we will obtain:

The **strategic decision** is usually taken by top management. it concerns the main axes of development of the company, and the relations of the company with the external environment. This type of decision determines the future of the company by setting the fundamental orientations that commit it in the long term.

The **tactical decision** is usually taken by the intermediate hierarchy. it aims at implementing the strategy, drawing up action plans and correcting dysfunctions and, as a result, it concerns resource management and the effectiveness of their use in order to be able to monitor in the medium term develop, for example, the improvement of a product.

The **operational decision** is usually taken by the operational managers and covers all the unforeseen events, particular situations that arise during the execution of the operations. The operational decision relates to the day-to-day operation with the aim of making the process of resource transformation as efficient as possible. They are very frequent, their impact is short-term. It should be noted that these decisions are not independent, but only hierarchical. Operational decisions that are the most frequent in nature, concretize tactical decisions, themselves resulting from strategic decisions.



**Figure 2. Strategic, tactical and operational decisions (Anthony, 1966)**

In this case, the need for information intensifies each time you climb a level in the pyramid. The characteristics of the requested information are specific to each level. Thus, the information requested for the strategic level is natures:

- Complex.
- Diversified.
- Uncertain.
- Quantitative.
- Qualitative.
- Multiple shapes.

This amounts to saying that, overall, the strategic decision is much more complex than the other two types of decision.

	Strategic decision	Operational decision
Impact	Global	Local
Duration	Long	Short
Reversibility	Weak	Strong
Dimension	Multiple	Unique
Environment	Object / variable	Constrained / fixed
Objectives	General	Specific
Information	General unstructured	Specific and structured
Structuring	Low Exploration	Strong Operations

**Table 2. Characteristics of strategic and operational decisions (Kalika & Orsoni, 2006)**

Strategic decisions are therefore long-term decisions about the existence and identity of the company (they are part of the general policy of the company, are largely irreversible and staggered over time). **c. Principles sources of strategic errors**

Let us recall here that strategic decisions therefore have the following characteristics:

They are complex by nature

They are developed in a situation of uncertainty

They affect operational decisions

They require a global approach (internal and external to the organization)

They involve major changes

On the other hand, it is accepted that the decision depends on the set of information we possess<sup>1</sup>. It is a complex decision-making process. Below are some key strategic errors:

### **Environmental and information literacy for decision-making purposes**

The organizational environment has become more complex, inconstant and confusing now that it is becoming increasingly difficult to keep up with changes. The availability of the necessary information, which after analysis will make it possible to draw appropriate conclusions for adaptation purposes and to define a strategy, accordingly becomes necessary for the survival of organizations.

In addition to conventional information on marketing, economics, finance, the analysis of the environment of the organization gradually encompasses new aspects. It is quite common to talk today about the analysis of environments linked to "policy of openness decided by public authorities, regulatory and regulatory aspects, economic conditions, ecology, sociological developments, technological developments and the impacts of competition ..."<sup>2</sup>.

For decades, deep changes have affected the environment of organizations. These mutations are of order<sup>3</sup>:

*Geopolitics*, with the break-up of the communist bloc and the increasing role played by other actors than the European Union.

*Economic*, marked by both the globalization of trade and a finer segmentation of markets.

*Technological innovations*, marked by an acceleration of innovation and competition for the commercial pre-eminence of advanced nations, have led companies and states to rethink industrial strategy and to think about the definition of tools to better cope with these new challenges.

At the same time, the development of information and communication technologies, which contract space and time, have led to a dematerialization of the economy, at the same time that they have made markets more competitive and the environment more complex, more shifting, less readable. In this context of profound changes in the organizations' environment, information becomes a strategic raw material in the service of the development strategy, whose management must be optimized by mobilizing all of the organizational forces. Information is thus a strategic raw material for:

*Act*: it is a question of constructing analyzes allowing to have decision arguments in the framework of strategic or operational projects.

*Anticipating*: it is a question of apprehending future changes and changes in the environment and thus feeding forward thinking.

*React*: It is a matter of being alerted in a timely manner to important events that must be responded to in a timely manner.

Monitoring the environment is the first concern of organizations. The gathering, analysis and communication of information relating to this environment is the sinews of war. It nurtures the decision-making process in the company. This attitude

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<sup>10</sup><https://managementstrategieetperformance.wordpress.com/>

<sup>11</sup> M.AKLI, Strategic Intelligence in Business, (Communication, Governance and Economic Intelligence), International Colloquium UFC, 14-16 June 2008, Algiers -Algeria, consulted online at [http://www.veille.ma/IMG/pdf/governance-ie-acts/Strategic\\_Watch-ENTREPRISE-AKLI-algerie-telecom.pdf](http://www.veille.ma/IMG/pdf/governance-ie-acts/Strategic_Watch-ENTREPRISE-AKLI-algerie-telecom.pdf), page 04

<sup>12</sup><http://www.veille.ma/IMG/pdf/white-paper-IE.pdf>.

represents a radical change in the managerial culture of the company. Information and its mastery thus becomes what makes the difference between organizations, it is the core of the strategic decision that provides competitive advantage.

#### **Lack of anticipation**

"When one espouses a trend, it is already too late," Robert SALMON, vice president of L'Oréal France, summarizes the philosophy of anticipation. Many large companies have either disappeared or sends to be by the only error that could not anticipate. Example of Kodak that could not clear the turn of digital, or Nokia with the event of tactics. The anticipation is like listening to the voice of the environment, only that way and hardly detectable because of its low intensity.

So companies that happen to detect weak signals emanating from the environment are the only ones who are able to prepare for future events and therefore have the desired competitive advantage.

A caveat is needed because anticipation is not forecasting which is simply the calculation of trends on the database collected in a past period. Rather, anticipation focuses on the events left out by forecasters, as it may be that there are signs of possible disruptions that may be of interest to organizations.

#### **Threat assessment**

Sometimes, organizations focusing on the defensive dimension alone may be counterproductive. To speak only of dangers, one risks very well to close the organization on itself and to rigidify its behaviors, even though its future rests on its ability to anticipate and adapt to a constantly evolving context.

A correct, fair and balanced assessment of environmental threats strongly influences the decision-making behavior of organizations. It is among the sources of strategic errors that paralyzes the action of undertaking.

#### **Lack of promising opportunities**

In addition to the overestimation of threats, promising opportunities may arise, but the strategic decision to exploit them is lacking due to a poor analysis of the situation.

The analysis should be fed on the one hand by strategic information and on the other by human, material and organizational means. Seizing opportunities remains the priority; this is what will develop the organization. Do not grasp it means missing an appointment with the future.

#### **Change management**

Strategic decisions are decisions that lead to remarkable changes in the life of organizations. They are therefore projects of change, and like any project, it must be managed in order to achieve the expected objectives. The success of an organization depends not only on the right strategy and on resources. It also depends on the ability of its management to operate, direct and support teams and individuals to engage in the organization's strategy and objectives.

Not to reconcile particular interests with the interest of the organization is the first side of strategic error; the second is not to have the entire human resources of the organization adhere to either the design and / or strategic objectives of the organization. This attitude, if not resolved, causes resistance to change, which will lead to the failure of strategic decisions.

#### **Human Capital Management**

Nurtured by the belief that there is no wealth but for Men, human capital and the intangible play an essential role in the success of strategic decisions. The decision-making process remains subjective and the cognitive aspect is present. Management must be able to consistently deliver performance and results and achieve the best possible performance of the teams and individuals they manage.

The challenge is to benefit the organization and the success of its strategy from the intangible asset it owns. This is to say how to manage all the knowledge and knowledge within the organization? Moreover, how to move from an individual intelligence to a collective intelligence?

The adoption of an integrated skills management culture seems to be the solution

#### **4. Conclusion**

The review and analysis have clearly shown the contribution of strategic management to the overall performance of organizations. Performance needs to be manager.

The upheavals in the organizations' environment have shown the weight and the preponderant role of a new element that is "information". The latter has become a particular new commodity. The mastery of strategic information for a decision-making purpose provides every organization with competitive advantage and consequently conditions for development and prosperity.

The decision that is only information plus a skill, mounts the role of the Human component in this process. A set of precautions are necessary to note them, namely the management of people and skills, the importance of the intangible in creating value within organizations, managing change and above all listening attentively to the environment of all stakeholders.

To meet the vital need and the need to adapt to the environment in order to have the competitive advantage, we recommend to all organizations the following axes:

- Monitor its relevant environment,
- Protecting its intangible heritage (knowledge, know-how, image),
- Manage knowledge,
- Influencing its environment,
- Manage change,
- To conclude, we assert that much of the mistakes in strategic decisions stem from a lack of knowledge of the environment.

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# Stress Analysis of Composite Materials Used for Yacht Production Through Solid Work Simulation

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## Abstract

In recent years, considerable progress has been made in understanding the characteristic of composite materials and their tailored structures in the marine environment. Processing and production sectors also have received more attention resulting in the potential for the construction of complex, large assemblies capable of withstanding heavy loads. However, the key challenges involved in employing composites for marine applications include the need for optimization of capital expenditure and operating costs of boats, ships and other marine artifact's constructed using composites. Materials science and composite technology are advancing rapidly, and new composites such as epoxy mixtures including the application of carbon nano tubes are becoming more popular with ever growing concern for high performance marine structures. Indeed, lightness, ease of production, durability and strength enable composites to play a vital role in marine applications. As the Marine sector continues to look at improving efficiency and reducing overall costs, Composite materials will play a huge part in the future of Marine construction. The paper is focused to the static linear simulation of elastic bodies using Solid Works Simulation. Stresses analyses have been developed in the static analyze which provide tools for the linear stress analysis of parts and assemblies loaded by static loads, taking in consideration for the analyze the most stressed part of the bottom, board and desk of the yachts

**Keywords:** Static analyze, stress, composite materials, optimization, marine sector, leisure yachts.

## 1. Introduction

The advantage of material properties and flexibility of choosing material have made composite materials a primary preference for structural application. Unlike isotropic materials, the parametric study of composite beams for optimized design is complicated due to high number of parameters involved in designing like lay-up sequence, and layer configuration. Moreover, the limitations of FEA techniques in designing have created a need for an analytical closed-form solution for stress analysis of laminated composite beams.

The objective of this study focuses on the development of an analytical method for stress analysis of composite beam. This method includes the structural response due to unsymmetrical and/or unbalanced of laminate as well as unsymmetrical I-beam cross-section. These structural characteristics are often ignored in the most published studies.

Analytical closed-form expressions for the Von misses indicator, stress and strain coefficient, and URES parameter are generated from the different simulation with different composite materials for the three main parts of the ship, hull, board and deck using Alfa Solid Work commercial soft.

## 2. Coordinate System for Lamina and Laminates

A laminate is made up of perfectly bonded layers of lamina with different fiber orientation to represent an integrated structural component. In most practical applications of composite material, the laminates are considered as thin and loaded along the plane of laminates. A thin orthotropic unidirectional lamina as depicted in Figure 2.1 has fiber orientation along the 1-direction and the direction transverse to the fiber along the 2-direction. The x-y coordinates represent the global coordinate system for the lamina.

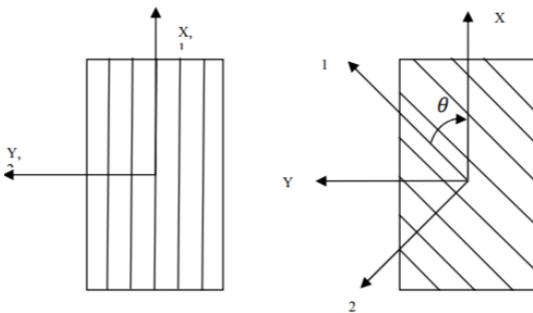


Figure 2.1 Coordinates of Lamina.

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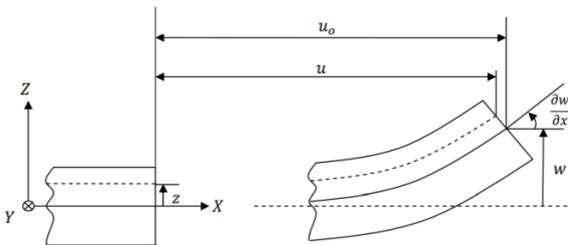


Figure 2.2 Laminate Section Before and After Deformation. [14]

Since each lamina has individual coordinate system, the strain-displacement relation for a laminate is represented easily along a convenient common axis in the reference plane. The reference plane is selected along the mid-plane of the laminate for simplicity. Moreover, the laminate are assumed to be bending without slipping over each other and the cross-section of the laminate remains unwrapped. Transverse shear strain are also considered to be negligible. Considering these assumptions the in-plane displacement at any point with coordinate  $z$  can be written as (see Figure 2.2)

$$u = u_0 - z \frac{\partial w}{\partial x}$$

### 3. Narrow and Wide Beams

The structural response of the beam is dependent on the ratio of the width to height of the beam cross section. For a beam subjected to bending, the induced lateral curvature is insignificant if the width to height ratio is large. This kind of beam is so-called "wide beam". Conversely, if the width to height ratio of the cross section is small, the beam is called "narrow beam". For this case, the lateral curvature is induced due to the effect of Poisson's ratio. As the result, lateral moment is zero.

Wide beam,  $M_y \neq 0$   $K_y = 0$   
 Narrow beam,  $M_y = 0$   $K_y \neq 0$

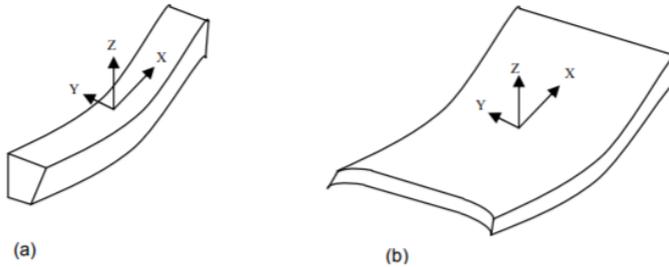


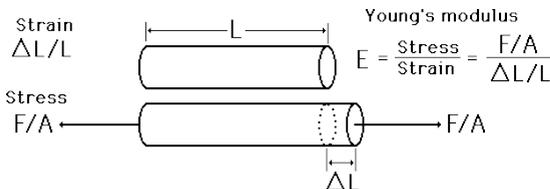
Figure 2.4 (a) Narrow and (b) Wide Beams under Bending.

#### 4. Stress and Strain in Laminates

Stress and Strain are the two building blocks of structural analysis. They are what we use to understand where a component is in relationship to material failure, sharing a close relationship. So close that sometimes their definitions both contain each other making it difficult to understand them individually. What they have in common is:

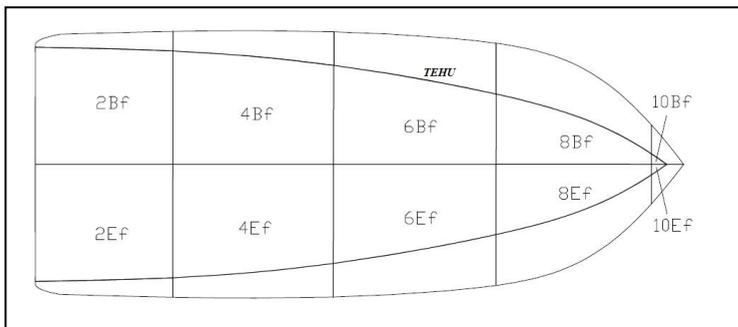
Stress and Strain are both responses to applied loads on a structure.

Stress and Strain are both measurements to determine material failure criteria and behavior



The methodology of the study include the stress analyzing of the most loaded panels for hull, board and decks for a small composite vessel with 5.5 m length based on the respective designs.

#### 5. Panel Analyses Based on ISO 2008 Standard



Vessel's parameters

LOA = 5,457 m

LWL = 5,040 m

BWL = 1,912 m

Bmax = 2,243 m

DWL = 0,357 m

$\Delta$  = 756,652

Navigation speed  $V = 40$  nyje.

### Hull panels

Dimensions for hull panel (mm)					
Panel					
	2	4	6	8	10
L	1160	1361	1397	1419	290
B	1041	960	802	290	257

Panel					
	2	4	6	8	10
Pressure in the panel Pbm	40,21208	39,25379	30,515535	42,8477	73,93265

The panel 4 is the most stressed panel, so every simulation on Solid Work will be done for this panel taking in consideration two types of composites composite with plains and sandwich composites.

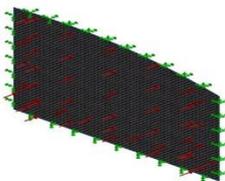
### Simulation oh hull panel in Solid Work Software

The simulation of panel 4 for hull has been done for 6 composite materials respectively: Composite EPOXY-Rubber, E-glass-EPOXY, PVC – Natural Rubber, Resin-Rubber, Polyester resin – Natural Rubber, Custom plastic- Rubber. The composite was composed from 16 plains of the above mentioned materials symmetric ones.

Simulation process start with panel design that can be done on CAD and transported on Solid Work or designed directly there.

### Simulation of EPOXY- RUBBER panel

Geometric modeling of the panel 4 for the hull of small vessel 5.5 m length



New static study, define the type of composite, entered the parameters for it, thickness for every plain, angle, volume, density of material, mass and weight. It has been chosen the composite with 16 combined plains in a symmetric way.

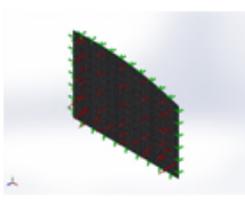
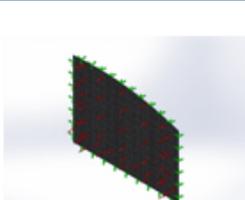


Surface-Plane1

Total number of Plies: 16 Symmetric: Yes							
Ply	Thicknes s(mm)	Angle(de g)	Area(m ^2)	Volume (m^3)	Density( kg/m^3)	Mass( kg)	Weight (N)
1	0.7	0	1.26638	0.000886464	1100	0.97511	9.55608
2	0.58	45	1.26638	0.000734498	1000	0.734498	7.19808
3	1.05	-45	1.26638	0.0013297	1100	1.46267	14.3341
4	0.64	0	1.26638	0.000810481	1000	0.810481	7.94271
5	1.05	45	1.26638	0.0013297	1100	1.46267	14.3341
6	0.77	-45	1.26638	0.00097511	1000	0.97511	9.55608
7	1.05	0	1.26638	0.0013297	1100	1.46267	14.3341
8	1.03	45	1.26638	0.00130437	1000	1.30437	12.7828
9	1.03	45	1.26638	0.00130437	1000	1.30437	12.7828
10	1.05	0	1.26638	0.0013297	1100	1.46267	14.3341
11	0.77	-45	1.26638	0.00097511	1000	0.97511	9.55608
12	1.05	45	1.26638	0.0013297	1100	1.46267	14.3341
13	0.64	0	1.26638	0.000810481	1000	0.810481	7.94271
14	1.05	-45	1.26638	0.0013297	1100	1.46267	14.3341
15	0.58	45	1.26638	0.000734498	1000	0.734498	7.19808
16	0.7	0	1.26638	0.000886464	1100	0.97511	9.55608

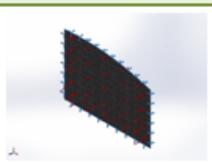
Document Name: C:\Users\AULEDA\Desktop\Paneli 4 - fundi Studimi 1 EPOXY, rubber).SLDPRT  
Date Modified: Sep 14 20:42:31 2017

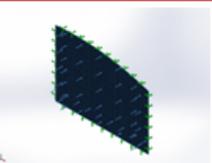
Defining the materials selected from the library of Solid Work software. In our case has been chosen Epoxy Unfilled and Rubber. The model type was chosen Linear elastic Orthotropic with the respective tensile strength in x, compressive strength, elastic modulus and Poisson's Ratio according to the material.

<p>Curve Data: N/A</p> 	<p>Name: epoxy, unfilled Model type: Linear Elastic Orthotropic Default failure criterion: Unknown Tensile strength in x: 2.8e+007 N/m^2 Compressive strength in x: 1.04e+008 N/m^2 Elastic modulus in x: 2.415e+009 N/m^2 Poisson's ratio in xy: 0.35 Mass density: 1100 kg/m^3</p>	<p>&lt;Material_ComponentList1 /&gt;</p>
<p>Curve Data: N/A</p> 	<p>Name: rubber Model type: Linear Elastic Orthotropic Default failure criterion: Unknown Yield strength: 9.23737e+006 N/m^2 Tensile strength in x: 1.37871e+007 N/m^2 Elastic modulus in x: 6.1e+006 N/m^2 Poisson's ratio in xy: 0.49 Mass density: 1000 kg/m^3 Shear modulus in xy: 2.9e+006 N/m^2 Thermal expansion coef in x: 0.00067 /Kelvin</p>	<p>&lt;Material_ComponentList1 /&gt;</p>

Fixture and Loads of the plan has been done in all directions taking in consideration that we are developing a static study. The value of the maximal pressure on the panel 4 is the load applied in the panel in each piece of it.

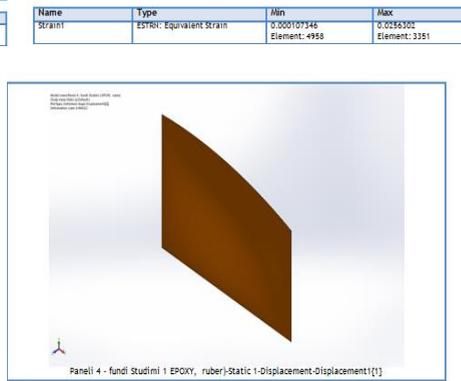
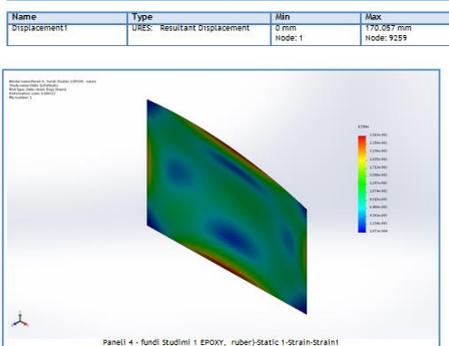
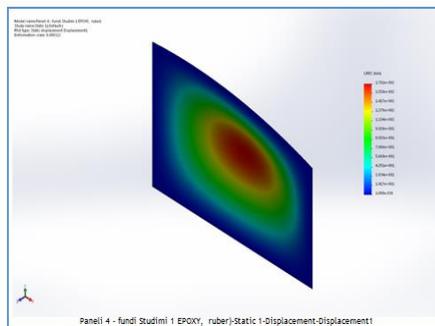
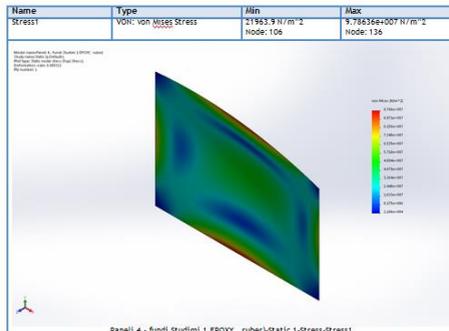
Loads and fixtures

Fixture name	Fixture Image	Fixture Details		
Fixed-1		Entities: 4 edge(s) Type: Fixed Geometry		
<b>Resultant Forces</b>				
Components	X	Y	Z	Resultant
Reaction force(N)	-3.95755e-010	1.50712e-009	49710.1	49710.1
Reaction Moment(N.m)	-66.2311	14.6041	0	67.8221

Load name	Load Image	Load Details
Pressure-1		Entities: 1 face(s) Type: Normal to selected face Value: 39253.8 Units: N/m <sup>2</sup> Phase Angle: 0 Units: deg

Mesh and run the study is the final process, before the software generate the report. Report results create the possibility to receive the appropriate data that can help for the definition of the appropriate composite material which can satisfy the necessary parameters for durability and weight.

Study Results

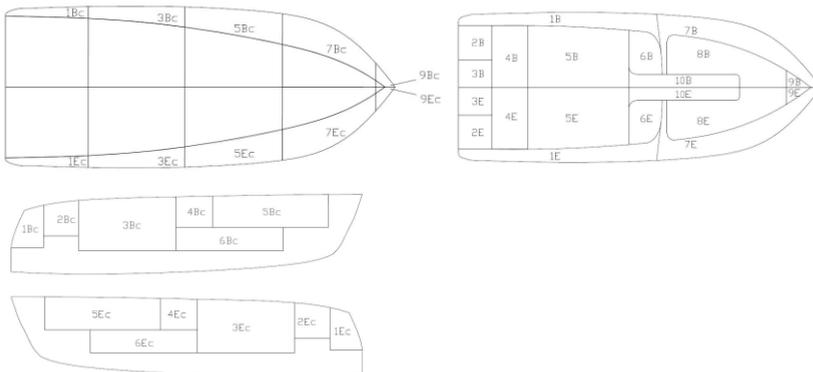


Based on the same methodology has been generated from the software the respective reports for every composite applied.

The table 1. below shows the most important parameters that can be used to analyze which composite material is more appropriate for the yacht hull construction.

The material	Material mass in (kg)	Thickness (mm)	Von mises stress N/m2	URES (mm)	ESTRN	Deformation scale
Epoxy unfilled – rubber	18.375	13.74	9.786e+007	1.701	2.563	0.8
<b>Resin-natural rubber</b>	<b>17.59</b>	<b>13.74</b>	<b>1.011e+007</b>	<b>2.125</b>	<b>3.14</b>	<b>0.64</b>
E-glass – epoxy (sandwich)	39.9	13.76	9.64e+007	3.688	5.599	5.52
PVC – Natural rubber	18.75	13.74	9.786e+007	1.701	2.563	0.8
Polyester resin – Natural Rubber	18.65	13.74	1.14e+007	2.463	3.711	5.52
Common Plastic - Rubber	18.4	13.76	9.599 e+007	1.691	2.39	0.8

The same simulation methodology is going to be used for the most stressed panel of board nr 3 and the panel of deck nr 5 in the below designs respective design No1 for the board (panel 3) and design No 2,3 for the deck (panel 5)



Based on the same methodology has been selected between six different composite materials the composite EPOXY-Rubber as the most appropriate for the construction of the panel 5 for the deck and the same material for the construction of panel 3 of the board.

### Conclusions:

Composite materials are the most appropriate materials for the construction of yachts and small boats due to the very good parameters in weight and durability.

Solid work simulation static stress analyze offers the possibility to apply different composition of the materials and select the most appropriate material based on weight, tensile stress and deformation.

The composite EPOXY – Rubber is the most appropriate material for the construction of board and deck panels, instead of other composites taking in consideration the static analyze

Polyester resin – Rubber Composite is the most appropriate composite to be recommended to the constructors of yachts for the hull construction.

Sandwich materials are not recommended for the hull construction due to the very high weight they have.

## United Notation 2030 Agenda for Sustainable Development Goals: Appraisal and Prospects

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### Abstract

United Nations adopted in 2015 seventeen Sustainable Development Goals to be achieved in 2030. The main goals are: ending poverty, ending hunger, achieving equity in health, education, water treatment and sanitation, full and productive employment for all, sustainable economic growth, sustainable consumption and production pattern, combat climate change and other environmental goals. There are many constraints encountering the achievements of these goals. These constraints are basically financial and political. This paper emphasizes that these goals cannot be achieved without large scale of international financial support in terms of grants and easy term loans. In addition, UN has to play its role in preserving international peace and security which are the basic elements in sustainable development. Time frame for achieving sustainable development goals should be extended, probably, to the mid of this century.

**Keywords:** Sustainable Development Goals, Economic, Financial, Political

### Introduction

In 25th of September 2015, General Assembly of United Nations adopted A/Res/70/1 Resolution named "Transforming Our World: The 2030 Agenda for Sustainable Development". This Resolution contained 17 goals of Sustainable Development to be achieved in 2030. Before we go to describe and evaluate them it is important to give brief outline about the concept of sustainable development.

### The Emergence of Sustainable Development Concept

Sustainability is the term chosen to bridge the gap between development and environment. Originally it came from forest, fisheries and ground water which dealt with quantities such as "maximum sustainable cut, maximum sustainable yield, maximum sustainable pumping rate." [1]

The concept of sustainable development found in the report "Our Common Future" of the World Commission on Environment and Development (WCED). This report was done by the UN General Assembly in 1983 and completed in 1987. The report defined Sustainable Development as a "development that meets the needs of the present without compromising the ability of future generations to meet their own needs." [2]

The report stated that "... part of the environmental problem is that some of (rich) nations are consuming too much, while at the other end of the continuum, environmental problems are caused by people living in poverty who use the environment unsustainably because their own survival is otherwise at stake." [3]

Sustainable development is a dynamic process of change in which the exploitation of resources, the direction of investment, the orientation of technological and institutional change with future as well as present needs. [4]

According to the Commission report sustainable development in the final analysis must rest on political will of the governments as a critical economic, environmental and social decision are made. [5]

The rapid industrialization and economic development took place after the Second World War in the west caused negative socio-economic disparities and environmental consequences. Wide variation in standard of living, education, health, water treatment and sanitation, unemployment between North and South are main features of these consequences. Poverty and around 800 million people facing hunger are more acute in the South which require large scale international humanitarian support. Exhausting natural resources basically nonrenewable ones, degradation and pollution of air and soil and increasing atmospheric temperatures are the main part of environmental problems.

Eliminate poverty and hunger are the first priority for UN Sustainable Development. "Within the sustainable development, the Commission recommended that 'overriding priority' should be given to the essential need of the world poor"[ 6]

### **Our World Today as Described in the UN Adenda**

The UN assembly Resolution A/Res/70/1 summarized the current our world situation as follows:"

Billions of our citizens continue to live in a poverty and are denied a life of dignity. There are rising inequalities within and among countries. There are enormous disparities of opportunity, wealth and power. Gender inequality remains a key challenge. Unemployment, particularly youth unemployment, is a major concern. Global health threats, more frequent and intense natural disasters, spiraling conflict, violent extremism, terrorism and related humanitarian crisis and forced displacement of people threaten to reverse much of the development progress made in recent decades. Natural resource depletion and adverse impact of environmental degradation, including desertification, drought, land degradation, freshwater scarcity and loss of biodiversity, add to and exacerbate the list of challenges which humanity faces. Climate change is one of the greatest challenges... Increases in global temperature, sea level rise, ocean acidification and other climate change impacts are seriously affecting coastal areas and low-lying coastal countries, including many least developed countries and small island developing states. The survival of many societies, and of the biological support systems of the planet"[7]

### **UN Goals of Sustainable Development For 2030**

The assembly of UN adopted the following goals to be achieved in 2030 as indicated in the Resolution A/Res/70/1. These goals are:"

1-Ending poverty in all its forms everywhere, 2- End hunger, achieve food security, improve nutrition and achieve agriculture sustainable development, 3- Ensure health lives and promote well-being for all at all ages, 4- Ensure inclusive and equitable quality education..., 5- Achieve gender equality and empower all women and girls, 6- Ensure availability and sustainable management of water and sanitation, 7- Ensure access to affordable, reliable, sustainable and modern energy for all, 8- Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all, 9- Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation, 10- Reduce inequality within and among countries, 11- Make cities and human settlements inclusive, safe, resilient and sustainable, 12- Ensure sustainable consumption and production pattern, 13- Take urgent action to combat climate change and its impacts, 14- Conserve and sustainably use the oceans, seas and marine resources for sustainable development, 15- Protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forest..., 16- Promote peaceful and inclusive societies for sustainable development, provide access to justice for all..., 17- Strengthen the means of implementation and Revitalize the Global Partnership for Sustainable Development." [8]

### **Appraisal and Prospect of Achieving UN Sustainable Development Goals**

The sustainable development goals adopted by UN are highly optimistic, if some of them are utopias, to be achieved in 2030. Without overcoming many constraints and obstacles, these goals will stay just as slogans. The main constraints and obstacles are:

#### **1- Economic and Financial Constraints**

##### **Providing Basic Human Needs**

"Ending poverty, End hunger, Ensure health lives, Ensure inclusive and equitable quality education, and Ensure availability and sustainable management of water and sanitation". These goals are essential human need and human rights. Besides, without providing these services as a basic needs, economic growth is not possible in a societies facing hunger, illiteracy is high, unacceptable health services, shortage of potable water, high unemployment and poverty.

Within the constraint of unavailability of financial resources in most developing and underdeveloped countries, achieving these goals are not possible without international financial help.

Food and other basic services have to be highly subsidized, at least in the transitional stage, until economic growth takes place.

International Monetary Fund and other international financial institutions have to modify its criteria of financing. Eliminate all kinds of subsidies for goods and services as conditions for providing loans to developing countries should be, postponed.

Countries with limited financial resources cannot make these good and service available in subsidized prices for poor people without international financial support.

Iraqi subsidized Food Ration implemented during thirteen years of sanction, saved Iraqi's from famine. This system provides food basket in nominal prices and still running until now. Similar system is running in India covering 800 million people [9]. This kind of program is required for poor people.

### **Economic Growth and Raising Standard of Living**

"Promote sustained, inclusive and sustainable economic growth, full and productive employment and decent work for all, Ensure access to affordable reliable, sustainable and modern energy for all, Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation. Make cities Ensure sustainable consumption and production pattern. Make cities and human settlements inclusive, safe, resilient and sustainable." These goals cannot be achieved in developing and underdeveloped countries, without international financial loans in acceptable terms. Enhancing foreign investment including helping Governments to create healthy environment for foreign investment.

## **2- Political Constraints**

### **Ending Imposing All Forms of Sanctions by United Nations**

Since the formation of United Nations, Security Council imposed several comprehensive and partial sanctions on many countries to achieve certain political objectives set in each resolution. Comprehensive Sanction imposed on South Rhodesia, Iraq, Haiti and former Yugoslavia. The harshest sanction was imposed on Iraq for thirteen years. The object of 661 (1990) Sanction Resolution was to force Iraq to withdraw from Kuwait. This resolution prevented Iraq from exporting and importing any commodity including food and medicine. Once Iraq withdrawn from Kuwait, Security Council adopted another resolution (687-1991) to dismantle Iraqi Mass Distortion Weapons (MDW). Sanction continued until US and Britain invaded Iraq in 2003. No MDW were found after the invasion. [10]

Thirteen years of the most pervasive sanction in the history of mankind turn rich country to the poorest as stated by American Professor Joy Gordon in her book published in 2010 named "Invisible War". She stated: "What I want to explore now is the question of how a human catastrophe of this magnitude came about: what policies and practices were that caused hundreds of thousands of deaths; decimated the health of several million children; destroyed a whole economy; made a shambles of

nation's education and health care system; reduced the sophisticated country, in which much of the population lived as a middle class in the First World country; to the status of Fourth World countries- the poorest of the poor, such as Rwanda, Somalia and Haiti; and in a society notable for its scientists, engineers, and doctors, established an economy dominated by beggars, criminals, and black makers... and by undermining the infrastructure-electricity production, telecommunications, transport, and water and sewage treatment- in an advanced industrialized society that was highly dependent on modern infrastructure." [11]

The only victims of sanctions are people calling for ending imposing comprehensive sanction [12]

Therefore, sanctions are working against the sustainable development goals mentioned above.

If there is an urgent need to impose sanction by Security Council, It should not exceed military weapons and MDW. Any restrictions on importing civilian commodities, civilian projects and exporting commodities should be avoided.

### **Declining the Role of UN in Maintaining Regional and International Peace and Security**

The failure of UN to prevent invading Iraq in 2003 destabilized the whole region. The consequent interventions in Syria, Yaman and Libya undermined the potential of these countries to keep pace with their previous policies and practices in socio-economic development. Despite lifting sanction in 2003, Iraq still suffering from destabilization. Terrorism absorbed the potential of development and large scale of displaced people still main problem in Iraq. Syria was considered the only Arab country which had self sufficiency in food production is now importing food. More than half of Syrian population are refugees in Jordan, Lebanon, Turkey, Germany, Austria and other countries. Jordan, a country of limited resources hosted more than 1.5 million Syrian refugees. One third of Jordan population are refugees without sufficient international support [13]. Jordan is facing economic difficulties due to consequences of instability in the region as a result of invading Iraq. These

are just a few examples, as a part of the whole world, which hinder any effort to change the world to a situation desired in the UN 2030 Agenda for Sustainable Development.

Consequently, huge amounts of financial and human resources are required not to attain the UN Agenda of Sustainable Development for 2030, but at least to go back to the situation before 2003 in Iraq, Syria, Yemen and Libya.

The current international political situation is not in the direction of stability, in contrast it is going toward more escalation basically with Iran and North Korea.

Unless the UN is able to play its role in preserving international and regional peace and security and to prevent bilateral interventions, sustainable development goals cannot be achieved as planned by the UN. However, the UN should give priority to stable countries.

### **Political Well of Governments**

It is very important that the governments of developing and underdeveloped countries have to believe in and support the implementation of the Agenda of Sustainable Development when international financial and economic support becomes available for their countries. Due to high corruption behavior of a large number of these countries, and to ensure that any financial and economic support goes directly to the beneficiaries, that support should not be given on a cash basis, but should be provided in terms of goods and building projects.

### **2- Time Constraints**

Assuming that economic and financial resources are available, and the designated countries remain stable, it is impossible that the goals of sustainable development can be achieved, partially or completely, during the coming thirteen years from now. So, extending the time for achieving these goals from 2030 to another year, probably to the mid of this century is required.

### **Conclusion**

Large scale of international financial support is required to attain sustainable development goals adopted in 2015 by the Assembly of United Nations. Instability in many parts of the world, basically in the Middle East, threatening these goals. Invading Iraq in 2003 was the main factor that led to destabilize the region. Without international financial support and without a strong role of the UN to preserve international peace and security, sustainable development goals cannot be achieved. Time span fixed for achieving these goals is limited and should be adjusted, probably, to the mid of this century.

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## A Quest on a New Type of Fuzzy Multifunctions

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### Abstract

In this study, we introduce new categories of fuzzy multifunctions named fuzzy semi strong na-continuous multifunction and fuzzy strongly continuous multifunction in fuzzy topological spaces. We study the characterization and the properties of fuzzy semi strong na-continuous function related to restriction function, graph function, composite function and product spaces. Additionally, the connection to other classes of functions that are defined on fuzzy topological spaces is analyzed. Moreover its features are obtained on some fuzzy spaces.

**Keywords:** fuzzy topology, fuzzy regular-open sets, fuzzy semi-open sets, fuzzy  $\delta$ -open sets, fuzzy semi strong na-continuous multifunction, fuzzy semi compact space, fuzzy nearly compact space, fuzzy s-Normal space, fuzzy  $\delta$ - $T_2$  space.

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### Introduction

In [33], Zadeh defined the concept of a fuzzy set in his classical paper. Chang [10] introduced fuzzy topological spaces by using fuzzy sets in 1968. Subsequently several authors have applied various basic concepts from general topology to fuzzy sets and developed a theory of fuzzy topological spaces. K. K. Azad [3] introduced the concept of fuzzy regular open sets and fuzzy regular closed sets in fuzzy topological spaces. Bin Shahna [5] defined fuzzy  $\alpha$ -open sets and studied properties of this set. Z. Petricevic [19] introduced the concept of fuzzy  $\delta$ -open sets and fuzzy  $\delta$ -closed sets in fuzzy topological spaces. A. Mukharjee [16] studied the concept of fuzzy totally continuous and fuzzy totally semi-continuous functions. A multifunction is a set-valued function. The notion of multifunctions was first systematized by Berge [4]. Multifunction or multi-valued mapping have many applications in mathematical programming, probability, statistics, different inclusions, fixed-point theorems and even in economics and continuous multifunction have been generalized in many ways. There are several weak and strong variants of continuity of fuzzy multifunctions in the literature, for example see [2, 11, 17, 18, 23]. On the other hand, in 1989, J. Cao et al. [7] introduced fuzzy  $\alpha$ -irresolte continuous multifunctions.

A function  $f:(X,\tau)\rightarrow(Y,\nu)$  is defined to be strongly na-continuous [15] if for each point  $x\in X$  and each semi-open set  $V$  in  $Y$  containing  $f(x)$ , there exists a  $\delta$ -open set  $U$  in  $X$  containing  $x$  such that  $f(U)\subseteq V$ . The aim of this paper is to extend the strongly na-continuous functions defined by R.A. Mahmoud et. al. [14] to the fuzzy multifunctions, and to discuss the consequences. This also shows us that the property of fuzzy semi strong na-continuity for fuzzy multifunctions is stronger than both fuzzy na-continuity and fuzzy super continuity [11] for fuzzy multifunctions, but weaker than fuzzy strong continuity for fuzzy multifunctions.

### Preliminaries

Fuzzy sets on a universe  $X$  will be denoted by  $\mu, \rho, \eta$ , etc. Fuzzy points will be denoted by  $x_\varepsilon, y_\nu$ , etc. For any fuzzy points  $x_\varepsilon$  and any fuzzy set  $\mu$ , we write  $x_\varepsilon \in \mu$  iff  $\varepsilon \leq \mu(x)$ . A fuzzy point  $x_\varepsilon$  is called quasi-coincident with a fuzzy set  $\rho$ , denoted by  $x_\varepsilon q \rho$ , iff  $\varepsilon + \rho(x) > 1$ .

A fuzzy set  $\mu$  is called quasi-coincident with a fuzzy set  $\rho$ , denoted by  $\mu q \rho$ , iff there exists a  $x \in X$  such that  $\mu(x) + \rho(x) > 1$ . [20,21]. A fuzzy set  $\mu$  in a fuzzy topological space  $(X,\tau)$  is called a Q-neighbourhood of  $\mu_x^\lambda$  if and only if there exists  $\rho \in \tau$  such that  $\mu_x^\lambda q \rho \leq A$  [6]. The family of all Q-neighbourhoods of  $\mu_x^\lambda$  is called the system of Q-neighbourhoods of  $\mu_x^\lambda$ .

In this paper we use the concept of fuzzy topological space as introduced in [10]. By  $\text{int}(\mu)$  and  $\text{cl}(\mu)$  we mean the interior of  $\mu$  and the closure of  $\mu$ , respectively.

Let  $(X, \tau)$  be a topological space in the classical sense and  $(Y, \nu)$  be a fuzzy topological space.  $F : X \rightarrow Y$  is called a fuzzy multifunction iff for each  $x \in X$ ,  $F(x)$  is a fuzzy set in  $Y$  [18].

Let  $F : X \rightarrow Y$  be a fuzzy multifunction from a fuzzy topological space  $X$  to a fuzzy topological space  $Y$ . For any fuzzy set  $\mu \leq X$ ,  $F^+(\mu)$  and  $F^-(\mu)$  are defined by  $F^+(\mu) = \{x \in X : F(x) \leq \mu\}$ ,  $F^-(\mu) = \{x \in X : F(x) q \mu\}$  [15].

### Fundamental Features of Fuzzy Semi Strongly Na-Continuous Multifunctions

**Definition 1.** Let  $(X, \tau)$  be a fuzzy topological space and let  $\mu \leq X$  be a fuzzy set. Then it is said that:

- $\mu$  is fuzzy regular-open set [3] if  $\mu = \text{int cl } \mu$ ,
- $\mu$  is fuzzy regular-closed set [3] if  $\mu = \text{cl int } \mu$ ,
- (iii)  $\mu$  is fuzzy semi-open set [3] if  $\mu \leq \text{cl int } \mu$ ,
- (iv)  $\mu$  is fuzzy semi-closed set [3] if  $\mu \geq \text{int cl } \mu$ ,
- (v)  $\mu$  is fuzzy pre-open set [27] if  $\mu \leq \text{cl int } \mu$ ,
- (vi)  $\mu$  is fuzzy pre-closed set [27] if  $\mu \geq \text{int cl } \mu$ .

**Definition 2 ([19]).** A fuzzy set  $\mu$  in a fuzzy topological space  $(X, \tau)$  is called a fuzzy  $\delta$ -open set if  $\mu = \bigvee_i (\mu_i)$ , where  $(\mu_i)$  is a fuzzy regular open set for each  $i$ .

A fuzzy set  $\mu$  in a fuzzy topological space  $(X, \tau)$  is a fuzzy  $\delta$ -closed set if  $1 - \mu$  is a fuzzy  $\delta$ -open set in  $(X, \tau)$ .

The family of all fuzzy regular open (resp. fuzzy  $\delta$ -open, fuzzy semi-open, fuzzy pre-open) sets of a fuzzy topological space  $(X, \tau)$  is denoted by  $\text{FRO}(X)$  (resp.  $\text{F}\delta\text{O}(X)$ ,  $\text{FSO}(X)$ ,  $\text{FPO}(X)$ ). The family of fuzzy regular-open sets of  $(X, \tau)$  containing  $x_p$  is denoted by  $\text{FRO}(X, x_p)$ . The complement of a fuzzy regular-open (resp. fuzzy  $\delta$ -open, fuzzy semi-open, fuzzy pre-open) set is said to be fuzzy *regular closed* (resp. *fuzzy  $\delta$ -closed*, *fuzzy semi-closed*, *fuzzy pre-closed*). The intersection of all fuzzy semi-closed (resp. fuzzy  $\delta$ -closed) sets containing a fuzzy subset of  $X$  is called the *fuzzy semi-closure* [33] (resp. *fuzzy  $\delta$ -closure* [19]) of  $A$  and is denoted by  $\text{sCl}(A)$  (resp.  $\text{Cl}_\delta(A)$ ).

**Definition 3.** Let  $F : X \rightarrow Y$  be a fuzzy multifunction from a fuzzy topological space  $(X, \tau)$  to a fuzzy topological space  $(Y, \nu)$ . Then it is said that  $F$  is :

- (i) Fuzzy upper semi strong na-continuous (briefly fu.s.st.na c.) at a point  $x_\varepsilon \in X$  iff for each fuzzy semi-open set  $\mu$  of  $Y$  containing  $F(x_\varepsilon)$ , there exists a fuzzy regular-open set  $\rho$  containing  $x_\varepsilon$  such that  $\rho \leq F^+(\mu)$ .
- (ii) Fuzzy lower semi strong na-continuous (briefly fl.s.st.na c.) at a point  $x_\varepsilon \in X$  iff for each fuzzy semi-open set  $\mu$  of  $Y$  such that  $x_\varepsilon \in F^-(\mu)$ , there exists a fuzzy regular-open set  $\rho$  containing  $x_\varepsilon$  such that  $\rho \leq F^-(\mu)$ .
- (iii) fu.s.st.na c. (fl.s.st.na c.) iff it has this property at each point of  $X$ .
- (iv) Fuzzy semi strong na-continuous if it is both fu.s.st.na c. and fl.s.st.na c.

**Definition 4 ([6]).** Let  $(X, \tau)$  be a fuzzy topological space and let  $\{p_\lambda, \lambda \in \Lambda\}$  be a net of fuzzy points in  $X$ . We say that the fuzzy net  $\{p_\lambda, \lambda \in \Lambda\}$  fuzzy  $\delta$ -converges to a fuzzy point  $p$  of  $X$  if for every fuzzy  $\delta$ -open  $Q$ -neighborhood  $U$  of  $p$  in  $X$  there exists  $\lambda_0 \in \Lambda$  such that  $p_\lambda q U$ , for every  $\lambda \in \Lambda$  and  $\lambda \geq \lambda_0$ .

**Theorem 1.** Let  $F : X \rightarrow Y$  be a fuzzy multifunction from a fuzzy topological  $(X, \tau)$  to a fuzzy topological space  $(Y, \nu)$ . Then the following statements are equivalent:

- (1)  $F$  is fu.s.st.na c.
- (2) For each  $x_\varepsilon \in X$  and each fuzzy semi-open set  $\mu$  of  $Y$  such that  $x_\varepsilon \in F^+(\mu)$ , there exists

a fuzzy regular-open set  $\rho$  containing such that  $x_\varepsilon$  such that  $\rho \leq F^+(\mu)$ .

(3) For each  $x_\varepsilon \in X$  and each fuzzy semi-open set  $\mu$  of  $Y$  such that  $x_\varepsilon \in F^+(\mu)$ , there exists

a fuzzy  $\delta$ -open set  $\rho$  containing such that  $x_\varepsilon$  such that  $\rho \leq F^+(\mu)$ .

(4)  $F^+(\mu)$  is a fuzzy  $\delta$ -open set for any fuzzy semi-open set  $\mu \leq Y$ .

(5)  $F^-(\mu)$  is a fuzzy  $\delta$ -closed set for any fuzzy semi-closed set  $\mu \leq Y$ .

(6) For each  $x_\varepsilon \in X$  and for each net  $(x_{\varepsilon_\alpha}^\alpha)$  which  $\delta$ -converges to  $x_\varepsilon$  in  $X$  and for each fuzzy semi-open set  $\mu \leq Y$  such that  $x_\varepsilon \in F^+(\mu)$ , the net  $(x_{\varepsilon_\alpha}^\alpha)$  is eventually in  $F^+(\mu)$ .

**Proof.** (1) $\Leftrightarrow$ (2). This statement is obvious.

(1) $\Leftrightarrow$ (3). Let  $x_\varepsilon \in F^+(\mu)$  and let  $\mu$  be a fuzzy semi-open set. It follows from (1) that there exists a fuzzy regular open  $p_{x_\varepsilon}$  containing  $x_\varepsilon$  such that  $p_{x_\varepsilon} \leq F^+(\mu)$ . Since fuzzy  $\delta$ -open sets are a union of fuzzy regular open sets [28], it follows that  $F^+(\mu) = \bigvee_{x_\varepsilon \in F^+(\mu)} p_{x_\varepsilon}$  and hence  $F^+(\mu)$  is fuzzy  $\delta$ -open.

The converse can be shown easily.

(4)  $\Leftrightarrow$  (5). Let  $\mu \leq Y$  be a fuzzy semi-closed set. We have that  $Y \setminus \mu$  is a fuzzy semi-open set. From (iii),  $F^+(Y \setminus \mu) = X \setminus F^-(\mu)$  is a fuzzy  $\delta$ -open set. Then it is obtained that  $F^-(\mu)$  is a fuzzy  $\delta$ -closed set.

(3) $\Rightarrow$ (6). Let  $(x_{\varepsilon_\alpha}^\alpha)$  be a net which  $\delta$ -converges to  $x_\varepsilon$  in  $X$  and let  $\mu \leq Y$  be any fuzzy semi-open set such that  $x_\varepsilon \in F^+(\mu)$ . Since  $F$  is a fuzzy upper semi strong na-continuous multifunction, it follows that there exists a fuzzy  $\delta$ -open set  $\rho \leq X$  containing  $x_\varepsilon$  such that  $\rho \leq F^+(\mu)$ . Since  $(x_{\varepsilon_\alpha}^\alpha)$   $\delta$ -converges to  $x_\varepsilon$ , it follows that there exists an index  $\alpha_0 \in J$  such that  $(x_{\varepsilon_\alpha}^\alpha) \in \rho$  for all  $\alpha \geq \alpha_0$  from here, we obtain that  $x_{\varepsilon_\alpha}^\alpha \in \rho \leq F^+(\mu)$  for all  $\alpha \geq \alpha_0$ . Thus the net  $(x_{\varepsilon_\alpha}^\alpha)$  is eventually in  $F^+(\mu)$ .

(6) $\Rightarrow$ (3). Suppose that is not true. There exists a point  $x_\varepsilon$  and a fuzzy semi-open set  $\mu$  with  $x_\varepsilon \in F^+(\mu)$  such that  $\rho \leq F^+(\mu)$  for each fuzzy  $\delta$ -open set  $\rho \leq X$  containing  $x_\varepsilon$ . Let  $x_{\varepsilon_p} \in \rho$  and  $x_{\varepsilon_p} \notin F^+(\mu)$  for each fuzzy  $\delta$ -open set  $\rho \leq X$  containing  $x_\varepsilon$ . Then for the  $\delta$ -neighborhood net  $(x_{\varepsilon_p})$ , net  $x_{\varepsilon_p}$  fuzzy  $\delta$ -converges to  $x_\varepsilon$ , but  $(x_{\varepsilon_p})$  is not eventually in  $F^+(\mu)$ . This is a contradiction. Thus,  $F$  is a fuzzy upper semi strong na-continuous multifunction.

**Theorem 2.** The followings are equivalent for a function  $f: X \rightarrow Y$ ,

$F$  is fuzzy upper semi strong na-continuous,

$F(\text{Cl}_\delta(\mu)) \leq \text{sCl}(F(\mu))$  for every fuzzy set  $A$  in  $X$ ,

$\text{Cl}_\delta(F^-(\eta)) \leq F^-(\text{sCl}(\eta))$  for every fuzzy set  $\eta$  in  $Y$ .

**Proof.** (1) $\Rightarrow$ (2). Let  $\mu$  be a fuzzy subset of  $X$ . Then,  $F(\mu) \leq Y$  and  $\text{sCl}(F(\mu)) \in \text{FSC}(Y)$ . From Theorem 1,  $F^-(\text{sCl}(F(\mu)))$  is fuzzy  $\delta$ -closed in  $X$ . Since  $F(\mu) \leq \text{sCl}(F(\mu))$ ,  $F^-(F(\mu)) \leq F^-(\text{sCl}(F(\mu)))$ . For the fact that  $\mu \leq F^-(F(\mu))$  and  $\text{Cl}_\delta(\mu) \leq F^-(\text{sCl}(F(\mu)))$ . Therefore,  $F(\text{Cl}_\delta(\mu)) \leq \text{sCl}(F(\mu))$ .

(2) $\Rightarrow$ (3). Let  $\eta$  a fuzzy subset of  $Y$ . From our assumption,  $F(\text{Cl}_\delta(F^-(\eta))) \leq \text{sCl}(F(F^-(\eta)))$ . So,  $F(\text{Cl}_\delta(F^-(\eta))) \leq \text{sCl}(\eta)$ . Therefore,  $\text{Cl}_\delta(F^-(\eta)) \leq F^-(\text{sCl}(\eta))$ .

(3) $\Rightarrow$ (1). Let  $x_p$  a fuzzy point in  $X$  and  $\mu \in \text{FSO}(Y, f(x_p))$ . Then,  $\mu^c \in \text{FSC}(Y)$  and  $f(x_p) \notin \mu^c$ . From our assumption,  $\text{Cl}_\delta(F^-(\mu^c)) \leq F^-(\text{sCl}(\mu^c))$ . So,  $\text{Cl}_\delta(F^-(\mu^c)) \leq F^-(\mu^c)$ . This implies  $\text{Cl}_\delta(F^-(\mu^c)) = F^-(\mu^c)$  and  $F^-(\mu^c)$  is fuzzy  $\delta$ -closed. Then,  $F^-(\mu)$  is  $\delta$ -open and  $x_p \in F^-(\mu)$ . There exists a fuzzy regular open set that contains  $x_p$  and is a fuzzy subset of  $F^-(\mu)$ . From Definition 3.,  $f$  is f.u.s.st.na c.

**Theorem 3.** Let  $F: X \rightarrow Y$  be a fuzzy multifunction from a fuzzy topological  $(X, \tau)$  to a fuzzy topological space  $(Y, \nu)$ . Then the following statements are equivalent:

(1)  $F$  is fl.s.st.na c.

- (2) For each  $x_\varepsilon \in X$  and each fuzzy semi-open set  $\mu$  of  $Y$  such that  $x_\varepsilon \in F^-(\mu)$ , there exists a fuzzy regular open set  $\rho$  containing such that  $x_\varepsilon$  such that  $\rho \leq F^-(\mu)$ .
- (3) For each  $x_\varepsilon \in X$  and each fuzzy semi-open set  $\mu$  of  $Y$  such that  $x_\varepsilon \in F^-(\mu)$ , there exists a fuzzy  $\delta$ -open set  $\rho$  containing such that  $x_\varepsilon$  such that  $\rho \leq F^-(\mu)$ .
- (4)  $F^-(\mu)$  is a fuzzy  $\delta$ -open set for any fuzzy semi-open set  $\mu \leq Y$ .
- (5)  $F^+(\mu)$  is a fuzzy  $\delta$ -closed set for any fuzzy semi-closed set  $\mu \leq Y$ .
- (6) For each  $x_\varepsilon \in X$  and for each net  $(x_{\varepsilon_\alpha}^\alpha)$  which  $\delta$ -converges to  $x_\varepsilon$  in  $X$  and for each fuzzy semi-open set  $\mu \leq Y$  such that  $x_\varepsilon \in F^-(\mu)$ , the net  $(x_{\varepsilon_\alpha}^\alpha)$  is eventually in  $F^-(\mu)$ .

**Proof.** It can be obtained similarly as Theorem 1.

**Theorem 4.** The followings are equivalent for a function  $f: X \rightarrow Y$ ,

$F$  is fuzzy lower semi strong na-continuous,

$Cl_\delta(\mu) \leq sCl(F(\mu))$  for every fuzzy set  $\mu$  in  $X$ ,

$Cl_\delta(F^+(\eta)) \leq F^+(sCl(\eta))$  for every fuzzy set  $\eta$  in  $Y$ .

**Proof.** It can be obtained similarly as Theorem 2.

**Lemma 1.** Let  $A$  be a fuzzy open set of a fuzzy topological space  $(X, \tau)$  and  $B$  a fuzzy subset of  $(A, \tau_A)$ . 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,  $\tau_A$ - $\text{Int}(\tau_A$ - $Cl(B)) = \tau_A$ - $\text{Int}[A \wedge Cl(B)] = \text{Int}[A \wedge Cl(B)] = A \wedge \text{Int}(Cl(B))$ .

**Theorem 5.** Let  $A$  be a fuzzy-open set in a fuzzy topological space  $(X, \tau)$ . If  $U$  is fuzzy regular-open in  $X$ , then  $U \wedge A$  is fuzzy regular-open in the subspace  $(A, \tau_A)$ .

**Proof.** Since  $U$  is fuzzy regular-open in  $X$ ,  $\text{Int}(Cl(A \wedge U)) \leq U$  and hence  $A \wedge \text{Int}(Cl(A \wedge U)) \leq A \wedge U$ . On the other hand, since  $A \wedge U$  is fuzzy-open [22] in  $X$ ,  $\text{Int}(Cl(A \wedge U)) \geq A \wedge U$  and hence  $A \wedge \text{Int}(Cl(A \wedge U)) \geq A \wedge U$ . Therefore, we have  $A \wedge \text{Int}(Cl(A \wedge U)) = A \wedge U$ . By Lemma 1, we obtain  $\tau_A$ - $\text{Int}(Cl(A \wedge U)) = A \wedge \text{Int}(Cl(A \wedge U)) = A \wedge U$ . This shows that  $U \wedge A$  is fuzzy regular-open in the subspace  $(A, \tau_A)$ .

**Theorem 6.** Let  $F: X \rightarrow Y$  be a fuzzy multifunction from a fuzzy topological  $(X, \tau)$  to a fuzzy topological space  $(Y, \nu)$ . If  $F$  is a fuzzy lower (upper) semi strong na-continuous multifunction and  $\mu \leq X$  is a fuzzy open set, then the restriction multifunction  $F|_\mu: \mu \rightarrow Y$  is a fuzzy lower (upper) semi strong na-continuous multifunction.

**Proof.** Suppose that  $\beta \leq Y$  is a fuzzy semi-open set. Let  $x_\varepsilon \in \mu$  and let  $x_\varepsilon \in F^-(\mu(\beta))$ . Since  $F$  is a fuzzy lower semi strong na-continuous multifunction, it follows that there exists a fuzzy regular-open set  $\rho \leq F^-(\beta)$ . By Theorem 5, we obtain that  $x_\varepsilon \in \rho \wedge \mu$  and  $\rho \wedge \mu \leq F|_\mu(\beta)$ . Thus, we show that there restriction multifunction  $F|_\mu$  is a fuzzy lower semi strong na-continuous multifunction.

The proof for the case of the fuzzy upper semi strong na-continuity of the multifunction  $F|_\mu$  is similar to the above.

**Definition 5 ([24]).** A multifunction  $F: (X, \tau) \rightarrow (Y, \vartheta)$  is said to be,

(i) Fuzzy upper semi-irresolute if  $F: (X, \tau_\alpha) \rightarrow (Y, \vartheta_\alpha)$  is upper continuous,

(ii) Fuzzy lower semi-irresolute if  $F: (X, \tau_\alpha) \rightarrow (Y, \vartheta_\alpha)$  is lower continuous,

(iii) Fuzzy semi-irresolute if it is both fuzzy upper semi-irresolute and fuzzy lower semi-irresolute.

**Theorem 7.** Let  $(X, \tau)$ ,  $(Y, \vartheta)$  and  $(Z, \sigma)$  be fuzzy topological space and let  $F : (X, \tau) \rightarrow (Y, \vartheta)$  and  $G : (Y, \vartheta) \rightarrow (Z, \sigma)$  be fuzzy multifunction. If  $F : (X, \tau) \rightarrow (Y, \vartheta)$  is a fuzzy upper semi strong na-continuous (fl.s.st.na.c.) multifunction and  $G : (Y, \vartheta) \rightarrow (Z, \sigma)$  is a fuzzy upper (lower)  $\alpha$ -irresolute multifunction. Then  $GoF : (X, \tau) \rightarrow (Z, \sigma)$  is a fuzzy upper semi strong na-continuous (fl.s.st.na.c.) multifunction.

**Proof.** Let  $\lambda \leq Z$  be any fuzzy semi-open set. From the definition of  $GoF$ , we have  $(GoF)^+(\lambda) = F^+(G^+(\lambda))$  and  $(GoF)^-(\lambda) = F^-(G^-(\lambda))$ , since  $G$  is a fuzzy upper(lower) semi-irresolute, it follows that  $G^+(\lambda)(G^-(\lambda))$  is a fuzzy semi-open set. Since  $F$  is a fuzzy upper (lower) semi strong na-continuous, it follows that  $F^+(G^+(\lambda))(F^-(G^-(\lambda)))$  is a fuzzy  $\delta$ -open set, this shows that  $GoF$  is a fuzzy upper(lower) semi strong na-continuous.

**Theorem 8.** If  $F : (X, \tau) \rightarrow (Y, \vartheta)$  is a fu.s.st.na.c. (fl.s.st.na.c.) multifunction and  $G : (Y, \vartheta) \rightarrow (Z, \sigma)$  is a fu.s.st.na.c. (fl.s.st.na.c.) multifunction, then  $GoF$  is a fu.s.st.na.c. (fl.s.st.na.c.) multifunction.

**Proof.** From [25], the proof is obtained.

**Theorem 9.** Let  $F : X \rightarrow Y$  be a fuzzy multifunction from a fuzzy topological  $(X, \tau)$  to a fuzzy topological space  $(Y, \nu)$  and let  $F(X)$  be endowed with subspace fuzzy topology. If  $F$  is a fuzzy upper semi strong na-continuous multifunction, then  $F : X \rightarrow F(X)$  is a fuzzy upper semi strong na-continuous multifunction.

**Proof.** Since  $F$  is a fuzzy upper semi strong na-continuous and [27],  $F(X \wedge F(X)) = F^+(\mu) \wedge F^+(F(X)) = F^+(\mu)$  is fuzzy regular-open for each fuzzy semi-open subset  $\mu$  of  $Y$ . Hence  $F : X \rightarrow F(X)$  is a fuzzy upper na-continuous multifunction.

**Definition 6 ([1]).** Suppose that  $F : X \rightarrow Y$  is a fuzzy multifunction from a fuzzy topological space  $X$  to a fuzzy topological space  $Y$ . The fuzzy graph multifunction  $G_F : X \rightarrow X \times Y$  of  $F$  is defined as  $G_F(x_e) = \{x_e\} \times F(x_e)$ .

**Theorem ([3]).** If  $X$  and  $Y$  are fuzzy spaces such that  $X$  is product related to  $Y$ . Then, the product  $\lambda \times \mu$  of a fuzzy semi-open set  $\lambda$  of  $X$  and a fuzzy semi-open set  $\mu$  of  $Y$  is a fuzzy semi-open set of the fuzzy product space  $X \times Y$ .

**Theorem 10.** Let  $F : X \rightarrow Y$  be a fuzzy multifunction from a fuzzy topological  $(X, \tau)$  to a fuzzy topological space  $(Y, \nu)$ . If the graph function of  $F$  is fuzzy lower(upper) semi strong na-continuous multifunction, then  $F$  is fuzzy lower(upper) semi strong na-continuous multifunction.

**Proof.** For the fuzzy sets  $\beta \leq X$ ,  $\eta \leq Y$ , we take

$$(\beta \times \eta)(z, y) = \begin{cases} 0 & \text{if } z \notin \beta \\ \eta(y) & \text{if } z \in \beta \end{cases}$$

Let  $x_e \in X$  and let  $\mu \in Y$  be a fuzzy semi-open set such that  $x_e \in F^-(\mu)$ . We obtain that  $x_e \in G_F^-(X \times \mu)$  and  $X \times \mu$  is a fuzzy semi-open set [3]. Since fuzzy graph multifunction  $G_F$  is fuzzy lower semi strong na-continuous, it follows that there exists a fuzzy regular-open set  $\rho \leq X$  containing  $x_e$  such that  $\rho \leq G_F^-(X \times \mu)$ . From here, we obtain that  $\rho \leq F^-(\mu)$ . Thus,  $F$  is fuzzy lower semi strong na-continuous multifunction.

The proof of the fuzzy upper semi strong na-continuity of  $F$  is similar to the above.

**Theorem 11.** Suppose that  $(X, \tau)$  and  $(X_\alpha, \tau_\alpha)$  are fuzzy topological space where  $\alpha \in J$ . Let  $F : X \rightarrow \prod_{\alpha \in J} X_\alpha$  be a fuzzy multifunction from  $X$  to the product space  $\prod_{\alpha \in J} X_\alpha$  and let  $P_\alpha : \prod_{\alpha \in J} X_\alpha \rightarrow X_\alpha$  be the projection multifunction for each  $\alpha \in J$  which is defined by  $P_\alpha((x_\alpha)) = \{x_\alpha\}$ . If  $F$  is a fuzzy upper (lower) semi strong na-continuous multifunction, then  $P_\alpha \circ F$  is a fuzzy upper (lower) semi strong na-continuous multifunction for each  $\alpha \in J$ .

**Proof.** Take any  $\alpha_0 \in J$ . Let  $\mu_{\alpha_0}$  be a fuzzy semi-open set in  $(X_{\alpha_0}, \tau_{\alpha_0})$ . Then  $(P_{\alpha_0} \circ F)^+(\mu_{\alpha_0}) = F^+(P_{\alpha_0}^+(\mu_{\alpha_0})) = F^+(\mu_{\alpha_0} \times \prod_{\alpha \neq \alpha_0} X_\alpha)$  (resp.  $(P_{\alpha_0} \circ F)^-(\mu_{\alpha_0}) = F^-(P_{\alpha_0}^-(\mu_{\alpha_0})) = F^-(\mu_{\alpha_0} \times \prod_{\alpha \neq \alpha_0} X_\alpha)$ ). Since  $F$  is fuzzy upper (lower) semi strong na-continuous multifunction and since  $\mu_{\alpha_0} \times \prod_{\alpha \neq \alpha_0} X_\alpha$  is a fuzzy semi-open set [3], it follows that  $F^+(\mu_{\alpha_0} \times \prod_{\alpha \neq \alpha_0} X_\alpha)$  (resp.  $F^-(\mu_{\alpha_0} \times \prod_{\alpha \neq \alpha_0} X_\alpha)$ ) is fuzzy regular-open in  $(X, \tau)$ . It shows that  $P_{\alpha_0} \circ F$  is fuzzy upper (lower) semi strong na-continuous multifunction. Hence, we obtain that  $P_{\alpha_0} \circ F$  is a fuzzy upper (lower) semi strong na-continuous multifunction for each  $\alpha \in J$ .

**Theorem 12.** Suppose that  $(X_1, \tau_1)$ ,  $(X_2, \tau_2)$ ,  $(Y_1, \nu_1)$  and  $(Y_2, \nu_2)$  are fuzzy topological spaces and  $F_1 : X_1 \rightarrow Y_1$ ,  $F_2 : X_2 \rightarrow Y_2$  are fuzzy multifunctions and suppose that if  $\eta \times \beta$  is fuzzy semi-open set then  $\eta$  and  $\beta$  are fuzzy semi-open sets

for any fuzzy sets  $\eta \leq Y_1$ ,  $\beta \leq Y_2$ . Let  $F_1 \times F_2 : X_1 \times X_2 \rightarrow Y_1 \times Y_2$  be a fuzzy multifunction which is defined by  $(F_1 \times F_2)(x_\varepsilon, y_\nu) = F_1(x_\varepsilon) \times F_2(y_\nu)$ . If  $F_1$  and  $F_2$  are fuzzy upper (lower) semi strong na-continuous multifunctions, then  $F_1 \times F_2$  is a fuzzy upper (lower) semi strong na-continuous multifunction.

**Proof.** We know that  $(\mu^* \times \beta^*)(x_\varepsilon, y_\nu) = \min\{\mu^*(x_\varepsilon), \beta^*(y_\nu)\}$  for any fuzzy sets  $\mu^*$ ,  $\beta^*$  and for any fuzzy point  $x_\varepsilon, y_\nu$ .

Let  $\mu \leq Y_1$  and  $\beta \leq Y_2$  be a fuzzy semi-open sets. Since  $F_1$  and  $F_2$  is a fuzzy upper semi strong na-continuous multifunctions,  $F_1^+(\mu)$  and  $F_2^+(\beta)$  are fuzzy  $\delta$ -open sets. By [31],  $F_1^+(\mu) \times F_2^+(\beta)$  is a fuzzy  $\delta$ -open set. It is known that  $(F_1 \times F_2)^+(\mu \times \beta) = F_1^+(\mu) \times F_2^+(\beta)$ . Hence, it is obtain that  $F_1 \times F_2$  is a fuzzy upper (lower) semi strong na-continuous multifunction.

### Comparisons

**Definition 7 ([16]).** Let  $\mu$  be a fuzzy set in a fuzzy topological space  $(X, \tau)$ . Then,  $\mu$  is fuzzy fuzzy clopen set if  $\mu = \text{int } \mu = \text{cl } \mu$ .

**Definition 8.** A multifunction  $F : (X, \tau) \rightarrow (Y, \theta)$  is said to be:

- (i) fuzzy upper strongly continuous (briefly fu.st.c.) if  $F^+(\mu)$  is clopen in  $X$  for each fuzzy subset  $\mu$  of  $Y$ ,
- (ii) fuzzy lower strongly continuous (briefly fl.st.c.) if  $F^-(\mu)$  is clopen in  $X$  for each fuzzy subset  $\mu$  of  $Y$ ,
- (iii) fuzzy strongly continuous if it is both upper strongly continuous and lower strongly continuous.

**Definition 9.** Let  $F : X \rightarrow Y$  be a fuzzy multifunction from a fuzzy topological space  $(X, \tau)$  to a fuzzy topological space  $(Y, \nu)$ . Then it is said that  $F$  is :

- (i) Fuzzy upper na-continuous (briefly fu.na.c.) at a point  $x_\varepsilon \in X$  iff for each fuzzy  $\alpha$ -open set  $\mu$  of  $Y$  containing  $F(x_\varepsilon)$ , there exists a fuzzy regular-open set  $\rho$  containing  $x_\varepsilon$  such that  $\rho \leq F^+(\mu)$ .
- (ii) Fuzzy lower na-continuous (briefly fl.na.c.) at a point  $x_\varepsilon \in X$  iff for each fuzzy  $\alpha$ -open set  $\mu$  of  $Y$  such that  $x_\varepsilon \in F^-(\mu)$ , there exists a fuzzy regular-open set  $\rho$  containing  $x_\varepsilon$  such that  $\rho \leq F^-(\mu)$ .
- (iii) fu.na.c. (fl.na.c.) iff it has this property at each point of  $X$ .
- (iv) Fuzzy na-continuous if it is both fu.na.c. and fl.na.c.

**Definition 10.** Let  $F : X \rightarrow Y$  be a fuzzy multifunction from a fuzzy topological space  $(X, \tau)$  to a fuzzy topological space  $(Y, \nu)$ . Then it is said that  $F$  is :

- (i) Fuzzy upper strong pre-na-continuous (briefly fu.st.p.na.c.) at a point  $x_\varepsilon \in X$  iff for each  $x_\varepsilon \in X$  and each fuzzy pre-open set  $\mu$  of  $Y$  such that  $x_\varepsilon \in F^+(\mu)$ , there exists a fuzzy  $\delta$ -open set  $\rho$  containing such that  $x_\varepsilon$  such that  $\rho \leq F^+(\mu)$ .
- (ii) Fuzzy lower strong pre-na-continuous (briefly fl.st.p.na.c.) at a point  $x_\varepsilon \in X$  iff for each  $x_\varepsilon \in X$  and each fuzzy pre-open set  $\mu$  of  $Y$  such that  $x_\varepsilon \in F^-(\mu)$ , there exists a fuzzy  $\delta$ -open set  $\rho$  containing such that  $x_\varepsilon$  such that  $\rho \leq F^-(\mu)$ .
- (iii) fu.st.p.na.c. (fl.st.p.na.c.) iff it has this property at each point of  $X$ .
- (iv) Fuzzy strong pre-na-continuous if it is both fu.na.c. and fl.na.c.

**Definition 11 ([10]).** Let  $F : X \rightarrow Y$  be a fuzzy multifunction from a fuzzy topological space  $(X, \tau)$  to a fuzzy topological space  $(Y, \nu)$ . Then it is said that  $F$  is :

- (i) fuzzy upper super continuous (briefly fu.sup.c.) if  $F^+(\mu)$  is  $\delta$ -open in  $X$  for each open subset  $\mu$  of  $Y$ ,
- (ii) fuzzy lower super continuous (briefly fl.sup.c.) if  $F^-(\mu)$  is  $\delta$ -open in  $X$  for each open subset  $\mu$  of  $Y$ ,
- (iii) fuzzy super continuous if it is both fuzzy upper super continuous and fuzzy lower super continuous.

**Remark 1.** For a multifunction  $F : (X, \tau) \rightarrow (Y, \vartheta)$  the following implications hold:

$fu.stc. \Rightarrow fu.s.st.na.c. \Rightarrow fu.na.c. \Rightarrow fu.supc. \Rightarrow$  fuzzy u.c.

$\Uparrow$

fuzzy upper strong pre-na c.

$fl.stc. \Rightarrow fls.st.na.c. \Rightarrow fl.na.c. \Rightarrow fl.supc. \Rightarrow fl.c.$

$\Uparrow$

fuzzy lower strong pre-na c.

where none of these implications is reversible as shown by Examples 1, 2, 3, 4, 5 and 6 (Example 20, in [11]).

**Example 1.**  $X=\{a,b,c\}$  and  $Y=\{x,y,z\}$ . Consider three fuzzy sets  $A, B$  and  $C$  where  $A=\{(x, 0.4), (y, 0.4), (z, 0.4)\}$ ,  $B=\{(x, 0.6), (y, 0.6), (z, 0.6)\}$  and  $C=\{(x, 0.4), (y, 0.4), (z, 0.4)\}$ . Then,  $(X, \tau)$  and  $(Y, \vartheta)$  are fuzzy topological spaces where  $\tau=\{0_x, 1_x, A, B\}$  and  $\vartheta=\{0_y, 1_y, C\}$ . Let  $F : (X, \tau) \rightarrow (Y, \vartheta)$  be a fuzzy multifunction defined as below:

$$F_{(y_p)} = \begin{cases} \{(x, 0.4), (y, 0.4), (z, 0.4)\}, p \leq 0.6 \\ \{(x, p), (y, p), (z, p)\}, p > 0.6 \end{cases}$$

Let  $U=\{(x,0.7), (y,0.7), (z,0.7)\}$ . Then,  $F^+(U)=\{(a,0.7), (b,0.7), (c,0.7)\}$  and  $F^+(U)$  is not fuzzy clopen in  $X$ . So,  $F$  is not fuzzy upper strongly continuous. The family of fuzzy semi-open sets in  $Y$  consist of fuzzy sets where the membership values of  $x,y,z$  are in  $[0.4, 0.6]$ . Then  $F^+(V)=\{(a,0.6), (b,0.6), (c,0.6)\}$  for any semi-open set  $V$  in  $Y$ . This means that  $F^+(V)$  is fuzzy  $\delta$ -open for any semi-open set  $V$  in  $Y$ . So,  $F$  is fuzzy semi strongly na continuous multifunctions.

**Example 2.**  $X=\{a,b,c\}$  and  $Y=\{x,y,z\}$ . Consider three fuzzy sets  $A, B$  and  $C$  where  $A=\{(x, 0.4), (y, 0.4), (z, 0.4)\}$ ,  $B=\{(x, 0.6), (y, 0.6), (z, 0.6)\}$  and  $C=\{(x, 0.4), (y, 0.4), (z, 0.4)\}$ . Then,  $(X, \tau)$  and  $(Y, \vartheta)$  are fuzzy topological spaces where  $\tau=\{0_x, 1_x, A, B\}$  and  $\vartheta=\{0_y, 1_y, C\}$ . Let  $F : (X, \tau) \rightarrow (Y, \vartheta)$  be a fuzzy multifunction defined as below:

$$F_{(y_p)} = \begin{cases} \{(x, 0.8), (y, 0.8), (z, 0.8)\}, p < 0.4 \\ \{(x, 0.4), (y, 0.4), (z, 0.4)\}, p = 0.4 \\ \{(x, 0.5), (y, 0.5), (z, 0.5)\}, 0.4 < p \leq 0.5 \\ \{(x, 0.9), (y, 0.9), (z, 0.9)\}, 0.5 < p \end{cases}$$

The family of all fuzzy semi-open sets consists of fuzzy sets where the membership values of  $x,y,z$  are in  $[0.4, 0.6]$ . Let  $U=\{(x,0.55), (y,0.55), (z,0.55)\}$ . Then  $U$  is a fuzzy semi-open set in  $Y$  and  $F^+(U)=\{(a,0.5), (b,0.5), (c,0.5)\}$ . Since  $F^+(U)$  is not fuzzy  $\delta$ -open,  $F$  is not fuzzy upper semi-strongly na continuous multifunctions. The family of all fuzzy  $\alpha$ -open sets in  $Y$  consists of  $0_y, C, 1_y$ . Then,  $F^+(V)$  is fuzzy  $\delta$ -open for any fuzzy  $\alpha$ -open set  $V$  in  $Y$ . So,  $F$  is fuzzy strongly na continuous multifunctions.

**Example 3.**  $X=\{a,b,c\}$  and  $Y=\{x,y,z\}$ . Consider three fuzzy sets  $A, B$  and  $C$  where  $A=\{(x, 0.4), (y, 0.4), (z, 0.4)\}$ ,  $B=\{(x, 0.6), (y, 0.6), (z, 0.6)\}$  and  $C=\{(x, 0.6), (y, 0.6), (z, 0.6)\}$ . Then,  $(X, \tau)$  and  $(Y, \vartheta)$  are fuzzy topological spaces where  $\tau=\{0_x, 1_x, A, B\}$  and  $\vartheta=\{0_y, 1_y, C\}$ . Let  $F : (X, \tau) \rightarrow (Y, \vartheta)$  be a fuzzy multifunction defined as below:

$$F_{(y_p)} = \begin{cases} \{(x, 0.2), (y, 0.2), (z, 0.2)\}, p \leq 0.2 \\ \{(x, 0.4), (y, 0.4), (z, 0.4)\}, 0.2 < p \leq 0.4 \\ 1_y, p > 0.4 \end{cases}$$

Consider the fuzzy set  $U=\{(x,0.2), (y,0.2), (z,0.2)\}$ . Then  $F^+(U)=\{(a,0.2), (b,0.2), (c,0.2)\}$ . Since  $F^+(U)$  is not fuzzy clopen in  $X$ ,  $F$  is not fuzzy upper strongly continuous. The family of all fuzzy pre-open sets in  $Y$  consists of fuzzy sets where the membership values of  $x,y,z$  are in  $[0.4, 1]$ . Then  $F^+(V)=\{(a,0.4), (b,0.4), (c,0.4)\}$  for any fuzzy pre-open set  $V$  in  $Y$ . Since  $F^+(V)$  is fuzzy  $\delta$ -open in  $X$ ,  $F$  is fuzzy upper pre-strongly na continuous.

**Example 4.**  $X=\{a,b,c\}$  and  $Y=\{x,y,z\}$ . Consider three fuzzy sets  $A, B$  and  $C$  where  $A=\{(x, 0.4), (y, 0.4), (z, 0.4)\}$ ,  $B=\{(x, 0.6), (y, 0.6), (z, 0.6)\}$  and  $C=\{(x, 0.4), (y, 0.4), (z, 0.4)\}$ . Then,  $(X, \tau)$  and  $(Y, \vartheta)$  are fuzzy topological spaces where  $\tau=\{0_x, 1_x, A, B\}$  and  $\vartheta=\{0_y, 1_y, C\}$ . Let  $F : (X, \tau) \rightarrow (Y, \vartheta)$  be a fuzzy multifunction defined as below:

$$F(\gamma_p) = \begin{cases} \{(x, 0.2), (y, 0.2), (z, 0.2)\}, & p \leq 0.2 \\ \{(x, 0.4), (y, 0.4), (z, 0.4)\}, & 0.2 < p \leq 0.4 \\ \{(x, 0.5), (y, 0.5), (z, 0.5)\}, & p > 0.4 \end{cases}$$

Let  $U = \{(x, 0.2), (y, 0.2), (z, 0.2)\}$ .  $U$  is fuzzy pre-open in  $Y$  and  $F^+(U) = \{(a, 0.2), (b, 0.2), (c, 0.2)\}$ . Since  $F^+(U)$  is not fuzzy  $\delta$ -open in  $X$ ,  $F$  is not fuzzy upper pre-strongly  $\alpha$ -continuous. The family of all fuzzy  $\alpha$ -open sets in  $Y$  consists of  $0_Y, 1_Y, C$ . Then  $F^+(V)$  is fuzzy  $\delta$ -open for any fuzzy  $\alpha$ -open set  $V$  in  $Y$ . This means that  $F$  is fuzzy upper  $\alpha$ -continuous.

**Example 5.** Let  $A$  be fuzzy set on  $X = \{a, b, c\}$  and let  $B$  be fuzzy set on  $Y = \{x, y, z\}$ . Then  $A = \{(a, 0.4), (b, 0.4), (c, 0.4)\}$  and  $B = \{(x, 0.6), (y, 0.6), (z, 0.6)\}$  are defined as follows: Consider  $\tau = \{0_X, 1_X, A\}$  and  $\vartheta = \{0_Y, 1_Y, B\}$ . For  $\mu_p$  be fuzzy point on  $X$ , define a multifunction  $F : (X, \tau) \rightarrow (Y, \vartheta)$  as follows:

$$F(\mu_p) = \begin{cases} \{(x, 0.6), (y, 0.6), (z, 0.6)\} & p \leq 0.4 \\ \{(x, 0.2 + p), (y, 0.6), (z, 0.6)\} & 0.8 \geq p > 0.4 \text{ and } \mu_p = a_p \\ \{(x, 0.6), (y, 0.2 + p), (z, 0.6)\} & 0.8 \geq p > 0.4 \text{ and } \mu_p = b_p \\ \{(x, 0.6), (y, 0.6), (z, 0.2 + p)\} & 0.8 \geq p > 0.4 \text{ and } \mu_p = c_p \\ 1_Y, & p > 0.8 \end{cases}$$

Then  $F$  is fuzzy upper super continuous, but not fuzzy upper  $\alpha$ -continuous. Because,

the fuzzy set  $\mu$ , where  $\mu(x) \geq 0.6$ ,  $\mu(y) \geq 0.6$  and  $\mu(z) \geq 0.6$  is fuzzy  $\alpha$ -open set, but  $F^+(\mu)$  is not fuzzy  $\delta$ -open set.

**Example 6 ([11]).** Let  $X = \{x, y\}$  with topologies  $\tau_1 = \{X, \emptyset, \rho, \eta, \rho \wedge \eta, \rho \vee \eta\}$  and  $\tau_2 = \{X, \emptyset, \mu\}$  where the fuzzy sets  $\rho, \eta, \mu$  are defined as :

$$\rho(x) = 0.3, \rho(y) = 0.6$$

$$\eta(x) = 0.5, \eta(y) = 0.5$$

$$\mu(x) = 0.3, \mu(y) = 0.6.$$

A fuzzy multifunction  $F : (X, \tau_1) \rightarrow (X, \tau_2)$  given by  $x_\varepsilon \rightarrow F(x_\varepsilon) = \{x_\varepsilon\}$  is upper continuous, but it is not upper super continuous.

### Fuzzy Semi Strong $\alpha$ -Continuity of Multivalued Maps on Some Fuzzy Spaces

**Definition 12.** For a multifunction  $F : (X, \tau) \rightarrow (Y, \vartheta)$  the multigraph  $G(F) = \{(x, y) : x \in X, y \in F(x)\}$  is said to be fuzzy  $\delta$ -closed in  $X \times Y$  if for each  $(x, y) \in (X \times Y) - G(F)$ , there exist  $U \in F\delta O(X, x)$  and  $V \in FO(Y, y)$  such that  $(U \times V) \cap G(F) = 0_{X \times Y}$ .

**Lemma 2.** A multifunction  $F : (X, \tau) \rightarrow (Y, \vartheta)$  has a fuzzy  $\delta$ -closed multigraph if and only if for each  $(x, y) \in (X \times Y) - G(F)$ , there exist  $U \in F\delta O(X, x)$  and  $V \in FO(Y, y)$  such that  $F(U) \cap V = 0_{X \times Y}$ .

**Definition 13 ([12]).** A fuzzy topological space  $X$  is called nearly compact if every open cover of  $X$  has a finite subcollection such that the interiors of closures of fuzzy sets in this subcollection covers  $X$ , or equivalently, every regular open cover of  $X$  has a finite subcover.

**Definition 14 ([9]).** Let  $A$  be a fuzzy set in an  $fts$ . Then  $A$  is said to be fuzzy semi compact if for every fuzzy semi open cover of  $A$  has a finite subcover of  $A$ . Also, a fuzzy topological space  $X$  is called fuzzy semi compact if every fuzzy semi open cover of  $X$  has a finite sub cover.

**Definition 15 ([30]).** A fuzzy topological space  $(X, \tau)$  is said to be fuzzy Hausdorff iff for any two distinct fuzzy points  $p, q \in X$ ,  $\exists$  disjoint  $U, V \in \tau$  with  $p \in U$  and  $q \in V$ .

**Theorem 15.** If  $F:(X,\tau)\rightarrow(Y,\theta)$  is a f.u.s.st.na c. multifunction such that  $F(x)$  is fuzzy semi-compact for each  $x\in X$  and  $Y$  is a fuzzy Hausdorff space, then  $G(F)$  is fuzzy  $\delta$ -closed.

**Proof.** Let  $(x,y)\in(X\times Y)-G(F)$ . Then  $y\in Y-F(x)$ . Since  $Y$  is a fuzzy Hausdorff space, for each  $p\in F(x)$ , there exist disjoint fuzzy open sets  $U_p$  and  $V_p$  of  $Y$  such that  $p\in U_p$  and  $y\in V_p$ . Then  $\{U_p : p\in F(x)\}$  is a fuzzy semi-open cover of  $F(x)$  and since  $F(x)$  is fuzzy semi-compact for each  $x\in X$ , there exist a finite number of points  $p_1, p_2, \dots, p_n$  in  $F(x)$  such that  $F(x)\leq V\{U_{p_i} : i = 1, 2, \dots, n\}$ . Put  $U\leq V\{U_{p_i} : i = 1, 2, \dots, n\}$  and  $V=V\{V_{p_i} : i = 1, 2, \dots, n\}$ . Then  $U$  and  $V$  are disjoint fuzzy open sets in  $Y$  such that  $F(x)\leq U$  and  $y\in V$ . Hence we have  $F(F^+(U))\wedge V=0_Y$  and since  $F$  is a f.u.s.st.na c. multifunction,  $x\in F^+(U)\in F\delta O(X,x)$  by Theorem 1(4). This shows that  $G(F)$  is fuzzy  $\delta$ -closed.

**Theorem 16.** Let  $F:(X,\tau)\rightarrow(Y,\theta)$  be a f.u.na c. surjective multifunction such that  $F(x)$  is fuzzy semi-compact for each  $x\in X$ . If  $X$  is a fuzzy nearly compact space then  $Y$  is fuzzy semi-compact.

**Proof.** Let  $\{V_\lambda : \lambda\in\Lambda\}$  be a fuzzy semi-open cover of  $Y$ . Since  $F(x)$  is fuzzy semi-compact for each  $x\in X$ , there exists a finite subset  $\Lambda_x$  of  $\Lambda$  such that  $F(x)\leq V_{\lambda\in\Lambda_x} V_\lambda$ . Put  $V_x=V_{\lambda\in\Lambda_x} V_\lambda$ . Since  $F$  is a f.u.s.st.na c. multifunction, there exists  $U_x\in FRO(X,x)$  such that  $F(U_x)\leq V_x$ . The family  $\{U_x : x\in X\}$  is a fuzzy regular- open cover of  $X$  and since  $X$  is a fuzzy nearly compact space there exist a finite number of points  $x_1, x_2, \dots, x_n$  in  $X$  such that  $X=V_{i=1}^n U_{x_i}$ . Hence we have  $Y=F(X)=F(V_{i=1}^n U_{x_i})\leq V_{i=1}^n F(U_{x_i})=V_{i=1}^n V_{\lambda\in\Lambda_{x_i}} V_\lambda$ . This shows that  $Y$  is fuzzy semi-compact.

**Definition 16 ([29]).** A space  $S$  is called fuzzy s-normal if for each pair of fuzzy closed sets  $A$  and  $B$  of  $X$  with  $A\bar{q}B$ , there exist fuzzy semi-open sets  $U$  and  $V$  such that  $A\leq U$  and  $B\leq V$  and  $U\bar{q}V$ .

Recall that a multifunction  $F:(X,\tau)\rightarrow(Y,\theta)$  is said to be point closed if for each  $x\in X$ ,  $F(x)$  is fuzzy closed.

**Theorem 17.** Let  $F$  and  $G$  be f.u.s.st.na c point closed multifunctions from a topological space  $(X,\tau)$  to a fuzzy s-Normal space  $(Y,\theta)$ . Then the set  $K=\{x\in X : F(x)\wedge G(x)=0_Y\}$  is fuzzy  $\delta$ -closed in  $X$ .

**Proof.** Let  $x\in X-K$ . Then  $F(x)\wedge G(x)=0_Y$ . Since  $F$  and  $G$  are point closed multifunctions,  $F(x)$  and  $G(x)$  are fuzzy closed sets, and  $Y$  is a fuzzy s-Normal space, so there exist disjoint fuzzy semi-open sets  $U$  and  $V$  containing  $F(x)$  and  $G(x)$ , respectively. Since  $F$  and  $G$  are f.u.s.st.na c. multifunctions,  $F^+(U)$  and  $G^+(V)$  are fuzzy  $\delta$ -open by Theorem 1(4), and so fuzzy open sets containing  $x$ . Put  $H=F^+(U)\vee G^+(V)$ . Then  $H$  is a fuzzy  $\delta$ -open set containing  $x$ , and  $H\wedge K=0_X$ . Hence  $K$  is fuzzy  $\delta$ -closed in  $X$ .

**Definition 17 ([13]).** A topological space  $X$  is said to be fuzzy  $\delta$ -Hausdorff if for any pair of distinct points  $x$  and  $y$  in  $X$ , there exist disjoint fuzzy  $\delta$ -open sets  $U$  and  $V$  in  $X$  such that  $x\in U$  and  $y\in V$ .

**Theorem 18.** Let  $F:(X,\tau)\rightarrow(Y,\theta)$  be a f.u.na.c. point closed multifunction from a topological space  $X$  to a fuzzy s-Normal space  $Y$ , and let  $F(x)\wedge F(y)=0_Y$  for each distinct pair  $x,y\in X$ . Then  $X$  is a fuzzy  $\delta$ -Hausdorff space.

**Proof.** Let  $x$  and  $y$  be any two distinct points in  $X$ . Then,  $F(x)\wedge F(y)=0_Y$ . Since  $F$  is point closed,  $F(x)$  and  $F(y)$  are fuzzy closed sets, and since  $Y$  is a fuzzy s-Normal space, there exist disjoint fuzzy semi-open sets  $U$  and  $V$  containing  $F(x)$  and  $F(y)$ , respectively. Since  $F$  is f.u.s.st.na c,  $F^+(U)$  and  $F^+(V)$  are disjoint fuzzy  $\delta$ -open sets containing  $x, y$  respectively. This shows that  $X$  is a fuzzy  $\delta$ -Hausdorff space.

## 6. Conclusion

The concepts of fuzzy semi strong na-continuity, fuzzy strongly continuity for fuzzy multifunctions between fuzzy topological spaces are introduced. Especially, for fuzzy semi strong na-continuous multifunction, some results concerning the function that in the context of fuzzy upper (lower) invers-images are obtained in this paper. Also, the relationship with other classes of fuzzy multifunctions are investigated and the counterexamples are find.

For the work to be carried out after this work, will be useful in the sense of exemplification.

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## Economic Drivers of Technology Enabled Health Services

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### Abstract

Technology is all pervasive today. Advancements in technology has been welcomed and applauded in the health care sector. Healthcare technologies involve both clinical as well as non clinical processes. The applications involve patient safety, disease surveillance, E-health records, and patient empowerment. There are now various firms which are building health applications to further help the patients, care-givers and doctors. The global economy has however seen a change in the aftermath of 2008. The downturn experienced seemed to continue well into 2017. There however seems to be a spirited feeling that the economy is on the up and better prospects are forecasted for 2018. In this background, this paper looks at the various economic factors that impact technology enabled health services.

**Keywords:** Technology enabled health services, Global Indicators, Prospects, Competitive forces, Constraints to growth

### 1. Introduction

"It has become appallingly obvious that our technology has exceeded our humanity" said Albert Einstein. Technology is so pervasive that it has impacted every life on this planet and thus affected all sectors of the world. Advancements in technology have made the unimaginable possible; communication speeds between two ends of the world happens in a matter of seconds and production capabilities have surpassed the days of handmade products.

In case of healthcare, technologies are creating various devices, procedures, medicines that are solving health problems and create healthier living. Healthcare technologies involve both clinical as well as non clinical processes. The applications involve patient safety, disease surveillance, E-health records, and patient empowerment. Latest technologies in healthcare space include:

Intelligent Pills programmed to deliver targeted doses of medication.

Wearable technology like Google glass which helps in improving experience of patients and practitioners.

Interoperability communication about latest information in real time between the doctors.

Digestible sensors that transmit information about the patients to identify the disorder and customize the cure.

Video Games stimulate 3D video of patients which enable medical student to make decisions as they would on real patients.

Needleless Vaccinations and such others.

### 2. Healthcare Technologies

Technologies can help in dissolving barriers in the health care process. An IBM white paper brings forth how technologies have enabled both patients and caregivers about working with EMR's, booking appointments, understanding system responses. Today there are companies which have put together enhanced servers and storage to support the patients, hospitals and staff involved in the process. Systems are designed such that physicians do not have to wait for system responses during interactions with patients. Faster data access and application performance can help streamline and speedup business operations.

### 3. Healthcare Platforms of the World

Healthcare platforms/Applications are vital part in developing a relationship with the physicians and patients through easy technologies. The 2015 mHealth summit<sup>1</sup> also has the same theme “Anytime, anywhere: engaging patients and providers”. Representatives from the field of medicine around the world think that this is essential to have more interactive and dynamic health experience.

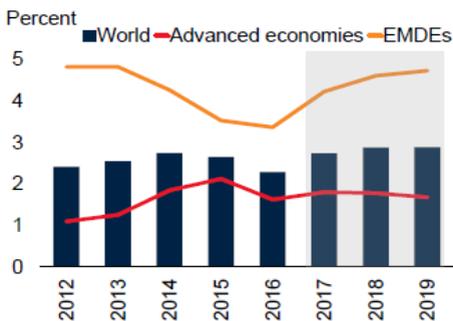
- Healthcare applications that have been developed for various functionalities are such as given below:
- Prevention or healthy living - Calorie counter, Nike training club
- Symptomatic/self diagnosis - NHS Health and symptom checker, HealthTap, Medibank symptom
- Finding a physician - Better doctors, US Hospitals, Doctor visit manager
- Education post diagnosis- Family drug guide, Emergency Info 4Family, Health handbook.
- Filling prescription - CVS Pharmacy, Walgreens, LowestMed Mobile
- Compliance - Medicine Reminder HD with local Notifications, MediSafe – virtual pillbox.

These platforms for healthcare have been created with the intention of monitoring, tracking patient information through connected devices and to access patients information in real time. Analysis of data of helps to attend to the patients' needs in critical situations as also help in enhancing the experience of the patients and physicians. The apps help in collecting, integrating health related information including data, images and records.

### 4. Global Economic Trends

Global economic trends are critical for any business and its growth. What is more important is to understand the relevant position of the economy irrespective of its position in the business cycle! A company develops its plans keeping in mind the impact of business cycle so that it can embrace a sustainable approach to growing its business.

Figure: Global Growth



Source: Global Economic Prospects 2017, <https://openknowledge.worldbank.org>

It has been practice of analysts to relate overall global economic trend. When one discusses global trends, overall markets and their growth are critically evaluated. In a sense, global economy is one market which by trade reflects overall health of the market. According to the Global Economic Prospects Report published in July 2016, Growth prospects have weakened throughout the world economy. Global growth for 2016 was projected at 2.4 per cent, unchanged from the disappointing pace of 2015. Further there was a downward revision of 0.5 percentage point below the January forecast. Emerging market and developing economies (EMDEs) were facing stronger headwinds, including weaker growth among advanced economies and persistently low commodity prices, as well as lacklustre global trade and capital flows. Global growth is

#### References:

<http://www.mobihealthnews.com/news/mhealth-summit-2015-emphasis-ecosystem>

projected to pick up slowly to 3.0 per cent by 2018, as stabilizing commodity prices provide support to commodity exporting EMDEs. Downside risks have become more pronounced. These include deteriorating conditions among key commodity exporters, softer-than expected activity in advanced economies, rising private sector debt in some large emerging markets, and heightened policy and geopolitical uncertainties.

It may be seen from the above figure that while the financial crisis of 2007 had a deep impact, it seemed to improve after 2014 with a marginal improvement for global economy and advanced nations. For emerging and developing economies it was far more flat. However, forecast for advanced economies look better with improved global growth prospects.

Table 1: Real GDP of Major World Economies 2014 - 2019

	2014	2015	2016e	2017f	2018f	2019f
World	2.7	2.7	2.3	2.7	2.9	2.9
Advanced economies	1.9	2.1	1.6	1.8	1.8	1.7
United States	2.4	2.6	1.6	2.2	2.1	1.9
Euro Area	1.2	2.0	1.6	1.5	1.4	1.4
Japan	0.3	1.2	1.0	0.9	0.8	0.4
Emerging and developing economies	4.3	3.5	3.4	4.2	4.6	4.7
China	7.3	6.9	6.7	6.5	6.3	6.3
Russia	0.7	-3.7	-0.6	1.5	1.7	1.8
Brazil	0.5	-3.8	-3.4	0.5	1.8	2.2
India	7.2	7.6	7.0	7.6	7.8	7.8
South Africa	1.6	1.3	0.4	1.1	1.8	1.8
Economies grouped based on income:						
High income countries	1.9	2.2	1.6	1.8	1.8	1.7
Developing countries	4.4	3.6	3.5	4.4	4.8	4.9
Low-income countries	6.2	4.8	4.7	5.6	6.0	6.1
BRICS	5.1	3.8	4.3	5.1	5.4	5.5
World (2010 PPP weights)	3.5	3.3	3.0	3.5	3.7	3.7
World trade volume	3.7	2.8	2.5	3.6	4.0	3.9

Source: Global Economic Prospects 2017, <https://openknowledge.worldbank.org>

A detailed table is presented above on Real GDP growth. Some of the inferences from the table are:

World GDP growth rate would be around 3 per cent by 2018 with uptrend from 2016. On 2010 purchasing power parity, it is likely to be at 3.7 per cent by 2018. This would be mainly contributed by world trade growth rate from 3 per cent in 2016 to 3.7 per cent by 2018.

Advanced economies are likely to remain stable around 1.6 to 1.8 percent. The better sentiment is due to the changed political circumstances of having a more pro-EU policy after the French elections. Japan continues to look a little damp.

Emerging and developing economies are strengthening their growth rates. In this group, BRICS shows an overall growth of 5% from 2017 onwards. China, one of the largest economy is shows more of a constant growth of around 6% which is on the slower side. Whereas Brazil, Russia and South Africa are showing signs of turnaround in 2017 and 2018. India is the only economy which shows stable and consistent growth rate of around 7.7 per cent in GDP for the period ending in 2018 based on estimates. With Goods and Services Tax being effectively implemented, this is likely to go up significantly and hence an attractive economy. BRICS growth rate largely depends upon performance of India and turnaround of Brazil, Russia and South Africa economies.

Low income countries are projected to improve their GDP growth rate by one per cent. However, experts qualify these estimates with a number of socio, economic, political and regional risks associated with these countries.

It may also be observed that world trade volume growth rate is estimated to go upto 4% in 2018, which of course could be due to fallout of the likely protectionist policies in the advanced economies.

#### 4.1 Drivers of global economic trends

A few predicted drop in oil prices in 2014 and its likely impact on the global economic trend. Around the same time, commodity prices also dropped significantly, negatively impacting those Emerging and Developing Economies which export commodities. 2016 saw a drop in growth rate of China which also impacted Advanced Economies like United States of America, parts of Europe and other countries in BRICS which were dependent on the performance and overall health of Chinese economy.

Apart from these two factors, there were other developments which impacted the global economy. They were as follows:

While US economy continued to lead the global economy - it also has the largest trade deficit. Large economies like Germany, Japan and China are dependent on US trade policies and the appetite of its consumers to import goods and services from these nations. With the coming of the new US President, the trade policies are seeing a change.

China recorded high growth rates (double digit) for long. This was mainly because of government and state run enterprises investment rather than profits generated out of this investment. This helped them to export to developed nations. Since China did not engage with generation of domestic demand, the economy is under strain now with drop in growth rates. This is likely to continue till there is a fundamental correction to growth strategy. China is looking at other ways of doing this such as the One Belt, One Road scheme.

The collapse in Chinese growth led to severe dent in commodities market as China was one of the key buyers for basic metals, energy and even gold for private consumption. Unless commodities market revives, global economic prospects are weak. We noted this earlier when discussed about Developing and emerging economies belonging to commodity export activities.

Europe crisis is at an interesting phase with BREXIT from EU adding a new dimension. European debt crisis is a long phenomenon rather than recent history. Fundamentally, Europe is a group of economies having created an economic union with less balanced economic forces among the countries. One would have countries like Spain and Greece with high unemployment and low productivity as part of the system while Scandinavian countries, Netherlands, France, Belgium, UK and Germany having strong fundamentals. This would be structural feature affecting economic prospects in secular period. Brexit is a cause of concern! But one will have to wait for negotiations and settlement to understand full impact of exit to UK and rest of Europe and probably to the global economy.

India is emerging as new growth leader in the global economy. There is a positional advantage of demographic quotient which young and consumes more. Government policies are more open and democratic practice giving better edge to growth traction. GST would simplify business and increase GDP and further signals unification of fragmented political system for better economic management.

To conclude, global economic outlook, the economic growth rate looks stable between 3.5 to 4 per cent. Though there are a few headwinds, many expect economies to manage and remain stable at current levels of optimism to lead global economic factors.

What matters for healthcare technology providers is that it largely depends upon these two markets namely USA and BRICS nations especially India for its growth and hence well poised for growth. Unlike many other software companies which are being affected, Healthcare technology service providers is likely to be having favourable conditions which are discussed here.

## **5. Prospects for Technology Enabled Health Services in India**

An interesting feature of businesses in the Technology Enabled Health Services is that it lies in the interface of two broad categories in industry classification. One is the human health industry which would include all kinds of healthcare and patient care that may be required for wellbeing of the human. The other classification of the industry is the technology group which is into providing software, hardware and support through applications and servers for enabling efficient delivery of healthcare and patient care.

According to Deloitte Report, "Capitalizing on new technologies, delivery options, patient experiences and partnering across the value chain can help organizations reduce costs and propel them past their competition."

Since technology applications derives value from healthcare, it would be more appropriate to discuss aspects of healthcare. It is seen that healthcare spend across the globe varies widely on per capita basis.

Countries like USA, Netherlands, Australia, Canada, Germany and Japan spend high amounts of per capita expenditure on healthcare with USA way ahead of other at US \$ 9146.

Brazil (\$ 1083) spends more than China (\$367) and India (\$61).

For businesses, wide variations show huge opportunities.

As a strategy for a company one will have to see how such variations can be exploited for growth of the business. Size by itself cannot define the opportunity. It has to be read along with other perspectives.

In general, healthcare costs continue to rise in the U.S. and throughout the developed world. The global health expenditure as of 2014 based on per capita spend of US \$ 948 (WHO estimate) is about US \$ 6.5 trillion (<http://www.who.int/mediacentre/factsheets/fs319/en/>). For instance, total U.S. health care expenditures were estimated to be \$3.24 trillion in 2015, and are projected to soar to \$3.78 trillion in 2018. The health care market in the U.S. in 2015 included the major categories of hospital care (\$1,031.1 billion), physician and clinical services (\$640.3 billion), dental services (\$119.1 billion) and prescription drugs (\$328.4 billion), along with nursing home and home health care (\$253.6 billion).

### **5.1 Competitive forces:**

Each of the segments in healthcare industry like hospital care; physical and clinical services; dental services; prescription drugs and home health care would have independent competitive forces and industry level task forces influencing them. To quote Bain Report on future of healthcare industry in 2020<sup>1</sup>: "The basis of competition in the marketplace will change as well. Different therapeutic areas will be affected in distinct ways by two significant trends: growing consumer engagement and increasing standardization of care ("protocolization").

With more information about treatments available to an increasing number of consumers or patients around the globe, every company with a product to sell must understand how best to engage with consumers, in a way that speaks to their individual needs and patient experience. Search engines have produced a vast engaged patient population that one could not have imagined even 10 years ago: 80% of Internet users now search for health information online, and more than half look for specific information about a medical treatment or disease.

The demand for more engagement is not limited only to the US and Europe. Mobile phones and Internet access are now available in most emerging economies. While there will continue to be cultural differences in the way consumers engage with their care, the degree of engagement itself will only intensify globally. More than one-third of Indians, for example, currently use the Internet to search for health information, with similar percentages of younger, more educated people seeking health information online in Brazil, Mexico and China.

US providers have been somewhat slower to embrace clinical protocols than their European or Asian counterparts, but there is little doubt about the direction of this change. No longer will the individual physician be the lone decision maker. The cottage industry of medical care is being industrialized, as payers and providers increasingly align their businesses—and results—which may be threatening to some, but may well produce better care at lower cost.

The above clearly brings out that the industry would depend upon on (i) Customization and (ii) Standardization.

### **Expected drivers of growth for Industry in India:**

#### **Demographics:**

Population growth - Population growth is a natural phenomenon as countries manage population growth and stress on strategic resources by constantly looking out for efficient and effective deployment of the resources and use of advanced technology. Health care sector would be no different.

Aging population – Most countries are aging fast and a substantial portion of population is of age 60 years and above India is the only country which has advantage of youth quotient. However, this would not be a limiting factor.

Lengthening life expectancy - With better technology and medical care average life expectancy has gone up. According to WHO: "People everywhere are living longer, according to the "World Health Statistics 2014" published today by WHO.

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<sup>1</sup> Bain Report Healthcare Industry 2020

Based on global averages, a girl who was born in 2012 can expect to live to around 73 years, and a boy to the age of 68. This is six years longer than the average global life expectancy for a child born in 1990." <sup>1</sup> This would positively influence the sector.

Increases in chronic diseases: Obesity, cardiovascular diseases, hypertension, and dementia are becoming common. Wide spread health problems because of increase in longevity of life and affordability are becoming a challenge for healthcare service providers. Diabetes is increasing with India leading in diabetes population. Resultant problems like renal issues, eye care, cardiovascular and limbs related because of diabetes demand healthcare demand and its infrastructure. Fight against communicable diseases continues especially in less developed low income economies.

Access: This is a supply side constraint. With the demographic factors influencing the demand for health care services, the number of physicians and support system to provide the same in all parts of the world is limited. The capacity to add infrastructure like hospitals, clinics, laboratories and health care education are capital intensive and time consuming. Further flow of capital to such a sector has to be balanced through private and public investments. Developing economies face a challenge and especially vast economies like India and China with sizeable portion of population living in rural areas, the challenge is likely to be huge.

Rising wealth: Global wealth reached 250 trillion US dollars in 2015. Rising wealth is contributed by US and China. Wealth is (nevertheless) still predominantly concentrated in Europe and the United States. However the favourable factor the increased middle class population - about 92 million in US and 109 million in China who would like to lead experience of change in consumption patterns and societal factors. Thus, one would expect demand for health care to go up because of this factor.

### **5.3 Expected constraints to growth:**

Economic and political uncertainty: Economic uncertainty, Eurozone crisis and currency devaluation are expected to impact spending. However, India would lead the way at 16.1% growth by 2019 (Deloitte).

Price and value based care: Today's consumers are more informed and financially sensitive while they take healthcare decisions. They have higher expectations for the services and products they receive. Consumers place high value for convenience, amenities and integrated service and wholesome experience in addition to traditional clinical support. Changing customer expectations are pushing healthcare service providers on collaborative models driven by technology solutions.

Reforms: Healthcare reforms in three leading economies are highlighted here:

The largest market – USA was influenced by Affordable care Act (Obama care) and implementation of the “Cadillac tax”. Affordable Care Act widened the insurance net to bring more people under health insurance coverage and imposed penalty on corporations who failed to provide cover. Further it brought revenue which could be used for covering incremental insurers brought under the scheme. The Federal poverty line multiple was formed as basis for states to implement the insurance for healthcare service. The law also provided scope for reducing costs especially of public spend by transferring to insurance exchanges and companies and employers. But this seems to be under a cloud because of the new presidency.

Reforms in China focus on improving not only volume of healthcare spend through public but more importantly on quality and effectiveness of resources spent.

In India the government initiatives to restructure public spend on healthcare activities would significantly increase the volume and intense urge on government and private to use technology would see major impact on healthcare sector.

Cost pressures: All over the globe, health care costs have gone up because of pressure on resources and general inflationary trend especially in niche service areas. The mismatch in demand and supply conditions which trend both at operating level and strategic level in health care sector would make cost pressures mount. The patients seek better financing of health care services to manage these pressures which are discussed in the subsection later here.

### **5.4 Financing of healthcare:**

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<sup>1</sup> <http://www.who.int/mediacentre/news/releases/2014/world-health-statistics-2014/en/>

Healthcare sector is estimated at about 10 per cent of global GDP and one of the largest industries. Increasing cost of healthcare service brings pressure on financing pattern. Normally, healthcare spend happens through public (government) spending, insurance and private spend. The table below gives pattern of funding for healthcare spend.

Table 2: Health Expenditures in Major Economies

	Out of Pocket	Public	Private Insurance
EM Economies	35.8	52.5	11.5
Asia Ex-Japan	34.5	54.9	10.4
China	33.8	55.8	10.3
Latin America	32.1	52.6	15.1
India	58.2	32.2	9.5
Advanced Economies	14.7	61.1	24.1
U.S.	11.8	47.1	41.1
Euro Area	14.1	76.1	9.7

Source : <http://siteresources.worldbank.org/INTHSD/Resources/topics/Health-Financing/HFRChap1.pdf>

Except USA, all other economies have poor insurance based financing.

In USA where the healthcare per capita spend is as high as \$US 9413 compared to double digit level in India, out of pocket expense is only less than 12 per cent. Hence public spend and insurance would demand more efficiency and effectiveness through collaborative technologies and systems.

Euro Area largely depends upon government as high as 76 per cent and is spent by government.

China is better than India to the extent that government spends more than individuals. India has poorest record of government spend and insurance. However, with healthcare spend likely to increase by 18 per cent per annum efficiency and effectiveness is important. With further limitations on capital and inability to quickly build infrastructure by government alone, Private – Public partnership model and private investment becomes important.

**5.5 Infrastructure Needs:** In a country like India and many other developing nations infrastructure would play a significant role in improving effectiveness of healthcare delivery especially in rural areas.

Table 3: Changing Strategies for Healthcare

From	To
Department- and specialty driven organization of care	Multidisciplinary, multispecialty driven organization of care
Episodic and high acuity focus	Disease and cross-continuum focus
Provider centric experience	Patient-centric experience
Individual physician or specialty orientation to care delivery	Team orientation to care delivery that involves multiple specialties, APPs, social workers, etc.
Management of the high acuity portion of care	Collaboration with external partners to optimize site and level of care

Source: "The strategy that will fix healthcare", Harvard Business Review, October 2013

The above table clearly shows that future of healthcare is going to patient centric Apps and collaboration with third parties would drive the business.

Structural changes refer to service providers in relation to service seekers. This may include infrastructure created by government, private and in collaboration with each other and financing of healthcare spend like insurance and subsidies.

Second, one would consider technology infrastructure. This includes availability of bandwidth, favourable of policies towards development of technology especially towards information services sector and medical policies.

Third, wide adoption of broadband and mobile communications and usage of smart phones in rural and urban areas would be another significant influencer for healthcare service collaboration across stakeholders.

This would demand that healthcare stakeholders will need to work more collaboratively and operate more efficiently, lower their unit costs, raise their quality levels, and identify ways to optimize the value of their limited resources.

## **6. Conclusion and Roadmap**

To summarise, opportunity factors for health care aggregators are:

- Demand side factors:
- Demographic trends,
- Increase need for chronic and communicable disease management
- Rising wealth
- Supply side factors:
- Limited access and capital requirement
- Adoption of technology for effective utilization of resources
- Threats to industry could be:
- Economic and political uncertainty: growing protectionism in countries around the world
- Customer expectations and value for money
- Cost pressures reducing affordability.

To conclude, it can be seen that those technology enabled service providers that have been early movers seem to be in the high opportunity market. Ability of the management to speed up its growth and experience and ensuring effective community building for its future value creation are going to be driving their performance.

Passionate culture, effective employee engagement, effective capital deployment and motivated (obsessed) leadership would be critical success factors. Management must build strong barrier to avoid competition to hijack the opportunity spectrum.

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## The Effectiveness of Using Song Therapy In Increasing Year 5 Primary Pupils' Engagement In Science Classroom

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### Abstract

The purpose of this study is to investigate the effectiveness of song therapy in increasing students engagement in Science classroom. The researcher used questionnaire on students engagement items to analyze students level of engagement after using song therapy in teaching science. The questionnaire has three sub categories, (1) cognitive engagement, (2) affective engagement and (3) behavioral engagement. The participants are total of 82 students from both controlled group (38.1% males and 61.9% females) and experimental group (45.0% males and 55.0% females). The data were analyzed using both descriptive (mean, frequency and percentage) and inference (Independent sample t-test, paired sample t-test and Kruskal-Wallis). The findings showed that students engagement after using song therapy is higher than before using it between the pretest and posttest for experimental group. Besides that, students' engagement has increased after using song therapy to experimental group students compared to without using it to controlled group. Moreover, the mean between gender female and male is not much difference and not significant in comparing gender on the effectiveness of using song therapy for experimental group. In addition, the findings showed that the students level of engagement in Science classroom after the posttest is not effected by their level of achievement in Science test.

**Keywords:** The Effectiveness of Using Song Therapy In Increasing Year 5 Primary Pupils' Engagement In Science Classroom

### Introduction

#### Background of Study

Malaysia is a developing nation that is moving towards a globalized world to achieve vision 2020. Therefore, education plays a key role to place the country at a most high level. With this realization, the Malaysian government places importance in education as first step to achieve vision 2020. Hence, it is clearly shown that education is put at the top of the needs of a nation to be able to make a human being who is competitive, capable and always finds and alternative solution to get rid of any problems which affects the reputation of our country.

Educators may use various teaching strategies to achieve the learning objective of the lesson. One of the methods that educators can use is songs. Music can be integrated with teaching in all subjects and of course it brings significant impact in teaching and learning also. Teaching and learning Science is a fun experience where it involves mostly knowing about nature and how things happen around us do. Besides that, according Jensen (2000), music and related content of lyrics brings the information and make emotional impact. Songs for learning science can be designed for all grade levels and include information about, facts and concepts included in the science curriculum.

According to Einser (2003), using song embedded with music help students to remember something better. This is because, the emotions that a student feels more connected to his learning mood. This is supported by Sousa (2006), who says emotions can affect attention and learning and strengths students' memory to remember the certain content. (pg 44). Hence, it clearly shows that music embedded with song is more relevant to teach science topic to help students actively take part in science classroom as well as they are able to understand the content of a topic better.

'Kamus dewan Edisi Ketiga (2000) defines song as lyrics composed with music or a tune and sung with the voice. When a song is related to Science song, the lyrics associated with the Science concepts that it would like to teach. Therapy is also meant as a method. According to the book 'Siri Pendidikan Perguruan: Pedagogi Untuk Kursus Diploma semester 3', Mok

(2002) defines method as an activity which is carried out systematically to achieve a learning objective. In this research, pupils will sing the song the process of water cycle with lyrics related to the topic and embedded with the melody to understand the topic better.

Furthermore, the words in the songs are easily remembered because students are bringing in emotions while singing. This is what stated by (Caine & Caine, 2001, p.47) that any message which is delivered through emotions will improve learning. Therefore, songs used in teaching science content also will be very useful to help to students to remember the content for longer time. According to (Jensen, 2008, p.75), songs with music in science –content songs can be used to teach science content information and because of the emotional response elicited by music, students are able to store the information for longer time.

Engagement of pupils in a learning classroom is referred to pupils' participation in the classroom. According to (Metallidou & Viachou, 2007), cognitive engagement of pupils in a classroom is defined as how pupils feel about themselves and their work. Besides that, Skinner and Belmont (1993) elaborates affective engagement of pupils as feel of interest, joy, anxiety, and anger during carried on activities. Therefore, the engagement of pupils in science class room in this research is referred to how actively they are participating or showing interest in learning Science by using song.

In a study by Calvert and Tart 2 (1993) a melody selected from the 1970's Schoolhouse Rock television series was used as a teaching strategy to determine if text was remembered better when played via song or learned verbally and the researcher found that the songs were powerful mnemonic tool to recall what has been taught and were useful to apply the knowledge (Calvert and Tart, 1993). Besides that, according to the research done by Wallace (1994) in four different treatment to see the effectiveness in using song to remember a text compared to via listening, he concluded that "melody of a song able to make a text more memorable compared with listening the text out of the context of the melody" (p.1481).

It is assumed that most children love music and love to sing. Therefore, children will actively take part in the science classroom if the content is taught through singing songs. Besides that, children will find a straightforward way to remember the science content for longer time. According to Chris Brewer (1995), he states that integrating music in a lesson can be used to remember an information. The sound in the song increases interest of one and activates their information mentally, physically and emotionally. He says that content which is put to rhythm and rhyme will help to recall at any time. Besides that, music with the song able to focus and gain one's attention. Music can create a positive learning environment and brings effect on students' attitudes and motivation to learn. This is because, the rhythms of the musical sound can help one focusing their attention on what we learn.

### **Problem Statement.**

In a classroom setting, there are number of group pupils such as active learners and passive learners. All the pupils in the classroom may not able to catch up with flow of teaching style by the educator. Learners are come from different learning and processing information strategies. Not all students are capable with only one teaching and learning strategies. Therefore, the passive learners usually show lack of interest and not really engage in classroom activities as the lesson is boring to them. Pupils usually like to have activities like moving around, kinesthetic which keep them busy doing something to not make the lesson boring especially science lesson.

Therefore, the purpose of this study was to know the experiences of students and teachers when song integrated with music was used as a strategy in the science classroom to increase pupils' engagement in science activities.

The main purpose or objective of the research is to examine whether the effectiveness of song method help in understanding the process of water cycle among Year 5 Science pupils by analyzing their responses from given questionnaire items. Specifically, the study is conducted to fulfill the following objectives;

1. To identify the level of engagement of students before and after using song therapy in Science classroom.
2. To identify if there is any difference in the level of engagement of pupils between two groups before using song therapy.
3. To identify the level of engagement of pupils affected by the teaching song therapy in Science classroom based on the gender.

4. To identify the level of engagement of pupils affected by the teaching song therapy in Science classroom based on their level of achievement.

### Research Design

To test the use of song therapy in teaching Year 5 pupils 'water Cycle 'topic, quasi-experimental research design is implemented. The quasi experimental nonequivalent control group design is shown below in Figure 1 (Gay, Mills, Airasian, 2009). Quasi experiments are experimental experiments in which is assigned by the researcher, but not randomly participants to groups because the researcher cannot simply create groups for the experiment (Creswell, 2008). This quasi-experiment of causal comparison is most suitable in investigating effectiveness of an intervention with the intact groups and it can be used whenever the true experimental design is not done easily (Creswell, 2008; Wallen, 2006). Therefore, the total number of pupils in each group are different.

Group	Pretest	Treatment	Post test
E	O	X	O
C	O	-	O

Figure 1 Quasi Experimental None equivalent Control Group Design

E – Experimental Group      X – Song Therapy Strategy Teaching (STST)

C- Control group              - Conventional Strategy Teaching (CST)

O – Yes      N - No

The experimental group, E would undergo STST meanwhile the control group, C would undergo CST under the same topic for two weeks. The questionnaire will be distributed to both of the groups before the treatment starts. The treatment will be on only for two weeks to avoid the interruption of the teaching period. In this study, two different classes of Year 5 from the same school will be chosen. Ary, Jacobs, and Sorensen (2010), have said that the time table in the classroom cannot be disturbed and rearranged to conduct the research in a school. Therefore, one uses groups that already exist as said by (Creswell, 2008). Hence, the implementation of song therapy in teaching only focuses for two weeks treatments.

### Song Therapy

Song Therapy teaching strategy is used for experimental group. Pupils will be given a song on the rain formation which is downloaded from YouTube. Pupils will sing along with the video and engage actively while singing. The lyrics and the visual shown in the video help pupils to remember the sequence of rain formation well.

### Sampling

In this study, the target group is Year5 primary school pupils. The pupils are from one of the Tamil primary schools in Perak. There are two Year 5 classes. Both classes are categorized as normal class which comprises fast, intermediate and weak students. Two classrooms stated above as two intact groups which is an already exist group like as a class or group is set up independently of the planned experiment (Ary et al.2010). Random sampling is done where coin toss is carried out to determine which is the experimental and control groups in this research. The Song Therapy (experimental group) comprises 40 students. They are 19 males and 21 females. The Conventional Strategy Teaching (control group) comprises of 42 students where there are 15 males and 27 females. Gall, Gall, and Borg (2007) have written that there should be at least 15 participants in each existing group to be compared in experimental research. Therefore, the sample sizes for both groups in this research are appropriate in conducting the research. 28 students with 66.7% from controlled group and 11 students with 27.5% from experimental group obtained Grade A in Science test. Furthermore, the total of 14 students with 33.3% from controlled group and 16students with 40.0% from experimental group obtained Grade B in Science test. There are none obtained Grade C in controlled group but 9 students with 22.5% obtained Grade C in Science test. Grade D also obtained by none in controlled group but 4 students with 10% obtained Grade C in Science test. In overall, Grade A is obtained by most number of the students from the sample in the Science test.

An independent-samples t-test was conducted to compare the students' engagement according to their group in the pretest. Such results reveal that the two groups have the same level of engagement before the experiment which means that any future progress in their engagement level will be according to the teaching method.

### Instrumentation

In this study, a questionnaire with 26 items are adapted and modified based on several engagement questions from the journal of students' engagement in Mathematics. The research is conducted by Qi-Ping Kong (2003), on Students engagement in Mathematics, to investigate or make query on students' engagement in the learning of Mathematics contents among CHC regions. The samples of the research were 4 classes from Grade 5 which are different schools from the city of Shanghai. The researcher has identified 3 dimensions of engagement based on the interview he has done to his samples. He has constructed the items based on the phrases and wordings found in the interview transcripts. The researcher also has considered well established items, such as the Affective Engagement Questionnaire (Miserandino, 1996) and Student Engagement Questionnaire (Marks, 2000). Furthermore, he has referred to Learning Process Questionnaire (Biggs, 1987) to design items on cognitive engagement. The research he has done has shown internal consistency reliability high with the median of 0.86. Likert scale is used in this questionnaire, with options ranged from Agree, Disagree, Not sure.

**Reliability:** The Cronbach's Alpha found is 0.84 is reliable according to Ary et al. (2010) where a coefficient of 0.80 for a test creativity would be judged as excellent.

### Data Analysis

#### Research Q1: Effectiveness of song therapy between pretest and posttest for experimental group.

Considering the difference between pretest and posttest for experimental group, the researcher used paired sample t-test samples. The results included in table 1.

Table 1 Results of Paired Sample T-test for experimental group between pretest and posttest.

	Test	Mean	N	Std. Deviation	Std. Error		df	sig.
					Mean	t		
Cognitive	pre	1.25	40	.28	.04429			
	post	1.63	40	.30	.04811	-5.760	39	0.000
Pair 2	Affective	1.24	40	.36	.05840			
	Affective2	1.50	40	.24	.03897	-3.520	39	0.001
Pair 3	Behavioral	1.68	40	.33	.05277			
	Behavioural2	2.05	40	.95	.15170	-2.210	39	0.033
Pair 4	Engagement	1.28	40	.28	.04518	-5.530	39	0.000
	Engagement2	1.72	40	.34	0.5481			

A paired-samples t-test was conducted to compare the pretest and posttest between experimental group. The results in table (1) shows that there are differences in students' engagement in the pretest (M = 1.2875, SD =.4518) and posttest ((M = 1.729, SD =.5481, t(39) =-5.53, p = 0.05). It is clear from this result that students engagement after using song therapy is higher than before using it. Revealing the effectiveness of song therapy as an effective tool to increase student's engagement. Besides that, there are differences in students cognitive engagement in the pretest (M = 1.2500, SD =.28011) and posttest ((M = 1.6350, SD =.30429, t(39) =-5.76, p = 0.05). It is clear from this result that students' cognitive engagement after using song therapy is higher than before using it. Moreover, there are differences in students affective engagement in the pretest (M = 1.24, SD =.36) and posttest ((M = 1.50, SD =0.24, t(39) =--3.520, p = 0.05). It is clear from this result that students' affective engagement after using song therapy is higher than before using it. Additionally, there are differences in students behavioral engagement in the pretest (M = 1.68, SD =.36) and posttest ((M = 2.0500, SD =.95943, t(39) =-2.210,

$p = 0.05$ . It is clear from this result that students' behavioral engagement after using song therapy is higher than before using it. In general students' level of engagement has increased after using song therapy in Science classroom.

**Research Q2 : Effectiveness of song therapy between posttest for both experimental and controlled group.**

Table 2 shows posttest between both groups.

RESPONDAN	Group	N	Mean	Std. Deviation	Std. Error Mean	t	df	Sig. (2-tail)
Cognitive	Control	42	1.29	.37142	.05	-4.580	80	0.000
	Experimental	40	1.63	.30429	.04			
Affective	Control	42	1.44	.26669	.04	-0.993	80	0.324
	Experimental	40	1.50	.24648	.03			
Behavioural	Control	42	1.48	.62944	.09	-3.150	80	0.002
	Experimental	40	2.05	.95943	.15			
Engagement	Control	42	1.40	.32131	.04	-4.350	80	0.000
	Experimental	40	1.72	.34665	.05			

An independent-samples t-test was conducted to compare the students' engagement according to their group in the posttest. The results in table (2) shows that there are differences in students' engagement in the posttest; controlled ( $M = 1.4086$ ,  $SD = .32$ ) or experimental ( $M = 1.72$ ,  $SD = 0.34$ ),  $t(80) = -4.350$ ,  $p = 0.000$ . It is clear from this result that students' engagement has increased after using song therapy compared to without using it. Moreover, there are differences in students' cognitive engagement in the posttest; controlled ( $M = 1.2905$ ,  $SD = .37142$ ) or experimental ( $M = 1.63$ ,  $SD = 0.30$ ),  $t(80) = -4.350$ ,  $p = 0.000$ . It is clear from this result that students' cognitive engagement has increased after using song therapy compared to without using it. Moreover, there are differences in students' affective engagement in the posttest; controlled ( $M = 1.44$ ,  $SD = 0.26$ ) or experimental ( $M = 1.50$ ,  $SD = 0.24$ ),  $t(80) = -0.993$ ,  $p = 0.324$ . It is clear from this result that students' cognitive engagement has increased after using song therapy compared to without using it. Additionally, there are differences in students' behavioral engagement in the posttest; controlled ( $M = 1.48$ ,  $SD = 0.62$ ) or experimental ( $M = 2.05$ ,  $SD = 0.95$ ),  $t(80) = -3.150$ ,  $p = 0.002$ . It is clear from this result that students' behavioral engagement has increased after using song therapy compared to without using it. In general, experimental group students' engagement has increased compared to control group students after using song therapy instead of without using it.

**Research Q3 : Effectiveness of song therapy in posttest for experimental group Based on Gender.**

Table 3 Results of independent Sample t-test between posttest for experimental group based on the gender.

GENDER		N	Mean	Std.	Std. Error	t	df	sig.
Cognitive2	MALE	18	1.7556	0.25946	0.06116	2.401	38	0.021
	FEMALE	22	1.5364	0.3079	0.06565			
Affective2	MALE	18	1.5394	0.18801	0.04431	0.825	38	0.414
	FEMALE	22	1.4745	0.28675	0.06114			
Behavioural2	MALE	18	1.9444	0.9376	0.22099	-0.625	38	0.536
	FEMALE	22	2.1364	0.99021	0.22099			
Engagement2	MALE	18	1.7461	0.38502	0.22099	0.267	38	0.791
	FEMALE	22	1.7164	0.32054	0.22099			

An independent-samples t-test was conducted to compare the students' engagement according to posttest for the experimental group based on the gender. The results in table (3) show that there no differences in students' engagement in the posttest; male ( $M = 1.7461$ ,  $SD = 0.38502$ ) and female ( $M = 1.7164$ ,  $SD = 0.32054$ ),  $t(38) = 0.267$ ,  $p = 0.791$  based on the gender . It clearly shows that, the mean between gender female and male is not much difference and not significant in comparing gender on the effectiveness of using song therapy. In addition, students cognitive engagement in the posttest for male ( $M = 1.7556$ ,  $SD = .25946$ .) and female ( $M = 1.5364$ ,  $SD = 0.30790$ .),  $t(38) = 2.401$ ,  $p = 0.021$ . Both the mean has

difference and the results shows significant value. It might be because male students mostly responded 'agree' to the cognitive engagement based items compared to female students. Besides that, no differences in students affective engagement in the posttest male ( $M = 1.5394, SD = .18801$ ) and female ( $M = 1.4745, SD = 0.28675$ ),  $t(38) = 0.825, p = 0.414$ . It clearly shows that, the mean between gender female and male is not much difference and not significant in comparing gender on the effectiveness of using song therapy. Furthermore, no differences also in students' behavioral engagement in the posttest male ( $M = 1.9444, SD = .93760$ ) and female ( $M = 2.1364, SD = .99021$ ),  $t(38) = -0.625, p = 0.536$ . The reading shows no significant value in comparing both male and female students' behavioral engagement after using song therapy. In conclusion, there is no difference and no significant value in student's engagement if compare between male and female students' in the experimental group after using song therapy.

**Research Q4 : Effectiveness of song therapy in posttest for experimental group Based on Level of Achievement.**

Table 4 Results of Kruskal –Wallis test between posttest for experimental group based on their level of achievement

**Test Statistics<sup>a,b</sup>**

	Cognitive2	Affective2	Behavioural2	Engagement2
Chi-Square	1.030	2.191	2.581	1.552
df	2	2	2	2
Asymp. Sig.	.598	.334	.275	.460

a. Kruskal Wallis Test

b. Grouping Variable: GRADE

A Kruskal-Wallis test revealed that there was no any significant effect of level of achievement of students on their engagement in Science classroom. ( $H(2) = 7.27, p < .05$ ). Eventhough, students from the experimental group has scored Grade A, B C and D in their previous Science test, it did not affect their engagement in Science classroom. For instance, students' cognitive engagement has significant value = 0.598, students affective engagement has value,  $p = 0.334$ , behavioral engagement has value,  $p = 0.275$  and the overall engagement has value,  $p = 0.460$  which are greater than  $>0.05$ . It clearly shows that, students level of engagement in Science classroom after the posttest is not affected by their level of achievement in Science test.

**Discussion**

The results show that there are differences in students' engagement in the posttest; it is clear from this result that students engagement has increased after using song therapy compared to without using it. This indicated that the song therapy has made difference in students' engagement level to perform better in their learning style in Science classroom. This is supported by (Jensen, 2008) where he says that a content of learning comes along with music and songs is effective in activating multiple neural networks. Songs comes along with music helps the neurons in a human brain in remembering a content for a longer time memory.

The results show that there are differences in students' engagement in the pretest and posttest. It is clear from this result that students' engagement after using song therapy is higher than before using it. Revealing the effectiveness of song therapy as an effective tool to increase students' engagement.

This is supported by the researcher Campbell (1990) on his title 'Multiple Intelligences In The Classroom' stating, songs help them to remember facts well as well as able to increase their self-confidence. This is proved when the respondents gave positive perception towards using song learning where they said by singing they are not only enjoyed but also feel confident when remembering what they have learnt well.

**Based on Gender**

The results show that there are no differences in students' engagement in the posttest between the genders. It clearly shows that, the mean between gender female and male is not much difference and not significant in comparing gender on the effectiveness of using song therapy. The results indicate that the students who are male or female does not matter on giving effect to learn Science through song.

This is supported by research has done by Zainure (2003), on using music with song in teaching and learning Biology process.

#### **Level of Achievement.**

The results show that the engagement of students' level only increased after the active participation in the classroom. This is supported by Brewer (2007), in his research stated that, embedding songs with music is really effective in teaching and learning process. Learning through music with song will help students to remember what they have gone through in the classroom as well as make students actively participate in the classroom.

Nevertheless, there are some suggestions can be made if similar to this research is to be carried out in future.

- a. Increase the number of samples to see more effective result on the effectiveness of song therapy in teaching and learning process.
- b. Besides that, the researcher can use more than one topic from the subject to see more engagement level of students in the classroom with using song as method of teaching.
- c. The researcher might use different songs with music for the focused content rather than using only one.

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## Regulation and Precariatization of Working Life

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### Abstract

- a paper submitted for the 13th International Conference on Social Sciences, Vienna 6-7 Oct. 2017. The regulation of labour market attachment and working conditions now appears to be a thoroughly cultural and political issue, which is just as much a subjection to compulsory flexibility in association with the deregulation of collectively attained rights. Precarious working life is an age-old form of exploitation, expanding in our days to the academic fields of communication work and knowledge work. Sum and Jessop offer an approach to the theoretical understanding of this current epoch. However, their leaning on Foucault together with information science and systems science set a decisive limit to any phenomenological perspective of cultural and political experience – and thus hamper their project of outlining a cultural political economy. Still, Sum and Jessop's important contribution to the notion of a cultural political economy must be recognized, not least when it comes to grasping the precariatization of academic knowledge work and communication work. In the contemporary era of global capitalism, regulation of work takes place in diverse regimes with new modes and objects of governance. Political economy has developed into a phase of globally networked capital, while the power and sovereignty of nation states have turned into an unstable matter. Struggles over the role of digital capital versus labour power dominate expanding domains of communication and knowledge. And individualization has become a widespread condition of labour markets as well as of the organization and performance of work. Social scientist like Castells (2010) and Beck (Beck & Beck-Gernsheim 2001) describe the new socioeconomic and sociocultural condition of global networks and exposed individual life. This new overall condition seems to constitute the framework for political and economic regulation as well as for social and cultural organization. Social networks and individualities are, however, anthropological structures and entities that can't be entirely subsumed under regimes of capital accumulation. Sociality and individuality adhere to the sociocultural 'flesh' and labour power, which include capabilities like existential freedom, creativity and structuring of meaning (cf. Keller 2013). Thus, a most crucial matter of the regulation of work is about the ways in which these existential capabilities are organized (collectively and individually) in praxis and institutions that reflect, of course, the pertinent relations of political and economic power. Social life has been conceptualized along such lines by Foucault. But he does not directly explicate the realities or formalities of the regulation of work. For that purpose we may turn to Jessop and Sum's critique of the regulation approach and their suggestion of a cultural political economy. On that basis, it is possible to point out the importance of the corporeal experience of social meaning that Foucault has helped us to conceive. This is a framework for focusing on the regulation of important aspects of work, such as professionalism, knowledge, and existential freedom, in the perspective of labour power, civil society, and movements of resistance. We appreciate the trans-disciplinary approach to cultural political economy that Sum and Jessop call for, and agree with them in insisting that the aspiration to transcend disciplinary borders should be anchored in ethnographic details of real-world problems and occupied with logically coherent concepts, methods and reasoning that include ontological as well as epistemological and methodological topics. The scope and depth of their theoretical research are admirable, in particular as to the conceptualization of the cultural domain as a fundamental structuration within the political economy, whereby the very notion of regulation is also changed from conventional descriptions of five basic structural forms – the wage relation, the enterprise form and competition, money and credit, the state, and the international regimes, which reflect the institutional configuration of Fordism – to distinction of the inherent contradictions of a particular growth regime, so as to approach Weber in highlighting elements of political capitalism and in particular to follow Foucault's notion of discursive formation of domination and hegemony through social technologies that configure into what he called "dispositives" (Sum & Jessop 2013: 208, 251). Taking on Foucault's micro-social perspective of social technology as the practice of power and knowledge that shapes objective rules and norms together with

subjectivity and identity, the macro-social perspectives of Marx and Gramsci are preserved and reformed as unfolding and concretizing the 'why' matters of regulation and governance, while Foucault only answers the 'how' questions (pp. 205-214, 478). However, this brings us to the crucial problems concerning the conception of politics and culture in association with the socio-technical matters of regulation and governance. Sum and Jessop seem to neglect that questions of 'why' address either functionalist, teleological, or hermeneutic ontologies and epistemologies all of which they are (in line with Foucault) struggling to avoid. Foucault clarifies how objective and subjective aspects of our social being are intertwined in the historical formation of meaningful structures of micro level practices and macro level institutions. But he is very foreign to the fundamental political and ethical concerns of freedom, lived experience and human life values, i.e. the entire phenomenological perspective that he knew well, partly incorporated as trivialities and partly refused strongly in his own thinking, and hopelessly attempted to reinvent in his last philosophical call for a new Socratic ethics. As it has been pointed out by Dreyfus & Rabinow (1983) and also Han (2002), Foucault is occupied with structure to the extent of implying 'regularities' that regulate themselves. He takes our lived understanding of social practices and discourses for granted without explicating it. Sum and Jessop apply information science and systems science concepts such as 'complexity' and 'selection' when it comes to basic notions of political and cultural ontology. This is quite unfortunate to their theoretical conception! They emphasize an existential or cultural 'necessity' of complexity reduction, which is what sense- and meaning-making (i.e. semiosis) is claimed to be about. The reduction of complexity is portrayed as fundamental to the lifeworld, lived experience, learning, and social imaginary that they take up as important aspects of the cultural being. Furthermore, the discursive and semiotic domain of meaning- and sense-making is discerned from the social reality, which is presented as a domain of material structuration. Thus, it is foundational to this cultural political economy that it places cultural semiosis on an equal ontological footing with the 'material' structuration of social relations and forms, as different but coupled forms of complexity reduction, whereby the evolution of new social order takes place through the three 'mechanisms' of variation, selection and retention. After all, human beings are construed as rational and computational actors who have to reduce complexity and make it calculable with certain codes and programmes that are associated with feeling, motives, etc. However, this is an altogether speculative ontology and anthropology! With that point of departure, there is hardly any political or cultural perspective with which to enhance Foucault's sociotechnical structuralism. Theoretical connection with people's actual experience of political and cultural matters is lacking. Foucault has emphasized that power – the influence on the actions of others – is only really interesting in so far as these others maintain their freedom and take on the foreign influence through one's own willed actions. In particular, this is true of the issues of individualization that are pertinent to the late modernity. The technologies of the self that Foucault uncovered in the culture-historical genealogy of the modern project of self-realization are also formed through the needle eye of individual consciousness and will, whereby they are sedimented as instituted meaning and interpretation that binds the individual through its own experience. Nevertheless, the general notion of 'social technologies' in Foucault always leaves entirely open the decisive cultural and political question of subject-object status: how the subjected subjectivity relates to the lived subjectivity, how the regulated social identity of the individual relates to the individual's regulation of one's own social identity. Existential freedom follows from a certain awareness and reflection that is not pre-given with immediate forms of human perception, expression and emotion. We are, therefore, to a considerable extent de-centered in our own experience and behaviour, which has its pre-personal and anonymous levels and dimensions, where we are subject to political and cultural conditions and processes but not acting as considerate and responsible persons who take a stand in politics or ethics. Hence, the important distinction between 'the political' and 'politics' has been unfolded by Lefort, Nancy and others. Sum and Jessop cogently analyze the notion of a knowledge-based economy and the quasi-commodification of knowledge and creativity as elements of the diffusion of neo-liberal policies. The knowledge-based economy is an imaginary regime of accumulation that has remained subordinate to the global rise of finance-dominated accumulation as well as its continuous crisis. Within the university sector in many European countries precarious employment relations and working conditions have become widespread through the latest decades, due to the neo-liberal policy of 'new public management' as well as the particularly feeble collective organization of university employed academics. In Denmark, for instance, a new university law in 2003 at a stroke substituted an ordinary enterprise organization for the academic and democratic forms of organization that has traditionally been characteristic to the universities. This situation illuminates an important aspects of the cultural political economy of knowledge work, namely how the ubiquitous capitalist problematic of individualization is in play as precariatization of academic working life in the university sector.

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## **Law Students' Essay Writing Performance and their Writing Difficulties**

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### **Abstract**

In this study, the researcher used a 5 scale scoring rubric employed by McCann (1989) and Nussbaum and Kardash (2005) as a tool to gauge the overall quality of 60 first year students' writing tasks. The researcher also used a questionnaire to measure the level of students' writing anxiety. Moreover, a semi structure interview is used to investigate the writing difficulties encountered by Thai EFL law students. The results of students' writing tasks provided the valuable understandings that would assist Thai EFL teachers to understand their students' weaknesses. Such valuable description can be used to help Thai EFL teachers improve their teaching activities to meet the demands of their students to develop their writing competences (Flower & Hayes, 1981; Leighton & Gierl; 2007). Knowledge about university students' difficulties with writing is not sufficiently descriptive to effectively identify the right features of students' problems with writing. There is a critical need to know more about the difficulties experienced by Law students, when they compose essays, in order to assess the overall quality of the Law students' writing essays. A 5 scale scoring rubric employed by McCann (1989) and Nussbaum and Kardash (2005) was adopted to gauge the overall quality in this research study. Findings revealed that Law students' writing tasks had weaknesses on various aspects, which lead to ineffective writing. Moreover, Law students experienced the high level of writing anxiety which prevent writing essays effectively.

**Keywords: Writing difficulties, Writing essays, Law students**

### **Introduction**

Many researchers (Ferretti, Andrews-Weckerly & Lewis, 2007; Neff-van Aertselaer & Dafouz-Milne, 2008) have approved that writing is the hardest model in writing. Unfortunately, both ESL and EFL students at the tertiary level often experience difficulties in the use of both generic structure and detail of subject knowledge required in composing writing. Consequently, by means of the pitfalls in language teaching methods of the past, particularly in the writing skill, a number of research studies (Lertpreedakorn, 2009; Promwinai, 2010) have sought to explore and illustrate how writing can be developed by using effective methods to assess the weaknesses of Thai EFL students' writing ability. There is a need to know more about the specific problems students' experience when composing writing essays. Unfortunately, there is a lack of research on writing difficulties that have predominantly focused on the holistic problems in writing essays. Hence, there is a critical need to investigate the effective practice in order to develop students' writing competence. However, the awareness of teaching writing essays has not been changed into effective practice for assessment and instruction of university students. Moreover, research studies on writing difficulties in Thailand are meagre resulting in a shortfall of insights about the problems that Thai EFL students encounter with writing tasks. Furthermore, the results of this study would put forward some recommendations and suggestions for Thai EFL lecturers in selected public universities in Thailand to gain further insights into the weaknesses of their learners' language variants as these insights can be used to develop their teaching programmes and instructions to more effectively support students' writing development.

### **Review of Literature**

#### **Teaching Writing in ESL/ EFL Contexts**

In the area of Second and Foreign Language Instruction, teaching writing has not been changed into an effective way in order to develop students' writing competence. Although, there are a number of teaching strategies for writing in English as a Second Language (ESL hereafter) or English as a Foreign Language (EFL hereafter) contexts, not many ESL/ EFL

writing teachers have a clear understanding on writing approaches. Therefore, much of teaching writing still focuses on a traditional approach that is mainly concentrated on the knowledge about the structure of language and writing improvement as the result of the imitation of input, in the form of texts provided by the instructors. ESL/EFL writing is a hard, complicated and demanding procedure. This difficulty and complexity in ESL/EFL writing arises from the reality that writing accounts for searching out a thesis, fostering support for the claim, formulating, modifying, and finally editing the thesis to ensure an effective, error free writing product. Additionally, ESL/EFL writing is one of the most pivotal genres of language teaching. As claimed by Coffin. (2004, p.3), "students' academic writing continue to be at the centre of teaching and learning in higher education, but it is often an invisible dimension of the curriculum; that is, the rules or conventions governing what counts as academic writing are often assumed to be part of 'common sense' knowledge students have, and are thus not explicitly taught within disciplinary course." To provide an effective ESL/EFL writing instruction is the main responsibility for instructors, researchers, textbook writers and programme coordinators in the area of foreign language teaching, but producing a textbook for most ESL/EFL students is a laborious task because the writing process needs an extensive range of cognitive and linguistic methods of which ESL/EFL students are largely limited. Moreover, research about ESL/EFL writing has developed dramatically over the last 40 years, specifically between the late 1980s and the early 1990s. Generally, there are three main types of ESL/EFL writing strategies including product approach (Silva, 1990; Brown, 2001), process approach (Silva, 1983) and genre-based approach (Hyland, 2003a; Hyland, 2003b).

### **The Difficulties of Writing Essays**

Writing an essay is one of the most prevalent types of assignments set in Thai universities. This genre of writing needs students to generate a well organised essay. Most students at tertiary level have difficulty with generating ideas for writing, planning what to write, organising thoughts, setting goals for effective writing, self-motoring performance and revising for content and mechanics. To write a good piece of writing is often difficult for planning, composing, and revising skills required for effective writing.

Written expression is more effective in social cognitive instances of communication than oral expression. Unlike speaking, writing enables students to convey a message independent of time and space (Hughes, 1996). It is considered man's best academic achievement based on skills or components like mechanics, production, conventions, linguistics and cognition. The act of writing is independent of time and place; the writer has to depend upon formal features to convey the intended meanings. Failure to take advantage of these features correctly causes frustration for the writer (Leisak, 1989). English is the foreign and official language in Thailand as well as an easy language to work with and learn science and technology at higher levels. It is taught as a compulsory subject in schools; however the majority of Thai EFL students cannot communicate properly in English and perceive it as a very difficult subject. Many of the students from the Arts and Humanities areas cannot meet the requirements of the examination in English. The purpose of the study was to explore the difficulties in writing English language. It specifically aimed to know difficulties in writing English language related to grammar, punctuation, L1 interference, vocabulary, and spellings for students with English as a second language. Based on the many research studies, Thai EFL students spend little time in critical writing processes and tend to focus on low-level transcription skills such as handwriting, spelling, capitalization, and punctuation (Graham, 2006; Ka-kan-dee and Kaur, 2015). They are unable to express ideas or demonstrate knowledge in their writing tasks. Additionally, they often struggle with the planning, composing, and revising skills needed for effective writing.

### **Assessment of Writing Performance Issues of reliability and validity in the assessment of writing performance**

According to Weigle (2002), any writing test associated with certain writing, as opposed to completing a selected response or confined production items, can be regarded for performance evaluation. McNamara (1996) recommended that performance evaluation was differentiated in a strong and weak sense. In writing tests English as a foreign language (EFL) and English as a second language (ESL) in the strong sense, the test task will express a real-world task like making an official request, and performance will mainly be judged on real-world criteria as well. The spotlight of performance evaluation is on the thriving of the task completion, and not on the language use in the writing task performance. Messick (1994) stated that the EFL writing is only a medium of the performance and an insufficient circumstance for success. In fact, if aspects of EFL writing ability are highlighted, a larger set of criteria is used to reflect EFL writing ability. Performance of the task itself is the target of the evaluation. On the other hand, in the weak sense of performance evaluation, the centre of the assessment is on the language used. Albeit the task used to make out writing may be similar to real-world tasks, the aim is to bring to light an exposure of writing ability. McNamara (1996) suggested that most language performance tests are weak in this sense. The difference between the strong and weak form of performance assessment is a crucial conceptual attentiveness. For example, as an EFL writing test in the weak sense is established to draw out a performance of the test-

takers EFL writing ability, the scoring criteria are required to clearly express the definitions of the construct of writing competence. Most importantly, raters need to be trained to interpret these criteria in language-related terms. Otherwise, test scores can reflect construct-irrelevant variability such as creativity and neatness. In other words, it is unable to describe the inferences from the task performance to make interpretation in any non-test situation. It is believed that validity of the relevance of test tasks to the expected score representation is considered as the heart of the performance test (Kenyon, 1998).

Messick (1989, p.13) described validity as “an integrated evaluative judgment of the degree to which empirical evidence and theoretical rationales support the adequacy and appropriateness of inferences and actions based on test scores”. To ensure the relevance and validity of a test, test designers are required to regard all features of the testing setting that considerably influence test performance, including the designation of the formulate domain in terms of the knowledge in topic, test requirements, administration circumstances, and criteria for scoring. Such requirements illustrate what features of the test process are prone to affect test scores and need to be controlled (Messick, 1994). Weigle (2002) introduced one valuable means to form a concept that is required for test construction. In regard to this concept, it can be connected to the three stages in Bachman and Palmer’s (1996) framework of test evolution: the design stage, the operationalisation stage, and the administration stage. To insure the validity of the test at the design stage, McNamara (1996) proposed sampling test content from the communicative tasks experiencing the test-takers in the target language utilise setting to insure content validity. The recommended steps comprise consulting with expert counsellors, investigating available sources on the communicative requirements of the target language situation, exploring and classifying communicative tasks in the target language setting, gathering and investigating texts from the target language setting, and deciding on an extensive test procedure.

In the operationalisation stage, data from the design stage is employed to generate test requirements or detailed process for test writers to comply with the directions. According to Douglas (2000), test requirements consisted of a description of the test detail, the criteria for accuracy and sample tasks. To ensure validity at this stage, it is imperative to draw out the components of writing task that are contained in the proper definition of the construct we want to test. For an EFL writing task to draw out the constituents that accurately define the construct, it is recommended that the writing prompt is necessary to be sufficiently clear and peculiar in order to confine possible interpretations (Horowitz, 1991). In addition, scoring rubric that did not precisely reflect the construct being assessed may influence the validity of interpretations made on the underpinning of test results (McNamara, 1996). The rubrics should thus comprise a precise and unambiguous statement of the constituents of the construct that are being measured. Brown and Bailey (1984); Hamp-Lyons (1991) advised that it is crucial to consider rubrics with a greater number of subscales similar to analytic rubrics. It can be said that they are commonly seen as preferred in providing an outstanding overall consistency of scoring.

Construct validation at design and operationalisation stages roughly concurs with what Weir (1988, as cited in McNamara, 1990) categorised as the construction validity *a priori* and *a posteriori*. *A priori* construct validation referred to as *a priori* construct validation in which test content is relied on a precise theory of language and language use. On the other hand, a *posteriori* construct validation, associates with the empirical and statistical validation of the constructs regarded at the earlier stages using test performance information. This second type of construct validation correlates with the third and final stage in Bachman & Palmer’s (1996) test development process, the administration stage. At this stage, we are concerned with gaining evidence that the test scores actually reflect the elements of the construct represented in the design of the test by distinguishing and elucidating construct-irrelevant aspects in the test setting. Therefore, the evaluation of the performance poses a unique set of challenges. However, with reference to the EFL writing evaluation context, indirect procedures of evaluation are more favourable. Following this reasoning, performance tests need a test-taker to illustrate both language knowledge and the use of that knowledge skill in real performance in communicative settings. It thus provides an outstanding predictive validity. Moreover, it yields interpretation that can be made about test-takers’ future performance in real-world situations depended on test performance. This leads to an effective form of evaluation that demonstrates sample facets of language knowledge differently. It did not yield information about real performance in a particular test context or in contexts in the real world. It is unfavourable that most lecturers experience the problem how to define the real world, and attempt to grab that in the test. This reason leads to the problem of how to score the limited sample that is able to be collected in the test; hence the score gives meaning for the target domain. It is suitable to any instructional situations that equip learners to become proficient communicators. Currently, there is an urgent requirement for distinctive sort of scoring in ESL and EFL writing evaluation contexts is to help insure that scores reflects remarkable aspects of writing in a balanced method. In order to achieve a rational balance among all those components of good writing, readers are required to pay attentive attention to all those components. It is believed that readers are needed to pay attention to the multidimensionality

of ESL and EFL writing in particular for a detailed scoring process. An attentively constructed writing proficiency test or diagnostic test with detailed score reporting is not only of great use for large scale proficiency evaluation of writing but is also useful for the program evaluation application of evaluating change in writing. It also gives the possibility for providing useful data that can be employed in language teaching programs for making exquisite initial placements.

It can be concluded that to validate test score interference is to back up the feasibility of the undifferentiating interpretive argument with proper evidence. Therefore, the argument-based approach to validation is regarded in order to adopt the interpretive argument as the framework for gathering and illustrating validity evidence and to give convincing evidence for its interpretations and assumptions, in particularly its most questionable inferences. Therefore, Kane (1992, p. 527-535) suggested that “to validate a test score one (a) decides on the statements and decisions to be based on test scores, (b) specifies the inferences and assumptions leading from the test scores to these statements and decisions, (c) identifies potential competing interpretations, and (d) seeks evidence supporting the inferences and assumptions in the proposed interpretive argument and refuting potential counterarguments”.

### **A holistic scoring rubric for English essays**

With reference to evaluating the overall quality of the participants' written argumentative essays, a 5 scale scoring rubric employed by McCann (1989) and Nussbaum and Kardash (2005) was adopted to rate the overall quality in this research study. This scoring rubric gave rise to a clear cut statement of organization and language use in McCann's (1989) rubric and the detailed description of the effectiveness of argument in Nussbaum and Kardash's (2005) rubric. Peculiarly, this holistic rubric consisted of the following three aspects: the overall effectiveness of argument containing the presence or absence of the potential opposing views, overall organization, and language use. The procedure of validating the holistic rubric required several rounds. In the first round, two raters who are adept English writing instructors teaching English for Academic Purposes 2, individually score 16 writing essays randomly chosen from the information, employing the holistic scoring rubric. With reference to the interrater reliability, the value of coefficient alpha is .82 before negotiation. While rating the essays, the two raters will be cautioned to pay heed to the explicit criteria described in the rubric. Then the researcher will talk over what dimensions of the rubric figure in the scores the raters provide. In the second round, regarding to the feedback from the two raters, the rubric will be improved to ascertain that the descriptions are peculiar and valid. It is imperative that each aspect of the rubric is proper and delineated in the participants' written argumentative essays. In the third round, utilising the improved rubric, the two raters were asked to solely rate another 20 randomly chosen participants' written essays. They were required to note down the criteria for yielding true scores. With reference to the interrater reliability, coefficient alpha value is .88 before negotiation. Then the raters' feedback on the improved rubric is drawn out, and some minor alterations were made. Finally, the researcher and one of the two raters rate all the participants' writing essays employing the final version of the rubric. The score for each participant's essay is the average of two scores from the raters. Therefore, the two raters were needed to discuss and negotiate their scoring until they achieve an agreement.

It should be mentioned that the rubric does not focus on the use of the Toulmin model. The three aspects of the quality of participants' argumentative essays are reflected in the rubric hinged on common criteria for effective essays, as represented in previous research (e.g., McCann, 1989; Nussbaum and Kardash, 2005). In regard to the raters training, exclusive attention is mainly concerned with not displaying bias toward any of the three aspects. In other words, the raters were not guided to any of the three aspects when rating the participants' writing essays.

### **Methodology Research Design**

This research employs a mixed method to investigate the level of writing anxiety of 60 law students by using a questionnaires and a semi structured interview to find out the factors that affect their performances.

The researcher used a 5 scale scoring rubric employed by McCann (1989) and Nussbaum and Kardash (2005) to assess the overall quality of students' writing performance and identify the students' weaknesses in writing essays.

### **Participants**

Data were gathered from 60 first year law students who were enrolled in English for Academic Purposes 2 from a selected public university in Thailand for the academic year 2016. Ethical considerations were adhered to in this study as students' names were not kept anonymous for all data collection procedures and student consent letters were submitted to the students before they decided to participate in the study.

## Research Questions

1. What are the writing difficulties encountered by Thai EFL law students?
2. What are the over all quality of law students' writing performance?
3. What is the level of law students' writing anxiety?

## Research Instruments

Qualitative data were also collected by employing a semi-structured interview to assess the difficulties encountered by 60 law students.

Quantitative data were collected by administrating two sets of writing assignments to the students. These writing prompts were taken from the assignments in the English Academic Purposes 2. These two essay topics were considered as suitable topics for the students to express their ideas. The students were required to choose one topic to write an essay between 250 and 265 words on the topic. The students were given one hour to complete this writing task. Additionally, the researcher also employed a questionnaire to gauge the level of law students' writing anxiety.

## Data Analysis

The quantitative data from the questionnaires were analysed using SPSS to determine the students' level of oral presentation anxiety. A Likert's scale was employed to gauge the level of law students' writing anxiety when they were writing their essays.

The 60 written argumentative essays were gathered from a group of English major students at two selected public universities in Thailand. The written essays were assessed by using a 5 scale rubric scoring to evaluate students' writing assignment. The researcher employed the holistic rubric developed by McCann (1989) and Nussbaum and Kardash (2005) because it provided the clarity to assess the writing submissions and had a high degree of reliability and accuracy. This holistic rubric comprised three dimensions: the overall effectiveness of argument including presence or absence of the possible opposing views, overall organisation and language in general. These three dimensions were chosen to illustrate the quality of an essay relied on general criteria for an effective writing essay.

The two essay topics were distributed to the participants and they were asked to select only one topic to answer the writing prompt. The 60 participants were given one hour to work on this writing task. The two essay topics were given to the participants after the researcher had briefed them about the objectives of the study. This research study aimed to assess law students' writing performance and their weaknesses in writing. Therefore, a total of 60 essays were gathered from law students. The written essays were then systematically rearranged to allow the researcher to trace the written essays back to the participants and to the raters that included two experienced EFL teachers who would be rating all the written essays. The two raters were EFL lecturers from Khon Kaen University, Nong Khai Campus who were proficient in teaching writing.

A semi- structured interview was employed to investigate the writing difficulties when students compose argumentative essays. The purpose of this study was to assess their writing and investigate the weaknesses in their writing essays. The researcher interviewed 60 students and analysed the data by using NVivo 10, a Computer Assisted Qualitative Data Analysis Software (CAQDAS hereafter) to obtain the main barriers in composing writing essays. The researchers used NVivo10 to analyse the data after completing the data transcription. Initially, the researchers constructed the project and the entire transcription document's file was imported into the project. After that the analysing process began:

1. the researcher read the content many times in order to obtain the main themes,
2. the selected themes were used to be coded into NVivo10,
3. another researcher was asked to code the same project,
4. the coding comparison was conducted in order to check inter coder reliability. In this stage, the researchers figured out the agreement level, whether there was agreement or disagreement on each theme or not. If there was no agreement on that theme, the researcher excluded it to keep only the accepted Kappa results above 0.70. Kappa coefficient is employed to measure a proportion of corresponding codes to indicate inter coder reliability.

$$K = ( TA - \sum EF ) \div ( TU - \sum EF )$$

TA= total units of agreement between two users

$\sum EF$  = the expected frequency of agreement occurring by chance

TU = total unit within the sources

### Findings Results the level of law students' writing Anxiety

Level	No.	Percentage
High ( 93 -110 )	45	75.00
Moderate ( 85-92 )	12	20.00
Low ( 34 -84 )	3	5.00
Total	60	100

According to Table 1 shows law students experienced anxiety at the high level (75%) while they were writing essays. Law students with low levels of proficiency are likely to avoid tough and challenging tasks, which they recognise as a personal constraint. These law students have low aspirations and sense of obligation make less effort and may not have, or may quickly lose their confidence to write their essays. In contrast students with a strong sense of capability can build up personal achievement in various ways. They undertake difficult tasks as challenges to be proficient and to provide opportunities for them to demonstrate their strong sense of obligation an endeavour to control the circumstances. Only 5% of the respondents reported to feel low level of writing anxiety, but they believed that their anxiety or worry negatively affected their writing.

### Results of Students' Writing Performance

Sekaran and Bougie (2010) asserted that the Cronbach's alpha coefficient reliability index is acceptable for value above 0.80 and Hair et al. (2010) and Pallant (2010) confirmed the value above 0.70 is satisfying. Table 2 below illustrates the Alpha reliability estimate for interrater's reliability in rating students' writing performance. With 0.90, it confirms that the interrater's reliability score scale given by the two raters possess a high internal consistency. The scale used in this study was observed as reliable and acceptable for assessing students' writing essays.

Table 2

#### *Interrater's reliability analysis*

Number of students	Number of Scale	Cronbach's coefficient Alpha
60	5	.90

Table 3: below illustrates the frequency and percentage of students' writing task:

Scale Score	Frequency	Percentage
Scale 1	13	21.67%
Scale 2	15	25%
Scale 3	20	33.33%
Scale 4	11	18.33%
Scale 5	1	1.67%

Table 3: Frequency and Percentage of Students' writing task

As shown in Table 3, 33.33% of students were rated in scale 3. There were 25 % of students were evaluated in scale 2. There were very few students were rated in scale 4 and 5. Only 1.67 % was rated in scale 5 and 18.33 % in scale 4.

According to the results, it can be concluded that students' writing task have 8 main weaknesses as follows:

1. unfamiliarity with writing rhetorical features
2. insufficient grammar knowledge
3. insufficient in academic vocabulary
4. inability to generate well organised ideas
5. inability to write effective conclusions
6. lack of awareness of the audience's expectation and motivational elements
7. lack of awareness of the planning process of writing
8. inability to think creatively

The findings indicated that Thai EFL students' writing tasks had weaknesses on word choice, grammar and mechanical errors and well-organised structure. These weaknesses were the main barriers which lead to ineffective writing. It was observed that Thai EFL students cannot create persuasive arguments because they used only personal opinions to back up the thesis statement.

In the semi-structured interviews, students were asked whether they liked writing or not. Most students said they did not like writing as evidenced in the excerpts below.

*"I do not like writing at all" Cherry*

*"I hate writing" Metha*

*"I am unskilled for writing because I have no ideas to write" Nancy*

In answering the second question as to whether they like writing. Most students said they do not like to give oral presentations as a tourist guide because they lack confidence in giving oral presentations due to their lack of oral presentation skill which require memorization of the content. The students made the following comments:

*"I do not like writing. I am not confident to express my ideas." Cherry*

*"I am unskilled in writing therefore I hate writing." Nancy*

*"I hate writing because I cannot write a good essay" Metha*

Some students said they like writing but they need to practice writing in order to build up confidence in writing. One of the students stated:

*"Personally, I like writing but I need time to plan for my writing" Bomb*

Students were asked to describe the experience of their previous writing assignment. Most students had anxiety about their writing. Students were very excited which caused them to forget the content. They were not able to write their essays effectively because they lacked training in writing preparation as evidenced in the excerpts below.

*"I had an anxiety about writing an essay because we did not have enough practice before writing." Sai*

*"I worried a lot of while writing an essay. I felt pressured because I could not finish my writing on time." Noah*

*"I am very excited. I have to lessen my own emotional excitement but I cannot control it. Then I forget what I prepared to write" Oil*

Some students can only control their excitement by practice writing every day. One male respondent said that he had to practice writing at home every day to build up confidence in writing. He stated that:

*"I have some excitement but I can control while I am writing an essay but I have to practice writing every day to build up my confidence." Pat*

### **Implication for the Development of Writing Essays**

The aim of this study was to assess the overall quality of law students' writing performance and identify the writing difficulties that students encountered when they compose writing essays. It was noted that researchers, educators and policymakers have been aware of that there is a critical need to settle greater attention to the development of writing teaching for university students. The way to improve writing instruction is to develop insights into the diagnostic evaluation of writing. This type of evaluation provides valuable data about students' weaknesses in writing. Moreover, it is helpful for EFL lecturers in selected

public universities in Thailand to gain further insights into the weaknesses of their students' language variants that can be used to improve their teaching programmes and instructions to more effectively serve students' writing development.

Additionally, it can also be employed as directions for students to develop their writing. The findings of this study can also equip useful recommendations to curriculum planners and material writers and designers to embody components that focus on writing to understand the range of difficulties students experience when they compose writing essays. Such stakeholders can then provide appropriate teaching strategies to develop students' writing competence in the Thai EFL context.

### **Writing Difficulties**

The goal of this study was to examine the difficulties that law students experienced when writing essays. The findings of the study revealed that the main difficulties faced by law students were vocabulary, grammar structure, interpreting the question, fulfilling task demand, evaluation, rhetorical features, awareness of audience's expectation and motivational elements, topic choice, understanding the question, organised ideas, L1 transfer and translating, generating ideas, planning process, specific supporting details, effective conclusion and creative thinking ability. It has to be pointed out that law students are incompetent in their knowledge of vocabulary and grammar structure. In addition, the students encountered various difficulties ranging from planning the process to generating ideas. These difficulties were crucial barriers in writing essays in the Thai context. The results of this study were similar to the study carried out by Lertpreedakorn (2009) and Kakan-dee and Kaur (2015) whereby they stated that Thai EFL students are incompetent in areas ranging from grammar structure to putting together organised ideas. Similarly, Bennui (2008) reported that most Thai EFL university students are incompetent in their writing skill because of their lack of preparation of English writing and this problem arose due to inadequate performance in their classroom practice. Future research should examine the relationship between different types of writing performance among students.

The description and perspective of the difficulties drawn out by the writing performance promotes the idea that this research approach can be used feasibly as a diagnostic tool to gain valuable comprehension into students' weaknesses. The overall quality of students' writing performance supported understanding about the difficulties that Law students encountered with writing. In addition, the findings highlighted weaknesses in students' ability about writing essays. With the reference to what was revealed by the students' writing performance, this diagnostic tool has the potential to provide lecturers with useful information on how to make interpretations about their students' ability writing.

### **Conclusion**

The aim of this research study was to gauge the overall quality of students' writing performance and identify the difficulties that Thai EFL English major students faced when writing argumentative writing. The findings showed that providing helpful information about learners' weaknesses in their writing task can raise awareness among EFL instructors and learners. This assessment can also be combined with other appropriate teaching approaches toward making significant contributions in having a detailed profile of students' weaknesses in writing argumentative essays. Such valued descriptions would be beneficial for EFL instructors to design and develop their writing programmes and teach effectively to further support learners' writing development.

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## Insurance Sector Analysis in Turkey: An Empirical Study

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### Abstract

The purpose of this study is to comprehend the statistical relation between the amount of turnover produced by an employee in insurance companies in Turkey, used as a dependent variable. Whereas, the independent variables are three. The first independent variable is the ratio of number of staff holding a Bachelor (BA) over the number of all employees of each insurance company. The second independent variable is the ratio of the number of sales department crew over number of all employees of each insurance company. The third independent variable is the ratio of number of male salespeople over the number of all sales department of each insurance company. Results indicate that the ratio of the number of male sales department crew over the number of all employees of each insurance company has a negative effect on the average turnover produced by one employee. Moreover, the ratio of number of male salespeople over the number of all sales department of each insurance company is found to have positive effect on the dependent variable. Lastly, the ratio of the number of staff holding a BA degree over the number of all employees of each insurance company has no significant effect on the dependent variable. This study also provides a summary of the basic terms of the concept of insurance and risk. Considering that the profitability is a very crucial issue for the insurance sector as for all other sectors, the profitability ratios of the insurance companies for the last 10 years are provided and analyzed within the study.

**Keywords:** Employment, Insurance, Profitability, Risk, Turnover

### Introduction

#### THE CONCEPTS OF INSURANCE AND RISK

Since insurance can be understood as transfer of risk (Muller, 1981), it is the main concept to be covered within the insurance literature. There are different ways of explaining the concept of risk, but the conceptualization of the risk within insurance perspective is very crucial for this study. Mowbray and Blanchard (1961) define risk as "uncertainty" (p.3).

Two famous figures of the sector Nömer and Yunak (2000) state that the term risk is used in three different ways in insurance terminology:

1. "Risk is used with a meaning of danger in the sense of the reason of probable loss"
2. "Risk sometimes means the probability of occurrence of the certain danger. For instance, in this sense, we can state that with the advance alarm system the risk of fire in a factory can be brought down".
3. Risk can refer the object or the person in case of a danger" (p.7).

Risks in general, as the above mentioned scholars explained, have been classified into two main categories: The first category is actual (Pure) risks and speculative risks in the sense of their occurrence. In actual risks, there cannot be any expectation of income for the party that is subject to the risk. Fire and traffic insurances fall on the actual risks. On the other hand, in speculative risks, considering that there is an expectation of profit, the expectation of loss is there, as well. Gambling and stock market investments fall on the speculative risks. The second category to classification of risk is the fundamental risks and particular risks (Nömer and Yunak, 2000). Fundamental risks are the ones that are far away from being individual such as: Catastrophic disasters, war, and inflation. Particular risks are the ones that have individual characteristic such as traffic accident, theft, and so on.

After clarifying the term risk, various definitions of the term insurance are provided by difference scholars in the following paragraphs.

According to Magee (1947) book that the insurance is defined as follows:

"Insurance is a contract in which the one party in consideration of a price paid in him adequate to the risk, becomes security to the other that he shall not suffer from damage, or prejudice by the happening of the perils specified to certain things which may be exposed to them" (p.43).

Moreover, Magee states that insurance as a business institution has a different meaning. Magee also states that as business institution insurance has been defined as a plan by which large numbers of people associate themselves and transfer, to the shoulders of all, risk that attached to individuals (p.43).

According to Williet (1901) insurance is defined as follows:

"We should define insurance, then as the social device for making accumulations to meet the uncertain losses of capital which is carried out through the transfer of the risks of many individuals to one person or to a group of persons. Wherever there is accumulation for uncertain losses or wherever there is transfer of risk, there is one element of insurance; only where these are joined with the combination of risks in a group is the insurance complete" (p.p. 6-7).

Whereas, the Longman dictionary definition of insurance is: "The arrangement with a company in which you pay them money, especially regularly, and they pay the costs if something bad happens, for example if you become ill or your car is damaged".

On the other hand Türkiye Sigorta ve Reasürans Şirketleri Birliği defines insurance as "The transfer of risk, for the group of people who are subject to face the same kind of risk by collecting some amount of money which can only be used for the coverage of the probable risk that might occur" (Türkiye Sigorta ve Reasürans Şirketleri Birliği, 2011).

Two famous figures of the sector Nömer and Yunak (2000) define insurance as: "Economic arrangement of the people that are subject to face that risk by paying some amount of money in order to cover the losses of the people only for that risk" (p.10).

Whereas, Davis, Hood and Stein (1997) provide three different definitions about insurance. The first definition is as follows:

"Insurance is a risk transfer mechanism, whereby the individual or the business enterprise can shift some of the uncertainty of life on the shoulders of others. In return for a known premium, usually a very small amount compared with potential loss, the cost of that can be transferred to the insurer" (p.1).

Second definition is as follows:

"Insurance can be defined from two points of view. First insurance is the protection against financial loss provided by an insurer. Second insurance is a device by means of which the risk of two or more persons of firms are combined through actual or promised contributions to a fund of which claimants are paid. From the viewpoint of the insured insurance is a transfer device. From the viewpoint of the insurer, Insurance is a retention and combination device" (p.1).

Third definition is as follows:

"It is suggested that a contract of insurance is any contract (Merwe, 1970) whereby one party assumes the risk of an uncertain event, which is not within his control, happening at a future time in which the other party has an interest, and under which the party is bound to pay money or provide its equivalent if the uncertain event occurs" (p.1).

The organization of insurance is mainly made up of the 'Insurance company', Insurance Policy' and the 'Insured'.

These terms are defined by Türkiye Sigorta ve Reasürans Şirketleri Birliği (TSRSB)

(In English: Turkish Union Insurance and Reinsurance Companies of Turkey) as follows:

"Insurance company is the party that is authorized to issue insurance policy by the appropriate authorities according to related law and legislation" (Insurance, 2011, para.3).

"Insured is the party that might face the risk. Insured as a party of the insurance contract (Insurance policy) is authorized the claim the compensation of the loss in case of an occurrence of it" (Insurance, 2011, para. 3).

Insurance policy is "the written and legal proof of the contract between the insurance company and the insured" (Insurance policy, 2011, para.1).

Park (1809) on the other hand states that "Policy is the name given to the instrument by which the contract of indemnity is affected between the insurer and the insured; and it is not like most contracts signed by both parties but only by the insurer..." (Park, 1809, p.1).

Policy mostly contains the definition of both, insurer and the insurance company, explanation about the subject of insurance, coverage, limits, deductions, duration of the policy, premium to be paid, the issuance date of the policy and other responsibilities and duties of the parts of the insurance policy.

## **THE HISTORY OF INSURANCE**

When we briefly look at the history of insurance we see that the concept itself is very old that it has a history of more than 4000 years. Trennery (1926) states that, "Insurance, develops in connection with Transportation hazards" (Trennery, 1926, p.5).

"So far as extant records furnish evidence, loans of type known during the middle ages by the terms 'bottomry' and 'responlencia' served as the earliest means of in general commercial use to effect of the burden risk" (Trennery, 1926, p.5).

Magee (1947) brings evidence from Babylon and states that:

"Evidence from Babylon by no means conclusive, warrants a presumption that a contract similar to bottomry was known to the merchants of that country and may have originated with their commercial expansion as early as 4000-3000 BC" (Magee, 1947, p.4).

What TSRSB provides basically coheres with what put forward by Magee (1947). According to TSRSB web page:

"The first insurance like activity throughout the history took place in Babylon four thousand years ago. As the trade center of the period equity owners that awarded a loan to the caravan traders, deleted their debt in case of robbery or ransom payment however they charge a little bit more than when they collected their money as the allowance of the risk that they carried. This became a law during Hammurabi. This is the first example of risk sharing in overland transportation" (Date of insurance, 2011, para. 1).

Hindus historically can be considered as the second nation that seemed to be into insurance, as well. According to Walford (1871) "By the Hindus B.C. or earlier intimates that the insurance feature of the evidence from India that the bottomry was practiced contract was understood" (Walford, Layton and Charles, 1871, p. 334).

What TSRSB provides about the insurance or insurance like activities is below:

"During BC 600 Hindus started signing credit agreements which seemed to be insurance like as well. These agreements set examples for the medieval time transport insurance"

(Date of insurance, 2011, para, 2).

According to Trennery (1926) it is well established that the contract is well understood in ancient Greece as early as the fourth century before the Christian era and was used in connection with maritime loans. Later insurance like activities were observed in regions where sea transport was developed.

Duer (1845) gives the same kind of information in his book as well.

"The same form of loan agreement was adopted by the Romans in their commercial practice and following them by the Maritime nations of Europe during the middle ages". The bottomry contract was widely known and extensively used by the ancient Romans in the ordinary course of business, and the contract is its essential the same contracts as that developed by the Greeks" (Duer, 1845, pp. 20-22).

Roby (1902) states the following about the same issue "Trajeticia pecunia, the term applied in Roman law to lent on bottomry referred to money lent in mercantile adventure beyond the sea with repayment conditional upon the safe arrival of the security at its destination" (Roby, 1902, p. 75).

Below can be found the TSRSB explanation of the issue:

"Among Greeks, Romans and Carthaginians there were traders who awarded loan on the amount of cargo that the ship had for not fletching the harbor and when the ship fletched the harbor they received their money back and the charged substantial amount of interest. The amount of interest charged was not favored by the church and was prohibited afterwards. Most probably this prohibition caused the merge of idea of receiving premium on the basis of a probable danger, namely the idea of insurance of modern times" (Date of insurance, 2011, para. 3).

The first premium based insurance was observed in Geneva, Venice and Florence AC during 1250s (Date insurance, 2011, para. 4).

"But still insurance of modern times came to the scene in the 14 century. With the changes in the Economic environment trade developed incredibly stating from the 14.century. Italy as the leading figure in Sea Trade felt the need of the insurance and the sea insurance as a concept emerged there" (Date of insurance, 2011, para.4).

The first agreement which is considered to be the first insurance contract dated October 23rd 1347 and secured the cargo of the ship 'Santa Clara' that left Geneva and fronted Majorca. The first insurance company was established in Geneva in 1424.

The first legislation about insurance was enacted was Barcelona Mandate in 1435. Duer (1845) states that: "The first definite ordinances concerning insurance as a specialized contract come from Spain. Moreover, he says that with the ordinances of Barcelona in the 15<sup>th</sup> century marine insurance became an established institution After Italy's startup it is observed that sea insurance developed in England especially in the 18th century" (Duer, 1845, p. 20).

According to Swiss Re (2013) world today spends hundreds of billions of USD in risk protection. Economic development, innovation, industrialization would not have prosper to this stage without the private insurance. Only in 2012 there were 4613 billion of USD spent on insurance, worldwide. Private insurance sector increased by acting cautiously to all challenges and changes. Even in the latest economic crisis the insurance sector was less affected than other businesses. Therefore, today life cannot be imagined without risk protection(Swiss Re, 2013, para. 1-2).

Regarding the private insurance, Turkey is moving towards world's trends. According to Firat (2016) Turkey is placed the 63th in the world in respect to insurance density. "The developed countries are on top rows and the per person premium in these countries are 40-50 times than in Turkey. In terms of total premium to GDP rate, Turkey's stays at near last rows" (p.56).

### **Types of Insurance**

There are different conceptualizations (Bourgin, 1949; Taylor and Murrey, 1982; Stubbart, 2005) and classifications of insurance products in and out of Turkey, insurance will be classified into two main categories in our study:

1. Elementary Insurance (In Turkish: Elementer Sigorta)
2. Life Insurance (In Turkish: Hayat Sigortası)

There are subdivisions under each category and this differentiation is especially very crucial in Turkey. Because insurance companies in Turkey get separate licenses in order to issue policies for Elementary Insurance and Life Insurance.

After providing the names of the types of insurances we will give definitions of the most important ones.

### **Elementary Insurance**

The main types of Elementary insurance are given below:

Auto Insurance (Kasko-Traffic); Home insurance; Health insurance; Accident, sickness and unemployment insurance; Causality insurance; Earthquake insurance; Flood insurance; Marine insurance; Aviation insurance; Transportation insurance; Liability insurance; Credit insurance; Farm insurance; Third party liability insurance; Employer's liability insurance; Product liability insurance; Professional indemnity insurance; Personal accident insurance; Financial loss insurance; Loss of profit insurance and so on.

### **Life Insurance**

Life insurance category includes:

- Personal Accident Insurance
- Health Insurance
- Life Insurance companies in Turkey can issue the policies below

### Retirement Funds

Some of the insurance types such as Personal accident, Health insurance and Health voyage insurance have been stated both under elementary and life insurance but the Treasury authorizes companies of both kind to issue the mentioned types of insurance policies.

Heubnert (1947) states that "Life insurance in its simplest form undertakes to protect the insured's family, creditors or others against pecuniary loss which may be outgrowth of the death of the insured" (pp. 6-10).

All kinds of insurance rely on the same reasoning which is sharing the risk. Life insurance and retirement funds are considered to be another insurance type and the companies get certification through another process in order to issue Life insurance and Retirement fund policies.

**Table 1**

### Number of Insurance Companies in Turkey Within Last 10 Years

Year	ELEMENTARY INSURANCE COMPANIES	LIFE INSURANCE COMPANIES	TOTAL
2005	53	26	79
2006	47	25	72
2007	54	25	79
2008	55	25	80
2009	59	26	85
2010	57	28	85
2011	59	27	86
2012	58	26	84
2013	60	29	89
2014	63	29	92
2015	62	28	90
2016	62	27	89

**Source:** Türkiye Sigorta ve Reasürans Şirketleri Birliği (2011).

Since Insurance sector is very dynamic it is not easy to measure the written premiums of life insurance companies because they keep changing owners, they merge with each other and law about the retirement funds was declared relatively new it is not easy to get meaningful figures. The top 10 elementary companies have not lost their position to be in the first ten in last seven years. Anadolu and Axa exchanged places so did Yapı Kredi and Ergo but they kept their position in the top 10.

### Profitability Analysis of Turkish Insurance Companies Between 2006 and 2015

Profitability analysis for the insurance sector is an area that is very crucial for the sustainability of the insurance companies (Duett and Hershbarger, 1992). In this section profitability analysis of insurance companies is conducted. In order to obtain the ratios, the cumulative financial statements of the insurance companies that are on the web page of TSRSB are used.

The data below were obtained from the cumulative Balance Sheets of Insurance companies which were taken from the web site of TSRSB (Table 4 and Table 5). In Table 6, net profits of the insurance companies are presented. In Table 7, the premiums of insurance companies are given.

**Table 2****Assets of Insurers in Years 2006-2015**

		Current Assets	Long Term Assets	Total Assets
2015	Elementary	30,217,522,420	3,510,526,623	33,728,049,043
	Life	29,911,860,147	31,934,449,755	61,846,309,901
	Total	60,129,382,566	35,444,976,378	95,574,358,944
2014	Elementary	25,734,633,630	2,489,243,320	28,223,876,949
	Life	25,795,869,499	25,008,408,043	50,804,277,541
	Total	51,530,503,129	27,497,651,362	79,028,154,491
2013	Elementary	21,833,338,371	2,481,285,431	24,314,623,801
	Life	25,067,123,262	13,055,305,103	38,122,428,365
	Total	46,900,461,633	15,536,590,534	62,437,052,167
2012	Elementary	16,691,464,378	2,262,849,104	18,954,313,482
	Life	21,826,383,224	10,067,673,555	31,894,056,779
	Total	38,517,847,602	12,330,522,660	50,848,370,262
2011	Elementary	14,363,658,534	1,943,964,837	16,307,623,370
	Life	16,949,560,377	7,639,031,216	24,588,591,593
	Total	31,313,218,911	9,582,996,053	40,896,214,964
2010	Elementary	12,377,771,737	1,905,365,172	14,283,136,909
	Life	14,644,430,847	6,200,559,284	20,844,990,131
	Total	27,022,202,584	8,105,924,456	35,128,127,040
2009	Elementary	12,683,217,225	2,260,382,384	14,943,599,609
	Life	12,098,308,367	4,212,727,066	16,311,035,433
	Total	24,781,525,592	6,473,109,449	31,254,635,042
2008	Elementary	10,456,140,977	2,576,411,006	13,032,551,983
	Life	10,040,619,764	3,021,121,561	13,061,741,326
	Total	20,496,760,742	5,597,532,567	26,094,293,309
2007	Elementary	7,984,068,327	3,375,397,394	11,359,465,721
	Life	8,151,140,613	2,249,897,483	10,401,038,096
	Total	16,135,208,940	5,625,294,877	21,760,503,817
2006	Elementary	6,217,402,411	2,838,076,401	9,055,478,812
	Life	6,897,926,015	1,322,904,921	8,220,830,936
	Total	13,115,328,427	4,160,981,322	17,276,309,749

**Source:** Türkiye Sigorta ve Reasürans Şirketleri Birliği (2011).

When we look at the Table 2 we see that the total assets in general are increasing for the sector from year to year. Elementary insurance companies' total long-term assets figures dropped down till 2010 but starting from 2011 there is a gain increasing pattern in the long-term assets of the elementary insurance companies. Life Insurance companies on the other hand are increasing their both long term and short-term assets every other year.

**Table 3 .Liabilities, Owners' Equity of Insurers in Years 2006-2015**

		Liabilities (S.T)	Liabilities(L.T.)	Owners' Equity	Liabilities+QE
2015	Elementary	25,349,262,302	845,667,632	7,533,119,111	33,728,049,045
	Life	22,726,985,144	34,255,944,540	4,863,380,218	61,846,309,902
	Total	25,349,262,302	35,101,612,172	12,396,499,328	95,574,358,947
2014	Elementary	19,405,803,710	706,522,861	8,111,550,381	28,223,876,953
	Life	19,100,218,841	27,374,940,148	4,329,118,552	50,804,277,541
	Total	38,506,022,552	28,081,463,010	12,440,668,933	79,028,154,494
2013	Elementary	16,718,964,897	665,383,960	6,930,274,944	24,314,623,801
	Life	18,801,478,387	15,557,269,157	3,763,680,823	38,122,428,367
	Total	35,520,443,284	16,222,653,117	10,693,955,767	62,437,052,168
2012	Elementary	13,277,604,335	612,711,959	5,063,997,187	18,954,313,481
	Life	15,742,037,674	12,636,436,562	3,515,582,546	31,894,056,781
	Total	29,019,642,009	13,249,148,520	8,579,579,733	50,848,370,262
2011	Elementary	10,606,450,142	547,190,719	5,153,982,512	16,307,623,373
	Life	11,445,229,193	10,067,628,495	3,075,733,905	24,588,591,593
	Total	22,051,679,335	10,614,819,214	8,229,716,417	40,896,214,966
2010	Elementary	8,942,825,463	311,949,895	5,028,361,551	14,283,136,908
	Life	9,957,967,168	8,720,314,300	2,166,708,664	20,844,990,131
	Total	18,900,792,631	9,032,264,194	7,195,070,215	35,128,127,040
2009	Elementary	7,571,493,896	209,828,872	7,162,276,840	14,943,599,609
	Life	7,942,297,277	6,709,937,313	1,658,800,843	16,311,035,433
	Total	15,513,791,173	6,919,766,185	8,821,077,683	31,254,635,042
2008	Elementary	7,194,517,956	223,754,710	5,614,279,317	13,032,551,983
	Life	5,877,443,130	5,776,885,351	1,407,412,845	13,061,741,326
	Total	13,071,961,087	6,000,640,061	7,021,692,162	26,094,293,309
2007	Elementary	5,464,492,022	199,761,500	5,695,212,199	11,359,465,721
	Life	4,750,819,841	4,497,337,821	1,152,880,434	10,401,038,096
	Total	10,215,311,863	4,697,099,321	6,848,092,633	21,760,503,817
2006	Elementary	4,441,801,045	507,826,919	4,105,850,849	9,055,478,813
	Life	3,936,940,796	3,346,661,601	937,228,539	8,220,830,936
	Total	8,378,741,841	3,854,488,519	5,043,079,389	17,276,309,749

**Source:** Türkiye Sigorta ve Reasürans Şirketleri Birliği (2011).

The Table 3 provides similar data with respect to Life Insurance companies again. Life Insurance companies' liabilities of each kind are increasing from year to year, but the figures of the Elementary Insurance companies are not that linear. Since short term liabilities are increasing linearly for the Elementary Insurance companies especially the Owner's Equity figure decreased by approximately 25% in 2010. But afterwards there is an increasing trend in the figures of Owner's Equity for the Elementary Insurance companies.

**Table 4. The net profit of insurance companies in years 2006-2010**

		Net Profit (TL)
2015	Elementary	-576,959,559
	Life	826,555,204
	Total	249,595,645
2014	Elementary	729,528,617
	Life	658,874,807
	Total	1,388,403,424
2013	Elementary	768,053,434
	Life	462,135,572
	Total	1,230,189,006
2012	Elementary	-657,768,672
	Life	437,078,501
	Total	-220,690,171
2011	Elementary	-15,429,080
	Life	344,549,410
	Total	329,120,330
2010	Elementary	-185.534.008
	Life	300.278.771
	Total	114.744.762
2009	Elementary	181,810,570
	Life	273,694,337
	Total	273,694,337
2008	Elementary	595,954,128
	Life	245,268,875
	Total	841,223,003
2007	Elementary	423,741,638
	Life	205,796,266
	Total	629,537,903
2006	Elementary	152,766,945
	Life	77,731,886
	Total	230,498,831

**Source:** Türkiye Sigorta ve Reasurans Şirketleri Birliği (2011).

Table 4 shows that in the first three years the Elementary insurance companies had more profit than the Life Insurance companies but in 2009 the amount of profit that the life insurance companies had exceeded the Elementary Insurance companies and at last in 2010 the Elementary Insurance companies declared loss. After 2010 elementary insurance companies declared loss except 2013 and 2014 while life insurance companies declare profit every year.

**Table 5*****The Premiums of insurers in years 2006-2010***

		Premiums (TL)
2015	Elementary	27,264,486,899
	Life	3,761,410,730
	Total	31,025,897,629
2014	Elementary	22,709,549,092
	Life	3,280,003,588
	Total	25,989,552,680
2013	Elementary	20,834,288,077
	Life	3,395,327,657
	Total	24,229,615,734
2012	Elementary	17,115,934,207
	Life	2,710,826,393
	Total	19,826,760,600
2011	Elementary	14,479,407,092
	Life	2,685,674,090
	Total	17,165,081,182
2010	Elementary	11.948.144.242
	Life	2.181.250.027
	Total	14.129.394.269
2009	Elementary	10.614.317.698
	Life	1.821.653.559
	Total	12.435.971.258
2008	Elementary	10.203.673.200
	Life	1.576.208.875
	Total	11.779.882.075
2007	Elementary	9.597.468.685
	Life	1.412.198.649
	Total	11.009.667.334
2006	Elementary	8.068.170.649
	Life	1.385.926.144
	Total	9.454.096.793

**Source:** Türkiye Sigorta ve Reasürans Şirketleri Birliği (2011).

Table 5 shows that there is a very linear pattern with respect to the turnovers of both Elementary and Life Insurance Companies. Every other year the turnover is increasing with approximately similar ratios.

### **Profitability Ratios**

Based on the financial statements provided in the previous section, three profitability ratios of the insurance companies between 2006 and 2015 are calculated. These profitability ratios are return on Sales (ROS), Return on Assets (ROA) and Return on Equity (ROE). The results are provided in Table 6.

**Table 6*****Profitability ratios of insurance companies in years 2006-2010***

		ROA	ROE	ROS
2015	Elementary	-1,71%	-7,66%	-2,12%
	Life	1,34%	17,00%	21,97%
2014	Elementary	2,58%	8,99%	3,21%
	Life	1,30%	15,22%	20,09%
2013	Elementary	2,67%	11,08%	3,69%
	Life	1,21%	12,28%	13,61%
2012	Elementary	-3,42%	-12,99%	-3,84%
	Life	1,37%	12,43%	16,12%
2011	Elementary	-0,09%	-0,30%	-0,11%
	Life	1,40%	11,20%	12,83%
2010	Elementary	-1,30%	-3,69%	-1,55%
	Life	1,44%	13,86%	13,77%
2009	Elementary	1,22%	2,54%	1,71%
	Life	1,68%	16,50%	15,02%
2008	Elementary	4,57%	10,61%	5,84%
	Life	1,88%	17,43%	15,56%
2007	Elementary	3,73%	7,44%	4,42%
	Life	1,98%	17,85%	14,57%
2006	Elementary	1,69%	3,72%	1,89%
	Life	0,95%	8,29%	5,61%

**Source:** Türkiye Sigorta ve Reasürans Şirketleri Birliği (2011).

Table 6 shows that the profitability ratios of Life Insurance companies are higher than elementary Insurance Companies in general. In 2010, profitability ratios of the Elementary Insurance companies are all negative due to the declaration of cumulative loss of the sector. In 2009, the profitability ratios are all positive. Life Insurance companies, on the other hand, have positive ratios in 2010. Even if the ratios are positive for Life Insurance companies in 2010, all three ratios are less than 2009's figures. In 2009, we figure a noticeable decrease in the profitability ratios of the Elementary Insurance companies compared to 2008 ratios. The ROA of 2008 for elementary insurance companies was 4,57% in 2008 and 1,22% in 2009. ROE of Elementary insurance companies decreased from 10,61% to 2,54% and ROS decreased from 5,84% to 1,71%. There are very obvious decreases. The figures of the Life Insurance companies from 2008 to 2009 have changed very slightly that the ratios of the changes are less than 10%.

In 2008, a positive change is observed when compared with 2007 figures for Elementary Insurance Companies. ROA increased from 3,73% to 4,57%; ROE increased from 7,44% to 10,61% and ROS increased from 4,42% to 5,84% for Elementary Insurance Companies. The ratios for Life Insurance companies on the other hand decreased very slightly that, it is possible to say that there is no difference from 2007 to 2008 for Life Insurance Companies with respect to their profitability ratios. In 2007, the ROA and ROE figures of both Elementary and Life Insurance companies increased more than 100% when compared with 2006 figures. But the ROS figures increased even more. Life Insurance Companies' 2007 ROS figure is approximately three times more than 2006 ROS figure. Elementary Insurance Companies' ROS figure again increased from 1,89% to 4,42%.

Starting from 2011 Elementary Insurance Companies ROAs ROEs and ROSs have negative values except 2013 and 2014 while Life Insurance companies had always positive figures with respect to ROAs ROEs and ROSs.

## METHODOLOGY

Linear regression has been utilized in order to determine the effect of the independent variables of the study (the ratio of number of BA degree holding staff over number of all employees of each insurance company, the ratio of the number of sales department crew over number of all employees of each insurance company, the ratio of number of male salespeople over member of all sales department of each insurance company) on the dependent variable (the amount of turnover produced by an employee in insurance companies in Turkey). Statistical Package for the Social Sciences (SPSS) has been used for the analysis. The data were available at the web-page TSRSB. The hypotheses of the study are as follows:

Hypothesis 1: The ratio of number of BA degree holding staff over number of all employees of each insurance company affects the amount of turnover produced by an employee in insurance companies.

Hypothesis 2: The ratio of the number of sales department crew over number of all employees of each insurance company affects the amount of turnover produced by an employee in insurance companies.

Hypothesis 3: The ratio of number of male salespeople over member of all sales department of each insurance company effects the amount of turnover produced by an employee in insurance companies.

The dependent variable turnover is considered as the average amount of premium that one employer can produce. It is calculated by dividing the total amount of turnover by the number of people working within the insurance company. The other figures meaning the independent variables are all percentages. The turnover figures that the study has are mostly six or seven digit numbers that the significance figures of the variables are not in the acceptable interval. That is why the dependent variable has been converted the logarithmic function that the analysis would give more reliable results. Below table 5 presents the coefficients and the significance rates of the variables.

	Unstandardized Coefficients		Standardized Coefficients	T	Sig.
	B	Std. Error	Beta		
(Constant)	13,377	1.088		12,295	0.000
Univ Total	0,012	0.017	0.114	0,725	0.474
Males Total	-0.079	0.022	-0.663	-3.522	0.001
Males sales sales	0,016	0,008	0,393	2,115	0,043

As it can easily be seen above the significance rate of the ratio of number of BA degree holding staff over number of all employees of each insurance company is above the acceptable rate that it will be converted to a logarithmic function in order to eliminate the significance problem.

	Unstandardized Coefficients		Standardized Coefficients	T	Sig.
	B	Std. Error	Beta		
(Constant)	11,518	1.088		12,295	0.000
Ln (univ) Total	0,632	1,001	0.100	0,631	0.532
Males Total	-0.078	0.022	-0.658	-3.492	0.001
Males sales sales	0,016	0,008	0,392	2,096	0,044

Even if the ratio of number of BA degree holding staff over number of all employees of each insurance company is converted to a logarithmic function, the significant rate is still not acceptable. Eliminating it from the equation seems to be the best solution.

	Unstandardized Coefficients		Standardized Coefficients	T	Sig.
	B	Std. Error	Beta		

(Constant)	14,126	0.339		41,664	0.000
Males Total	-0.075	0.021	-0.629	-3.476	0.001
Males sales sales	0,015	0,007	0,367	2,026	0,051

Eliminating the ratio of number of BA degree holding staff over number of all employees of each insurance company overcomes the above problem that the significance ratios are at the acceptable level at the 90 percent confidence level.

	Sum of Squares	df	Mean Square	F	Sig.
Regression	10,270	2	5,135	6,048	0.006b
Residual	27,168	32	0.849		
Total	37.438	34			

Table 7  
*Model  
Summary*

R	R Square	Adjusted R Square	Std. Error of the Estimate	Durbin-Watson
0.524	0.274	0.229	0.92141	1.471

ANOVA table, table 6, presents that our model does not have any significance problems. Moreover, the summary of the model is also given in Table 7.

Therefore, findings of the linear regression indicate the following:

- 1- The ratio of number of BA degree holding staff over number of all employees of each insurance company has no significant effect on the turnover.
- 2- The ratio of the number of sales department crew over number of all employees of each insurance company negatively affect the amount of turnover produced by an employee in insurance companies
- 3- The ratio of number of male salespeople over member of all sales department of each insurance company positively effects the amount of turnover produced by an employee in insurance companies.

The regression function is  $\text{Ln}(\text{Turnover}) = 14,126 - 0.075 (\text{male sales total}) + 0,015 (\text{male sales sales})$

The equation above means 1 standart unit increase in the ratio of the number of sales department crew over number of all employees of each insurance company causes 0.075 standart unit decrease in Ln of the Turnover , and 1 standart unit increase in the ratio of number of male salespeople over member of all sales department causes 0,015 standart unit increase in Ln of the Turnover.

## CONCLUSION

### Discussion

This study provides a summary of the basic terms of the concept of insurance and risk from different resources and scholars. Afterwards, historical background of the sector has been provided with the improvement of the sector in Turkey. The names of the existing companies, the numbers of the past companies have been provided as well.

The study also provides the profitability ratios of both elementary and life insurance companies from 2006 to 2015. The life insurance companies in general have positive figures with respect to their profitability ratios. Elementary Insurance companies, on the other hand, do not have a stable profit or loss but in the last five years except 2013 and 2014 elementary insurance companies declared losses.

In the regression analysis, the equation among the mentioned variables above has been determined and it is concluded that employing university graduates does not have an effect on the turnover statistically. Having a high rate male staff on the sales department on the other hand seems to have a positive effect on the turnover, while having a high rate male staff in total has a negative effect on turnover.

### Managerial Implications

As mentioned in the discussion part, employing males in the sales department in insurance sector seems to have a positive effect on the turnover, but the ratio of the males over number of all employees of each insurance company negatively affect the turnover that it seems that the female ratio in the other departments should be higher than male ratio.

### Limitations

The limitations of the study would be the low R squared score.

### Future Research Recommendations

Future Researches might focus on female employment directly.

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## **Social Welfare System of Republic of Srpska in the Function of Developing a Non-Governmental Network of Support for Children with Disabilities**

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### **Abstract**

Children with disabilities represent a significant part of the population of users within Social welfare system in the Republic of Srpska. Number of children with a disability who are registered as users at the centers for social work, and therefore as users of social services, annually range around 3.5 thousand. Their status and support services are defined by the Law on Social Protection, which allows the non-governmental sector to provide services for children with disabilities. The network of non-governmental organizations and consumer associations concerned with providing social support to children with disabilities and their parents began to develop in the late 90s, when they started to form parents' associations in several municipalities. In the past period such associations were formed in almost all the communities in the Republic of Srpska. Their activities are very important for improving social protection in local communities. These associations work together at regional level, in the framework of the Association Persons with Mental disabilities (acronym - MINERALS). **The effect of parents' associations is recognized through the development of partnerships with centers for social work on the realization of social protection measures for children with disabilities. Associations have developed new support services such as day care, speech therapy treatments, workshops, self-help groups and etc. Association improved the direct work with children, provide new ways of financing social protection and welfare (project finance), have contributed to the planning of services, developed the partnership model of cooperation, have contributed to the legal solutions; enhance the social sensitivity of the local community to the situation of children with disabilities.** This paper presents the development of a network of parents associations of children with disabilities in the Republic of Srpska, legal merits of their work and partnership in the social welfare system, model of community work and the role of associations in the life of the local community. Paper also presents the results of research relating to the general characteristics of a network of associations, members of the association structure, and the types of services provided to the associations, methods of working with customers, quality of partnerships and ways of financing the association.

**Keywords:** Children with disabilities, Republic of Srpska, an association of parents, social services, Social welfare system

### **1. Introduction**

Children with disabilities are socially vulnerable group of the population, which required different types of support measures in the community. Their development is in direct correlation with the achieved level of satisfying their needs arising from development difficulties, as well as the possibilities of the community to fulfill those needs. Family, user associations and public institutions create a specific system of social support for children with disabilities in the community. Their action is crucial to achieving quality results of social support. Specifics of the development problems of children determine their needs and support systems affect the quality of satisfying those needs. Such mutual conditionality between development problems, the needs of children and community resources refers to the necessity of coordinated actions between the different actors in the Social welfare system, and in order to ensure a better development path of the child with disabilities.

Support to children with disabilities is recognized as a different planned intervention measures, organized and implemented in their immediate environment. First of all this relates to measures carried out by parents, communities and institutions of the system. Parents, for its natural role, are the first circle of support. Since their engagement and willingness depend on the results of all other interventions. An important role in providing support to children and parents are resources in their immediate community. Community resources are identified in institutional facilities, amenities and a positive atmosphere which is essential to family of a child with disabilities. Systemic interventions are carried out in different areas of social activities such as health care, education, child protection, rehabilitation and social protection. Social protection as part of a system of social welfare for children with disabilities, is consists of the organizational system, service providers and users themselves. The social welfare system consists of a network of institutions of social protection and measures to be implemented by users. It is determined by the legal and budgetary framework that enables action to protect subjects. For children with disabilities, the social welfare system is one of the key support system through which can be realize different types of intervention aimed at moderating and facilitating their development problems. Service providers are public institutions, non-governmental organizations and the private homes involved in caring for children with disabilities. Social service providers are professionals, professionals who directly implement measures to support children with disabilities. In addition to children with disabilities, beneficiaries of social protection are their parents as well. Parents or family where children live are the key player in the implementation of support for children with disabilities. Any measure of system support has a chance of failure if in the planning process, organizing and providing parents are not involved. Parents of children with disabilities are beneficiaries of the support system for two reasons: on the basis of representation of the interests of their children, and on the basis of expressing their needs as guardian of his children. Therefore, the role of parents is manifold. They participate in identifying needs, establishing a connection between the needs and system of measures, participate in the process of service delivery, provide the necessary information institutions of the system, ensure the implementation of systematic measures for children, control the achieved results, have the responsibility and bear most of the burden related to the state of development problems of their children. This role of parents rises to the level of the central resources of the entire social support. In order for parents to become the real power and resources of the system of social protection is necessary to organize them as user associations. Users Association formally established non-governmental organizations aimed at representing the interests of its members, developing their capacities and strengthening of cooperation with institutions of public support systems. User's network association is a set of interconnected non-governmental organizations of parents of children with disabilities. They are working at the local level, in local communities. They collaborate with Centers for social work in every municipality on providing different types of support to children with disabilities and their parents.

## II. ACTION FRAMEWORK IN THE USERS ASSOCIATION AT SOCIAL WELFARE SYSTEM OF REPUBLIC OF SRPSKA

The merits of the action of non-governmental organizations and users' association in the social security welfare system of the Republic of Srpska arise from the legal definition of a mixed system of social welfare. Social Protection Law (Official Gazette of Republic of Srpska, no. 37/12) defines the rights, measures and social services. Also, the law stipulates certain priority groups of users and operators of social protection. The same law stipulates that providing of social services can be realized in the public, private and NGO sector. This can be realized through mixed system of social welfare which enabled NGOs to participate equally in the implementation of the measures and social services. Basic characteristics of the mixed of social welfare system are: equality of public, private and non-governmental sector in planning, organizing and providing support services to users; a high level of involvement of user associations in the implementation of social protection measures; pluralism in setting priorities; Partnership in the development of public policy; development of social services on market principles, etc.

The reasons for the introduction of the NGO sector in the social welfare system of the Republic of Srpska lie in the fact that the existing capacity of the public sector in providing adequate responses to the needs of the user of social welfare system is insufficient. Resources of system for providing social support to children with disabilities are very scarce as can be concluded from the data that indicate: low budgets of public institutions, a lack of skilled staff, and poor development of existing and lack of new services. These shortcomings could be overcome or at least reduced with inclusion of the NGO sector in the social welfare system as a partner.

Cooperation and partnership of government institutions with NGOs is defined depending on the recognition of common interest and the nature of the area in which articulate the interests of certain groups of the population. The basis of the systemic recognition of the role and functioning of non-governmental organizations is located in the laws that define their establishment and operation. Effective laws on non-governmental organizations and foundations in the Republic of Srpska

and Federation of Bosnia and Herzegovina are prescribed modes of formation, operation and functioning of non-governmental organizations and foundations, their role and social significance. The law defines that children with disabilities are particularly vulnerable group of users that have priority in the offering of various types of social services. The most recognizable form of services used by children with disabilities is a Day care Centre. Some of them are even working in these facilities. This service was not recognized in the social welfare system in the previous period. Its development is fueled by the new Social Protection Law. Today this service represents the most respectable form of cooperation and partnership between public and non-governmental sectors. The most responsible for the development of these services are organization of parents of children with disabilities.

Special importance in the work of NGOs in this area has a municipal decision on extended rights. According to the Social Protection Law, each local community is required, shall decide on extended rights that define social services through which they have to meet social needs specific to the citizens and local community. Decision is making on basis of monitoring the state of social needs, in cooperation with their associations (Article 11). The purpose of this Decision is to provide services for their citizens that republican institutions are not recognized as a priority at the level of the entire system. The importance of non-governmental organizations in the design, implementation, monitoring and evaluation of the implementation of this Decision is large. Associations of parents of children with disabilities are most agile actors in these processes.

According to the Republic Bureau of Statistics annual influx of new cases of children with disabilities is about 1000 per annum (RSIS, 2016). However, the number of children who are beneficiaries of some of the rights from the social welfare system is much smaller. According to the Ministry of Health and Social Welfare that number is around three and a half thousand (Ministry of Health and Social Welfare, 2016), and the reasons must be sought in the restrictiveness of the existing system of social protection in the Republic of Srpska. Children with disabilities are the most common beneficiaries of the allowance for assistance and care of another person, the right to equalization of opportunities for children and youth with disabilities, the right to accommodation in an institution and the right to day care. As a particularly vulnerable group of beneficiaries, children with disabilities are also in the system of child protection which is entitled to child benefit under special criteria.

Actions of social and child protection in past are mainly been limited to the provision of financial support to families of children with disabilities and accommodation for children as well as direct specialist intervention. The lack of services in the social welfare system in the Republic of Serbian is a consequence of underdevelopment of institutions and problems in financing. Also, the reasons should be sought in cultural and historical heritage as well as the role of the family in the society. Republic of Srpska is still a patriarchal society that is experiencing intense transformation towards modern society, but they are still a strong traditionalist values in which the family and family authority plays a significant role.

The socialist system of social welfare did not include nongovernmental organizations. That system in the past relied exclusively on the role of the state and state institutions in the care of children with disabilities. Therefore, the forms and methods of work were poor by species. Although the state has a lot invested in the social welfare system, the needs of a significant number remained within the traditional forms of care, primarily in the form of financial transfers and classic institutional arrangements that are implemented in institutions for people with disabilities. System institutions were not interested in the development of non-institutional models of work with children with special needs. The role of parents was exclusively related to direct work with the child and parents were not recognized as a subject of support.

Disintegration of former Yugoslavia and the abandonment of the socialist system of social protection, this area has become an area of different influences competition in all spheres of life, including in the field of social and child protection. The application of international conventions and the intervention of international projects in the field of social and child protection has led to the adoption of new standards in this area which included an increased interest in the development of the NGO sector. This has opened the way for parents association to get in to interest groups that would later become a respectable part of systemic support (Lepir, 2010).

## 2. ORGANIZATION OF PARENTS OF CHILDREN WITH DISABILITIES-NETWORK DEVELOPMENT

Social welfare in Bosnia and Herzegovina became the area where the NGO sector made significant interventions, especially at the practical level. The implementation of a significant number of different projects that have left an indelible mark on the community level influenced the creation of the reform process at the system level. At first, only as strengthening the capacities of centers for social work and the introduction of new practices, later projects were started to influence the direction of reform processes in the entire system of social welfare. Good practice in a number of municipalities was

confirmed as a good method of spreading the need to reform the existing practice in social welfare. At the beginning, exclusively financed by donor funds, project activities are becoming an integral part of the public budget which ensured the sustainability of good solutions for the beneficiaries.

One of the most important contributions of these projects, in addition to technical improvements of the system and practice, was to strengthen the partnership of the public and NGOs. It took a lot of time and activities to confirm this partnership into practice. Even now there are some doubts about the quality and functionality of the partnership, but it is not the fruit of mutual hostility between the two sides, but the realization that it is necessary to systematically arrange the place, role and functioning of these relationships (Lepir, 2009).

The action of the association of parents of children with disabilities has a long tradition in this region. The reasons for this lies in the fact that the developmental problems of children was understood exclusively as problems of parents. At the system level, these problems are treated as general social problems while the system institutions its procedures separated from the public. All this has affected the already built a stigma in society. The stigma that accompanied the family when it receives a child with disabilities prevented the exit of parents in public, and the activities of the institutions of the system was aimed exclusively at professional intervention while a whole problem walking away from the general public interest.

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Organization of parents of children with disabilities in the Republic of Srpska began to form in the late 90s of the last century when it suddenly increased the interest of the general and professional public to the problems of this group of users in social welfare system. Very soon the work of local organizations has become known in local communities because it offered quicker, more accessible to the public and to the social welfare system, better insight to the real needs of children with disabilities and needs of their parents. A higher level of organization, and therefore more effective way of influencing the public social welfare system of the organization are achieved when, after a few years, joined the Alliance ( acronym "MENERALI") which has become an indispensable factor in planning, organizing and providing social support for children at the system level. In the early years, associations have emerged spontaneously on the basis of individual enthusiasts engagement, usually parents of children with disabilities, who are founding the association wanted to ease the problem-solving they faced in providing support to their children. The first interest of these associations was the problems of access to health care and social care. The first associations were mainly relied on the support of parents. Later, with the growing interest of international institutions in these issues, possibilities for project financing open up, that significantly speeds up the process of further strengthening the network of these associations.

Initially, these associations did not have the support of local centers for social work, as well as they did not have the support of local authorities. Over time, this picture has changed so that these associations become important partners in the planning, organization and implementation of measures and services for children with disabilities. Today, they are respectable resources on which social welfare system seriously account, especially in the provision of new services such as day care centers for children with disabilities.

The biggest boost to the development of user organizations in this period gave the international projects of UNICEF, DFID and SDC. Their project interventions were aimed at supporting the establishment of parents' associations, strengthening the capacity of existing NGOs and the introduction and development of new services for children with disabilities. Later on in support of the development of a user network associations have been involved with the local community co-financing of new services that have been developed in these associations.

A significant step forward in the development of a network of non-governmental organizations in this area made the implementation of the action research "Early detection of children with special needs and their development problems," which was first implemented in the municipalities of Srbac, Prnjavor and Kozarska Dubica. During the next seven years (2002- 2008) this research was conducted in all municipalities in the Republic of Srpska (Lepir, 2006). For the first time this research was supported on behalf the Government of Republic of Srpska thru Ministry of Health and Social Welfare and the Public Fund for Child Protection, organizationally and financially. All activities that are conducted within this project were implemented in cooperation of center for social works and local associations of parents with disabilities. Activities were focused on conducting research on needs, sensitization of parents of children with disabilities for the purposes of greater social engagement, as well as strengthening social awareness to strengthen the support system at local level. The results achieved by the project are established in the new association of parents of children with disabilities in municipalities where there were none, technically and professionally have strengthened existing associations, explored the needs of families and children, established by the local database of children with disabilities, cooperation between the centers for social work and local associations, introduced new social services, established the first day care center for children with disabilities, raising the public awareness in local communities about the need for civic action in this area. During the Period of continuous implementation of this project, a significant number of families of children with disabilities received direct educational and advisory support on the specifics of the development problems of their child, and for child is provided the exercise of rights determined by Law, as well as measures and social services from social welfare system. The results of this project have been very important for the further development of a network of associations as well as to improve the overall social protection of children with disabilities in the Republic of Srpska.

Since 2010 there has been a decrease in interest of international institutions in this area in Bosnia and Herzegovina. At the same time local budgets have fallen into a crisis so that there has been a reduction of revenue of those organizations which contributed to the reduction of their activity. However, most organizations continued to work, to participate as a partner in the creation of social welfare at the local level and to influence the system solutions. A number of services have continued with work even though there is an interruption of funding from outside resources. At the end of 2015 in the Republic of Srpska there were about forty of these associations. Most of them (28) located in the roof MENERALI Union, while others operate independently.

Table 1. Classification of mentally and physically handicapped children and adolescents

		Total	Age			
			Under 7 years	7-14	15-16	17-18
All	2011	1024	240	491	176	114
	Male	580	138	284	92	66
	Female	444	102	207	84	51
	2012	1135	328	518	189	100
	Male	658	205	291	112	50
	Female	477	123	227	77	50
	2013	1744	459	721	326	283
	Male	970	247	402	192	129
	Female	774	212	319	134	109
	2014	1494	386	633	314	161
	Male	852	215	344	188	105
	Female	642	171	289	126	56
	2015	1253	370	508	239	136
	Male	679	194	281	128	76
	Female	574	176	227	111	60

Source: Republic Institute for Statistics, 2016.

### 3. RESEARCH RESULTS

The results that will be presented were obtained in the study of the structure and organization of the user association's network. Research has been made in the period January-March 2017. The study included 21 non-governmental

organizations which represent approximately 50% of all organizations that provide services for children with disabilities and their parents in the Republic of Srpska.

The subject of this research is the empirical analysis of the status, activities and resource of associations of parents of children with disabilities.

The aim of the research is to investigate a non-governmental network of support, membership structure and organization of users associations.

Hypothetical framework:

- Organization and management of associations are based on stakeholder integration motives and users actions.
- The work content of the association is based on the strengthening of existing and the introduction of innovative services in social protection.
- Association resources are insufficient to meet all the needs of users and are conditioned by the financial support of the local community.
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#### **Research Methods:**

The study applied the basic, general, and data collection methods - methods of testing. Method of testing, the survey technique has been applied in empirical research also for the collection of data by questionnaire; instrument was designed for this study.

The questionnaire consists of 24 questions and 63 variables. The survey was completed by the most responsible persons at the associations. Processing of the results was performed by standardized statistical procedures.

#### **A) Organization and management of associations**

*According to the Law on Associations and Foundations (Official Gazette of Republic of Srpska, 52/01), to establish association it is necessary that three individuals come together to achieve the objectives of the association. The association is in terms of this Act, any form of voluntary association of more natural or legal persons in order to improve or achieve some common or general interest or goal. Mandatory authority responsible for managing the association's is Assembly of the Association appointed by the Management Board or a person who represents the Assembly. Most people who represent these associations are also the parents of children with disabilities. Most often they are also the founders of the same association. In addition to the authorized person in the person, management usually involved a technical person engaged in correspondence, cash registers, running administrative affairs etc.*

*Managers of association of parents of children with disabilities are usually parents themselves. This fact talks about high level of integration between objectives of the association with its direct action. Associations gather children with disabilities, their parents and other people with disabilities. The structure of children and parents associations is diverse. In the study sample included a total of 521 families of which 397 or 76% have at least one of the high-educated parents. The number of families using cash transfers from the social welfare system is 240 or 46%. Number of families who actively participates in co-financing of associations is 150.*

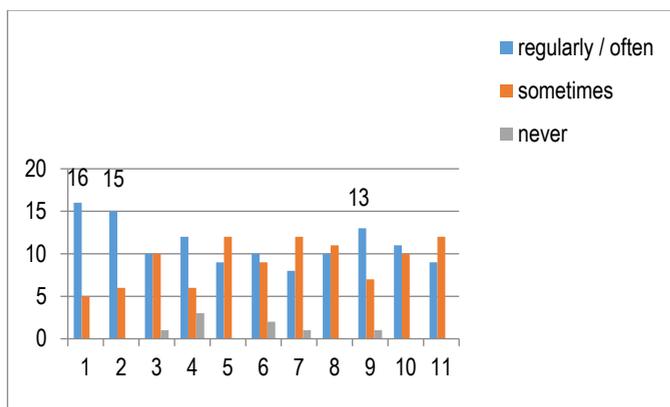
*The largest number of associations over which the survey was conducted in his work is not often changed their managers. Half of these associations have so far had two managers, and only two associations have a brief break in their work which indicates a high degree of continuity in the work of the association.*

*According to the results, these associations bring together a total of 2,259 persons with disabilities, of which 665 children under the age of 18 years. Research results indicate that their members come from a variety of developmental and age groups. The largest number of members coming from groups of people with: psychiatric disorders (36%), physical disability (10%), damage of the musculoskeletal system (17%) and visual impairment (10%).*

#### **A) Work contents of the association**

Most associations have opened Day care centers as an additional activity. The Day care center is an institution of social welfare or additional activity which provide day care. Daily care includes different types of organized daily services and stays out of your own family through which it provides nourishment, care, conservation, health care, upbringing and education, psychosocial rehabilitation, occupational therapy and other services. In term of Law there are different types of Day care centers which witch differs by the type and severity of developmental disorders in children. The activities of Day care center associations of parents of children with disabilities make a direct connection with the public system. The association administration in the implementation of Day care services provided by a partnership with the Centers for social work which entails obtaining equal status of social service providers in the local community.

These are activities that are offered in these associations and that should be highlighted: Professional work with children, Advisory work with parents, The daily child care/Day care center, Trips to nature, Birthday celebrations, Cultural and information activities, Regular gatherings of members/parents, The workshop activities/production of souvenirs, Rehabilitation/physical exercise, Sensitization of the public, Cooperation with other institutions in the municipality. Activity that are commonly practiced in an association is "professional work (1)", which implies the implementation of different types of professional intervention, such as speech therapy exercises, special treatment, psychological workshops and the like. Furthermore, it is present "counseling to the parents (2)" and "the rehabilitation services (9)," a least represented "cultural information activities (6)" and the "tours in the nature" (4). Graphic given below represents the earlier mentioned activities.



A significant part of the activity relates to the project implementation. It is interesting that all associations had experience in project activities. Most of these activities were related to "public sensitization projects" (90%) and "parent education projects" (90%). Associations have been dealing to in a lesser extent with projects related to children's leisure activities and projects that have established cooperation with other associations (81%).

#### A) Resources of the association

Almost all of the associations involved in the research have the continuous support of professionals. Most of them are special education teachers of different directions, but there are psychologists as well. The support of professionals is very important in the work of these associations. This support raises the professional competence of the associations. In the beginning, this support was reduced, only as part of some project activities, but recently it has been a continuous support in direct work with children.

Most associations have working rooms, although they are often inadequate. In recent years, a number of associations have managed to build and equip new functional spaces for work, but this problem remains open. Often, the problem is the lack of equipment especially for those who are undergoing rehabilitation and work therapy.

Financing as the most important item of the association's resources has always been uncertain. However, analysis of the funds allocation of the governmental sector for the non-governmental sector in Bosnia and Herzegovina (B&H) for 2007 and 2008, carried out by IBHI (2009), found that a significant part of the funds from the government budgets were allocated to the work and activities of the entire non-governmental sector. Compared to 2007, these allocations in B&H increased by about 11 million KM. Most of the funds come from the level of municipal budgets. A certain part of the funds is allocated from appropriately collected funds from the profit of games of chance. Organizations with a special status (veterans-

disabled associations, refugee associations, etc.) are financed directly from the budget (usually the entity budgets of Republic of Srpska or Federation of Bosnia and Herzegovina), exclusively based on program activities. Organizations of persons with disabilities (associations) receive grants intended for humanitarian activities also on the basis of program activities. The competitive allocation of funds to non-governmental organizations has not yet become overwhelming, which indicates possible further improvements in financing methods. According to research findings, the ways in which funds are allocated to non-governmental organizations are not based on public call procedures (tenders). As much as 41% of the institutions allocate these funds on the basis of insights into the program activities of organizations. Only a fifth institution applies tender procedures (IBHI, 2009).

In 2007, around 107 million KM were planned at different levels of government in B&H, which represents 0.55% of GDP for 2007 (in 2008, 118 million KM were planned). A little over 50% was allocated for sports and veterans' organizations. For other types of organizations, these allocations ranged from 43% in 2007 to 48% in 2008. Organizations that are certified as social service providers have been invested about 14% of the total allocated funds to all non-governmental organizations, which shows that most of the funds go to organizations whose activities are not proactively targeted for social inclusion activities. The funds intended for the provision of social protection services are still insufficient according to the required level of needs (Lepir, 2009).

A survey carried out among associations of parents with disabilities in the Republic of Srpska found that there is not only one way of financing. Funding of these associations is provided from multiple sources. The largest number of associations provides funds through donations from the private sector and through grants from local government institutions. Funding of associations from projects is one of significant item in the budgets of these associations. The largest number of associations participated in the projects as a partner organization. A small number of associations appeared as a project leader, so the funds on this basis were small. Small part of funds are from personal donations of families whose children use the services of the association. Membership fees as a source of funding do not apply in the work of these associations. The diversity of sources of funding enables associations to provide the means necessary for maintaining basic activities, and also does not allow development of new, and improvement of existing social services.

#### 4. CONCLUSIONS

The network of the Association of Parents of Children with Special Needs in the Republic of Srpska are developed under the influence of international organizations' projects and the, as well as gradual development of awareness of the importance of community involvement. Associations have crossed the road from the period when they were driven by the enthusiasm of parents to a legally positioned place in system solutions. In parallel with the implementation of projects that advocated partnership relations between the public and non-governmental sectors, awareness in the community of the need to organize user associations and their role in achieving better quality of social protection has grown. As a result of these processes, it was the establishment of a mixed social protection system that opened the door to users associations for public policy participation that regulated social support for children with disabilities. Misunderstandings between centers for social work and parents' associations with disabilities were overcome, but the question of establishing adequate and functional coordination and cooperation remained. However, on the other hand, their importance has been recognized in the public from local communities. Associations have become a subject in the social protection of children with disabilities. Strengthening the competencies of parents, their association and the activities of associations in the social protection system have achieved much in the field of recognizing the real needs of children with disabilities and establishing a more efficient social services system.

The survey of the network of parents' organizations with disabilities has shown that these user associations are poor with resources, lacking adequate financial support and still having problems with lack of professional competencies in working with users. However, a constant increase in the number of these organizations indicates the need for their action. According to this statement we ask the question: Does Social Welfare system helps in developing a non-governmental network of support for children with disabilities? Serenely, yes. But is it enough? Benefits of involving user associations in the social protection system are found in: faster, more economical, more direct and more accessible social services; more flexible and rational organization of services; the possibility of creating new services based on the real needs of users; greater choice of services as well as ability to engage more resources in the local community.

The most recognizable activity of non-governmental organizations lies in the provision of direct services to children and educational and informative work with parents and the general public. User associations influence public opinion and provide support to the public of local communities, which has a direct impact on the sustainability of their work. Their

*significance lies in analytical-research activities, the analysis of the state of the state of resources in the field and the recognition of the real needs of families and their children.*

*User associations represent the best guarantor in representing the interests of children with disabilities and their parents. Their future development will be conditioned by: strengthening of the partnership relations with the public institutions of the system; the introduction of standards in the provision of social services, the professionalization and specialization of non-governmental organizations in this field and the provision of a secure source of funding.*

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## A Comparison of the Results Obtained from t-Test and Anova, and Many Facet Rasch Analysis for Difference Based Statistics

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### Abstract

This study aims to compare the results of the *t*-test and ANOVA, and many facet Rasch analysis for difference based statistics. The research data were collected from 340 pre-service teachers. The attitude scale towards computer-assisted instruction which has a single-factor structure with 20-items were used as data collection tool. In the study, difference based statistics were analyzed in terms of gender, department, class level and taking or not taking the instructional technologies and material design course variables. Search for whether there is a difference about the pre-service teachers' scale points accordance with gender and taking / not taking the instructional technologies and material design course variables, independent samples *t*-test was used and for the other variables ANOVA was applied. According to *t*-test results, it was determined that the attitude points of the pre-service teachers who had taken the instructional technologies and material design course are statistically significant higher than those of the pre-service teachers who had not taken this course [ $t_{(338)} = 3.25, p < .01; \eta^2 = 0.030$ ]. It was found that there is no statistically significant difference between male and females according to their attitude scores [ $t_{(338)} = 0.41, p > .05$ ]. When ANOVA results were investigated, the points of the pre-service teachers statistically differed in terms of department [ $F_{(3-336)} = 4.09, p < .01; \eta^2 = 0.035$ ] and class level [ $F_{(3-336)} = 6.52, p < .05; \eta^2 = 0.054$ ]. On the other hand, many facet Rasch analysis was also applied for all of the four demographic variables included in the study. Thus many facet Rasch analysis was performed with six facets (pre-service teachers, items of the scale and four demographic variables). As a result of the Rasch analysis, it was determined that the attitudes of the pre-service teachers towards the computer-assisted instruction showed a statistically significant difference in terms of all variables considered. [for gender  $\chi^2_{(sd=1)} = 4.0, p = .05$ , for taking / not taking the instructional technologies and material design course  $\chi^2_{(sd=1)} = 45.7, p < .05$ , for department  $\chi^2_{(sd=3)} = 63.0, p < .05$  and for class level  $\chi^2_{(sd=3)} = 16.20, p < .05$ ].

**Keywords:** t-test, ANOVA, Many Facet Rasch Model, difference based statistics

## The Evaluation of Characteristics of Turkish Z Generation Living Abroad Through Graphology

**Neriman KARA**

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### **Abstract**

The characteristics of Z generation individuals constituting the majority of today's youth are quite different from those of previous generations' individuals. The individuals of this generation who spend their each and every moment on the internet and live their social life on this environment can shape their real life with this virtual life as well. While the fact that they can reach any information they want at any time enables them to be more brilliant on the one hand, this also prevents their emotional intelligence from improving. These individuals have some features like being rather self-confident, independent, introvert, dissatisfied, communicating only via social media, knowing what they want, expressing themselves quite well and desire to have all the control on their hand. Besides observations and empirical studies, it's also possible to evaluate the characteristics of the individuals and their lives by means of Graphology, whose validity and reliability have already been proved to be true and which has well-established in literature today. Graphology elicits the characteristics of the individual under the umbrella of the information based on his writing and signature. The aim of this study is to evaluate by means of Graphology whether the characteristics of Z generation living in Turkey and those of living in abroad are similar to each other or not. In this study, a group of 15 Turkish people living in England, who are Z generation individuals, will be investigated with the help of Graphology. Thanks to this study, Z generation individuals' features already available in the literature in Turkey will be compared with the findings that will be available at the end of our study.

**Keywords:** Z Generation, Graphology, Turkish Z Generation

## Re-Defining Polyphony in Media Text for Public Relations Discursive Practices in Organization

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### **Abstract**

The research explores the new media tools manifested in communication and public relations discursive practices in organization, marked by Bahtinian polyphony in media relations texts. The study of organization theory can be defined, analyzed and evaluated as dialogic organization constructed in and by dialogues as discursive practices [Hatch 2006, Grunig, 2002, Castells 2011]. Redefining polyphony consists in analyzing the original definition as "one self - concept is formed part from the social relationship we have with others and from others' responses to what we say and do.....Because the self is constructed out of our need to balance on our own needs with those of others, the self is necessarily dialogic or make in concert with others".[Bahtin, 1981] But having the keys for reading the self – concept as the social identity of an organization, the social relationships with others, namely the public(s) as groups of interests validated in the public sphere, and the roles and relations starting from the organization to and from the public(s). Thus evaluating the main levels offered by the framework in organization, the current research has identified: the intentional level created in the communicative contract by the organization in the context the new media have been used; the impact upon the public(s) - audience and/or communities throughout the means of new media and social media, analyzing their posts, comments; the rules of structuring the sequential configuration of the messages in media text as dialog, trilogy or polylog in the polyphony of discursive media relations practices in organization's site, blog, social media units-Facebook, Twitter, You Tube.

**Keywords:** polyphony, media text, new media, organizational discursive practices, media relations, public relations

## **Citizen Participation in Local Government Services: İzmir Metropolitan Municipality Example**

**Assoc.Prof.Dr. Fulya Akyıldız**

### **Abstract**

The aim of this study is to demonstrate citizen participation in local government services in Turkey, for example in İzmir Metropolitan Municipality. In accordance with the amendments made in the Municipal Law and the Special Provincial Administration Law in 2005, the Regulations published by the Ministry of Interior in 2006 opened the way for citizen participation in the execution of public services in local governments. Despite the past decade, citizen participation in local services is still in its infancy, with few exceptions today. Programs that include citizen participation in İzmir Metropolitan Municipality which is one of these exceptions are analyzed with this study and it is presented as an example to other local administrations. A reason for the selection of a metropolitan municipality within the scope of the study is that the metropolitan municipalities of 30 provinces, which are metropolitan with an amendment made in Law No. 6360 in 2012, are responsible for providing services on the provincial property boundary. In spite of the increased service obligation and responsibility of the metropolitan municipalities, the cost of services has also increased, and at the extreme, it seems difficult to take local services effectively and efficiently. The study suggests that the metropolitan municipalities should make widespread use of this method in the welfare services that affect people's daily life and quality of life. Citizen participation in services has a critical prescription for the success of local programs and for institutional performance. In the study, voluntary participation in local services is linked to the New Public Service (NPS) approach within the framework of democracy, citizen participation and democratic governance concepts. Among public service delivery and distribution methods is very important, and although the New Public Management approach is an alternative model to privatization practices, the citizen participation in public services has been underestimated in Turkey. This study aiming to fill this gap aims to attract the attention of the academic field to this topic and to give new ideas to the local politicians and practitioners. In this context, first of all, the issue of NPS approach and citizen participation in the services is discussed. Later, information on citizen participation in local government services in Turkey is given and the existing applications of the İzmir Metropolitan Municipality are examined. Following the presentation of the findings and suggestions, a general evaluation is made and the study is terminated.

**Keywords:** Citizen participation, New Public Service, İzmir Metropolitan Municipality, local services, local administrations

## Exploring the Effects of Servant Leadership on Employee Well-Being

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### **Abstract**

This paper explored the effects of servant leadership on two indicators of employee well-being: job satisfaction and life satisfaction. In addition, it examined the mediating role of self-efficacy and organizational based self-esteem (OBSE) in these relationships. Sample for this study comprised of 160 Pakistani employees who were working on a full-time basis in a large engineering company. Structural equation modelling was used to test the research hypotheses. Results showed that servant leadership was positively related to both self-efficacy and OBSE, which, in turn, were positively related to both job and life satisfaction. Furthermore, it was found that self-efficacy and OBSE fully mediated the effects of servant leadership on the two indicators of employee well-being. The implications of this research for theory and practice are discussed.

**Keywords:** Exploring the Effects of Servant Leadership on Employee Well-Being.

## The Over-Pathologization and Over-Medicalization of Children: a Current Problem

Alejandra Taborda

Agustina Labin

### Abstract

Currently vertiginous modifications carve tense coexistence between old and new paradigms. Embedded in the hasty, unprecedented subjective expressions appear on the scene, with such celerity that the existing linguistic categories are not enough to embrace them, to name them, to describe them as such - at best - are partially thought out. The empty spaces left by language promote the languages of segregation. The over-pathologization and over-medicalization of children due to school difficulties and / or attentional difficulties are privileged ways of expressing exclusion movements. The Argentina Mental Health law (N° 26657) open spaces for reworking the parameters and conceptual matrices involved in psychodiagnostics, in order to promote readings of transdisciplinary interrelations centered on human rights. In order to understand the theoretical and clinical complexity of the psychodiagnosis of children, the ongoing research project, endorsed of the San Luis University (Argentina) included: 1. Epidemiological studies of the consultation. 2. Development of diagnostic and therapeutic resources. 3. Etiological review of the symptom. 4. Analysis of therapeutic effectiveness. 5. Comparison of two psychoanalytic psychotherapeutic modalities (parallel group of parents and children versus individual treatment of the child). The clinical and empirical studies allow us to propose, within the framework of an extended diagnostic device, a new diagnostic indicator: the evolution of attentional difficulties - after six months to one year of psychotherapy - before resorting to pharmacological treatments. It is emphasized that diagnosis in a person's life is never neutral, therapeutic or iatrogenic.

**Keywords:** The Over-Pathologization and Over-Medicalization of Children: a Current Problem

## **A Sociological Radiography of the Communist Movement from 1921-1923**

**Fitzek Sebastian**

**Neagu Gabriela**

**Stănescu Simona Maria**

**Fitzek Cătălina Daniela**

### **Abstract:**

In this article I approached the emergence and Comintern origins of the Communist Party of Romania. The conflict between communist leaders and the Romanian State authorities started from the critical Movement position towards the Great Union on 1st of December 1918. Among other causes that led to the conflict was the affiliation of the new party to Comintern. The party subordination to a foreign authority involved a new dilemma regarding the sociological concept of political party. In this sense, the research goals were determined by analyzing two factors: a. Comintern beginnings of PCdR; b. the position taken by founding leaders towards the Great Union from 1921 – 1923. As part of the research, I conducted three analysis sets: a. a documentary analysis of the files present in the National Archives of the State; b. a leadership analysis of three key-personalities, who played an important role in the movement's rise; c. A secondary analysis which for I consulted various articles, books and important studies directly related to this subject.

**Keywords:** communist movement, anti-national movement, Comintern, illegalism, chimeric figures/personalities

## **Self-Determination, a Key Element for the Educational Inclusion of Roma Youth**

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### **Abstract**

Roma population is a heterogeneous group that, due to various reasons, they are one of the most socially vulnerable groups of population. Even taking into account the progress made in recent decades, there is still a long way to achieve equality in education for Roma children. Despite inclusive education and principles as respect to interculturalism and diversity, absenteeism and school dropout of Roma students continue being a source of concern. For years, the Roma community (families and professionals) have been working to improve and reduce the disadvantage of Roma children and youth in schools. In this paper is it presented a project focused on the educational experiences of Roma children and young people, specifically, the main objectives are: (1) analyse the Spanish legislative and organizational context in which the education of Roma children is developed; (2) identify the main needs and strengths of self-determination of young people in transition to adulthood; (3) describe perceptions of families regarding their children self-determination and (4) contribute to improve this process of transition of Roma children. Thus, this research supports the development of self-determination as a main goal and an important pathway that contributes to the transition of Roma students. We pretend to identify needs of Roma children in this area, taking into account the perspective of families, in order to plan actions to encourage these students, and their families, in their academic and personal guidance.

**Keywords:** Inclusion; Roma community; Self-determination; Empowerment.

## **Conceptualizing Sensory Emotioncy as a Source of Group Formation**

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### **Abstract**

An understanding of the qualities that attract people to each other and the tenacious forces that connect them into social units seems to be necessary for the advancement of sound comprehension of interpersonal relationships. Given the fact that the role of senses is accentuated in social relations, the present study intends to benefit from the newly developed concept of sensory emotioncy to predict the perceived similarity. To this end, 24 participants were asked to fill the sensory emotioncy scale. After that, based on the obtained score, they were put into four groups of six, and negotiated about three different topics. The way that participants team up in the groups were tracked, and it was observed that the participants with adjacent sensory emotioncy score tend to team up with each other. In the end, the possible implications of this qualitative study are presented.

**Keywords:** similarity, attraction, emotioncy, involvement, exvovement

## Predictive Markers of Developmental Delay in Four-Year Children in Russia

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### Abstract

Diagnosis of problems in mental development of children is the most actual at the early age. The sooner there is clarity about developmental delay (DD), the more effective is rehabilitation. The aim of the study was to identify predictive markers (PM) of DD in four-year-olds, according to following criteria. PM should be based on easily diagnosed indicators, should represent the prediction model of development with high accuracy in differential diagnosing, should help with identifying the pathogenesis of DD. Test tasks (236 items) were proposed by experts due to its proved practical effectiveness: from motor skills to cognitive and social development. Sample: 628 children (aged 1461 - 1827 days) - 575 with normal development, 53 with DD, diagnosed by an independent expert commission. Data analysis: discriminant analysis (DA), factor analysis (FA), reliability analysis ( $\alpha$ -Cronbach's), structural equation modeling (SEM). 48 of 236 items are indicators of 6 factors which optimally distinguish groups (Norm, DD). Reliability of corresponding scales:  $\alpha=0.711-0.873$ . DA (predictors: 6 scales, age), accuracy: 97.2% Norm, 96.2% DD. SEM: all scales are indicators of the g-factor, the only predictor of Diagnosis,  $R^2=0.80$ ; age affects 3 of 6 scales, except Diagnosis and g-factor. The prediction model has got extremely high accuracy. The most powerful predictors are (in descending order of contribution): motor development; social intelligence and verbal-conceptual thinking. Such a high level of accuracy indicates the existence of dramatic gaps between the groups by these factors. Obviously, the explanation of results lies in belated diagnosis of developmental problems of children in Russia.

**Keywords:** childhood, development delay, g-factor, four-year children

## Primary School Children's Practices of Watching Cartoons and Their Perceptions About Cartoon Character

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### Abstract

Relation between television and children is, to a large extent, associated through cartoons. Cartoons are in the leading preferential position of children audience from pre-school period to adolescence. Having been accessible all through 24 hours after the appearance of thematic children channels, cartoons have been opening doors of hundreds of various worlds. Stories, designed within the framework of global or domestic codes, are transmitting their messages through characters at first place. This research on audience was performed in Kayseri and is aimed to define the children's habits of watching TV and cartoon and their perceptions about cartoon characters. A survey has been applied to 420 student from various age groups in 3 different schools ensampling three different socio-economic levels. According to the results gained, the most watched cartoon TV by primary school children is TRT Çocuk, most watched cartoon is Rafadan Tayfa and Keloğlan is the most loved character among 96 different cartoon characters. It was determined that national productions are in the forefront but generally the international productions dominate. It was also determined that children define the behaviors of cartoon characters with adjectives such as good, nice...etc. Otherwise the characters have extraordinary features appears to be a factor which causes increase in the ratings. Moreover, it is suggested in the research that gender is an important determinant within the context of cartoon selection and adoption of cartoon characters.

**Keywords:** Television, Cartoon, Cartoon Character, Child, Audience Study

## **The Reflection of Apartheidic Trauma / Traumatic Apartheid in *None to Accompany Me* by Nadine Gordimer**

**Asist. Prof. Dr. Şahin KIZILTAŞ**

Bitlis Eren University, Turkey

### **Abstract**

The world has gone through a trauma for centuries. Almost all nations have experienced all sorts of traumatic events and feelings in this period. Among those nations, the black seem to be the most unlucky and ill-fated suffered from traumatic disasters. However, among those black nations, the natives of South Africa have been the most piteous and wretched ones. Their misfortune began in 1652 with the arrival of white colonists in the country. Since then, the oppression and persecution of white European colonists and settlers on natives increasingly continued. Those native people were displaced from the lands inherited from their ancestors a few centuries ago. They were not allowed to have equal rights with white people and to share same environment in public premises. The natives have put up resistance against the racial and colonial practices of white settlers which excluded them from all living spaces; yet, they could not manage, even they came into power in 1994. Today their exclusion and violence victimization still go on and they are still subjected to inferior treatment by (post)colonial dominant white powers. As a white intellectual and writer who had European origins, Nadine Gordimer witnessed the repression and torturing of European settlers on native people in South Africa. In her novels, she has reflected the racial discrimination practiced by white people who have considered of themselves in a superior position compared to the black. This study aims to focus on how Gordimer has reflected the trauma which the black people of South Africa have experienced as a consequence of racist practices. This will contribute to clarify and get across the real and true-life traumatic narratives of native people in the colonized countries.

**Keywords:** The Reflection of Apartheidic Trauma / Traumatic Apartheid in *None to Accompany Me* by Nadine Gordimer

## Inventing and Imagining Hong Kong Cuisine in Contemporary Japan

**NG Wai-Ming**

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### **Abstract**

Hong Kong cuisine is a fluid concept, meaning different things in different places and to different people. In Hong Kong and Japan, the same menu items (such as *yumcha* and wonton noodle) show huge diversity in the way they are prepared and served. More interestingly, the Japanese have created some unique Hong Kong food items and stereotype associations about Hong Kong cuisine. From historical and anthropological perspectives, using imagined Hong Kong cuisine and the imagination of Hong Kong cuisine as the two points of reference, this paper examines the process of localization and hybridization in culinary globalization.

**Keywords:** Hong Kong cuisine, invention of tradition, cultural imagination, cultural appropriation

## Does Top Executive Gender Diversity Affect Earnings Management?

Paskah Ika Nugroho Purnomo

Oni Novilia

### Abstract

This research examines the influence of female CEO, female CFO, female board of commissioners, and female audit committee on accrual based earnings management. This research presume that man and woman would act differently to solve a problem. This research using a sample of 304 companies listed on the Indonesian Stock Exchange that selected based on purposive sampling method. Hypothesis testing is performed by using multiple linier regression to examine the effect of each independent variable on the dependent variable. The result of this research showed that the position of CFO who is held by female have a significant negative effect on accrual based earnings management. While the position of female CEO, female board of commissioners, and female audit committee have no significant effect on accrual based earnings management.

**Keywords:** gender, corporate governance, earnings management, accrual based earnings management.

## Preservice Student-Teachers' Perceptions of Themselves as Teachers- Experience from Teaching Practicum

Vasiliki Fotopoulou

### Abstract

The importance and significance of the role of pre-service teachers' education in building up their identity formation is well-recognized. This work investigates one dimension of this complex formation: how pre-service teachers perceive themselves as teachers in a pre-service teacher education compulsory course of teaching practice in Greece. An experience report from a teaching practicum is presented based on a qualitative analysis of anonymous questionnaires (N=144). Our analysis reveals that student-teachers are engaged in a process of transformation which encompasses from the academic preparation to the teaching reality. We identify three interconnected stages in this transformation process: i) *first contact* (e.g., choice and field of their studies, relation between theory and practice), ii) *familiarization* (e.g., get in touch with teaching activity, with the space and the operation of kindergarten, collaboration with teachers), and iii) *function* (e.g., interaction with pupils, acquiring experience, acting as teachers). According to the data analysis, preservice teachers tend to attribute greater importance to specific elements of each stage. More specifically, the choice and field of their studies as well as the teaching activity (planning, implementation and feedback) were underlined as very important elements in the second and third stage respectively, while a great number of preservice students highlighted the interaction with students in the classroom as well as their act and operation as teachers in the third stage. Summing up, our findings indicate that pre-service teachers perceive themselves as teachers through four-correlated to each other in a bidirectional manner- issues: the academic framework, the teaching activity, themselves acting as teachers, and the students. Furthermore, the aforementioned four issues point out that pre-service teachers' perceptions are not stable but are subjected to a transformative process that take place during their teaching practice. Accordingly, the findings of this study could provide a conceptual framework that incorporates pre-service teachers' perceptions and examine teachers' identity formation from this specific perspective of pre-service studies.

**Keywords:** Preservice student-teachers' perceptions of themselves as teachers Experience from teaching practicum

## **A Analysis of Industrial Revolution Heritage Sites as Media to Communicate Historical Facts in Japan**

**Assoc. Prof. Dr. Makoto Sakai**

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### **Abstract**

This study aimed to clarify the different contexts used to assess the Industrial Revolution heritage sites' exhibition as media to communicate historical facts in Japan. It used a framework that draws concepts from cultural studies and media studies. This study employed fieldwork and comparative analysis of historical documents and media reports on industrial heritage sites that have political issues. In 2015, "Sites of Japan's Meiji Industrial Revolution: Iron and Steel, Shipbuilding and Coal Mining" received a registration to become a World Cultural Heritage site. This industrial heritage includes historically important heavy industrial factories and some famous sightseeing spots. Therefore, these World Cultural Heritage sites have attracted significant attention from the Japanese people and foreign tourists. Generally, the modern industrial heritage sites have historical problems. For example, Liverpool in the UK was registered among the world's cultural heritage sites as Liverpool–Maritime Mercantile City. In terms of the progress of the Industrial Revolution, profits obtained from the slave trade were used to invest in factories during the development of the Industrial Revolution. However, these historical facts have not been obscured in Liverpool. The international Slavery Museum in Albert Dock, which is part of the World Heritage site in Liverpool, presents a reasonable representation of the negative side of the area's history. Therefore, I argue that Japan's Industrial Revolution heritage sites need to present objective history as media to communicate historical issues with information transparency, including negative historical facts, without considering current diplomatic problems.

**Keywords:** Cultural Studies, Media Studies, Cultural Heritage

## Reconsidering Desire: The Multi-Disciplinary Imperative

**Assit. Prof. Dr. James Earl**

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### Abstract

In this paper, I will argue that the subject of human desire, and specifically erotic desire, can best be explored with a multi-disciplinary approach in the Humanities, from the standpoints of philosophy and psychotherapy, among others. Using desire as the example, I will then propose a model of cross disciplinary understanding of subjects, which might be used in many other areas of human concern. The tripartite model I propose, including elements of psychology, politics and philosophy, will, I hope, be of use to both theorists and practitioners in various fields. I also intend that the specific treatment here of erotic desire, using this model, will be of immediate interest to both philosophers and psychotherapists. The motivation behind this paper is a keen enthusiasm for what might be characterized as a European Continental, as opposed to Anglo-American, tradition of 'blurring the disciplinary boundaries'— in particular between philosophy and psychotherapy. I am an academic philosopher, and a practicing psychotherapist.

**Keywords:** Reconsidering Desire: the Multi-Disciplinary Imperative

## The Cultural History of the Corset and Gendered Body in Social and Literary Landscapes

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### **Abstract**

This study centers on the significance, uses and changes of the corset in the Western culture and literature through a study of body politics, culture and fashion. The emplacement of corsetry in the West as an undergarment goes back to 1600s. Research shows that the study of corsetry is important as the corset has been a permanent, pervasive, popular object preferred mostly by women from different classes, sometimes by men and even children since the Middle Ages. Moreover, it is important to notice how the corset has gone beyond its use value and has become first a symbol of rank and elegance, then of female oppression and victimization and finally a symbol of sexual empowerment and feminine rebellion in contemporary time. Popular critics of the field state that the corset today is far beyond its earlier restrictive usages and negative meanings as the garment today has become a favored item in fashion industry and preferred by celebrity icons all around the world. The corset at present is an outerwear, art object and ideological construct. So, what makes the corset so popular and everlasting? The study on corsetry yields to a critique of Western culture from socio-political perspective as well as through body politics and gender studies. In that respect, this work aims to explore how corsetry in past and contemporary time exists as an essential part of patriarchal ideology, influencing social and literary landscapes and borrowing from the beauty aesthetics, thus creating the idealized feminine of each century.

**Keywords:** Corset, body, gender, fashion, culture, ideology.

## Integration of Technology Through Digital Portfolios in Transformative Foreign Language Teacher Education for Professional Development

Kamile Hamiloğlu

### Abstract

Foreign language teacher education has been having a shift from a transmissive into a transformative and progressive perspective with which pre-service teachers (student teachers) have become more aware of their own learning, growth and progress since the beginnings of the 2000s, in particular. What transformative teacher education is designed for today is that a prospective teacher is to be aware of how they are learning to teach by themselves. Transformative teacher education focusses mainly on pre-service teachers' awareness of how they are becoming a teacher and what is happening throughout their becoming since they can transfer all of that experience into their own future careers and their prospective students' lives. With the integration of technology, we, teacher educators, have more opportunities today, to witness our student teachers' (pre-service education teachers') awareness situation and their stories of becoming teachers. Digital portfolios which provide them to save all of their written work as a digital copy throughout months, even years, help us be constant witnesses of their professional growth and development throughout the years they attend the faculty of education. This also gives way to make our evaluation from many different perspectives: we can see how they prepare their paper work as lesson plans, worksheets, reports, checklist and so on and besides, we can read their digital journals where they write their thoughts, opinions, ideas and feelings about their own practices, experience and learning, which would make their becoming stories a very humanistic cooperation and collaboration work. This paper intends to present a longitudinal research on the digital portfolio of pre-service (student) teachers of FLTE in a state university, İstanbul, Turkey for two years from 2015 to 2017. During their final years (year 4), approximately 120 student teachers kept a digital portfolio in which they saved their lesson plans, observation checklists, and teaching reports about and in a practicum course at the faculty and the practicum in primary and secondary schools in İstanbul. This paper evaluated the process and outcomes of these portfolios in terms of their contributions to the student teachers' professional developments regarding pre-service teachers' reported reflections. The results showed that the digital portfolios, especially their digital journals provided quite positive outcomes relevant to their awareness on their professional development.

**Keywords:** Integration of Technology Through Digital Portfolios in Transformative Foreign Language Teacher Education for Professional Development

## Islamic Finance: An Alternative Finance Model During the Crisis?

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### Abstract

This article is part of the two research streams: Law & Finance (L&F) and Islamic Finance (IF). The L&F theory shows that there are correlations between legal systems, financial development and economic growth. The main assumptions and findings of this theory are considered as a reference by several international institutions such as The World Bank (Doing business program) in order to implement legal and financial reforms around the world. These works are deeply criticized because of their apriorism and their promotion of the superiority of Common Law over Civil Law. However, this theory has initiated new research tracks focused on the idea that law matters especially after the recent crisis. Indeed, many countries implement reforms of legal systems to get out of the crisis. A particular legal shift is the adaptation of several national systems to accommodate a new form of finance model which is IF. Most OECD countries, focus on IF as a solution to crisis. The main specificity of IF is that it respects the ethical principles derived from an Islamic religious code (Shariaa). The rules of IF focus on the traceability of investments and risks. Our article aims to test the hypothesis of the superiority of Common Law in relation to the Civil Law regarding their capacity to introduce IF. Our purpose is, first to describe the principles of IF and their evolution since the early 1970s, second to evaluate empirically the degree of compatibility of investors rights in France with the Ethical principles conveyed by IF.

**Keywords:** Corporate governance – investor protection – financial development – Law and Finance – Financial Crises – Islamic Finance – Shariaah Compliant Fund (SCF)

**JEL Classification:** G30, K10, K22, F30, G01

## Planning and Financing Services in the City Through Land Value Capture Instruments the Case of Tirana New Bazar

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### Abstract

*Objective:* This paper comes as a contribution to the discussion happening in Albania related to limited funding sources for providing urban services, especially at the city level. It aims to bring some ideas on how to finance the new services that the Albanian cities need outside general budgets, or avoiding the accumulation of additional debt for local governments (LGs). *Methodology:* The approach suggested in the paper is to first identify the beneficiaries of any proposed improvement in providing both facilities and services, and then explore methods, which can involve the direct beneficiaries paying for their part of the benefits. The paper focuses on analyzing and reflecting upon the experience of the Municipality of Tirana for building up/refurbishing the city new bazar, and uses this as a case study to discuss on potential financing of facilities and urban services through land value capture gains, and relevant social implications in the Albanian society. *Results:* A value based property tax should be introduced first in Albania, not only as the instrument that can guarantee real local autonomy, but also as a precondition for applying other land value capture instruments. To mention some of the most applied ones that could also be explored in the broad Albanian context: betterment charges/fees; tax on the increment on the value of land; inclusionary housing, land assembling and land readjusting, and tradable development rights. For all of them, a substantial revision in the fiscal/public finances legislation is needed in Albania, given the fact that the relevant planning and development of territory legislation has already introduced such instruments. But above all, and what is most important, the social implications of the proposed instruments should be further researched and addressed through appropriate regulations and processes. *Conclusion:* Through this paper I try to demonstrate the implications of planning and financing services in the cities through land value capture instruments in the context of Albanian cities and society. Being that investments on urban services and facilities are accompanied by increases in land value, it has the features for recovering the capital costs of urban investment, by capturing some or all of the “*unearned*” increment in land value resulting from the investment. To accomplish this, ‘novel’ financing mechanisms should be used – such as land value capture instruments (betterment fees, special taxes, development agreements, etc.), but their implications in terms of improving the social fabric in the cities should be considered.

**Keywords:** land value capture instruments, financing urban services, novel financing mechanism, betterment fees, property tax, social fabric, city planning

## Policy in Relation with Health of Citizen

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### Abstract

Politics is a key factor of development and demolition of a particular state, especially Kosovo as a new state in the region. The research say that there is a link between economic policy, inequality and health of the population. One of the biggest surprises in the literature and studies in Europe and America is that are few studies on political variables and their impact on health and income. Health is the main factors, affecting the social and the welfare, also lack of health come as a result of political factors (Vincent Navarro, 2008). Rudolf Virchow stated that "Medicine is a social science while politics is nothing except the high-level medicine". The biggest development in the political field ,done by avoiding affects ,welfare and directly affects health of citizens (Navarro V., 2000). Until situation is deteriorating in recent years, we wanted to studies " political " phenomenon so to clarify weather the politics is a factor that affects in health. We have interviewed 86 citizen (64% males) in five city of Kosovo a random sample, we have used three questionnaires: Structured questionnaires to measure the current state of the political (DASS21, Lovibond, S.H. & Lovibond, P.F., 1995) situation of current depression (Beck Depression Inventory, 1996) and the questionare (The Happiness Measures, Fordyce, 1988) for happines . Data were analyzed using the statistical Package for social science (SPSS, 22 ). Results show that citizens are disappointed by the current political situation in Kosovo (72.5 %). Also 73.2% of the respondents accepted that are too agitated to recent political events, which consequently follows that 47.2% of them have been depressed. These studies show that political situation it is an influencing factor of health and wellbeing of citizens directly or indirectly by increasing the values of depression an anxiety to citizens. Politics is the main point of debate society and also in family so we should the leave more space to study the situation of politics.

**Keywords:** Policy of Kosovo, Politicial emotional state, Political influence

## **A Historical and Critical Evaluation to the Theory of Mixed Constitution in Political Thought**

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### **Abstract**

The theory of mixed constitution from Ancient Greece to until today has been used extensively in western political theory, in different forms. Within the name of mixed contitution is encountered in the works of Polybios and Cicero in Roma period. But the origins of the theory can be found in the Ancient Greece, especially in the works of Plato and Aristo. Besides, the paradigm of American political theory and all Western liberal democratic tradition from the nineteenth century consisted of the doctrines of separation of power, checks and balances which came to replace the older theory of the mixed constitution. The doctrines of separation of power also goes back Locke and Montesquieu. In this study, theory of mixed constitution and its effects and its relations with the theory of separation of power will be evaluated in the historical an also critical context. It will be tried to analyzed to the one of major problems of the political theory from ancient times to until today, the conservation the existing political structure, through the theory of mixed constitution.

**Keywords:** Mixed Constitution, Western Political Theory, Separation of Power, Democratic Theory

## **Spatial Location of Movement by Young Adults with Intellectual Disabilities: Does Anxiety Matter?**

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### **Abstract**

Many researchers explored if spatial location of movement was automatically encoded in memory or not in children and adults. However, one cannot draw conclusions from the previous studies whether any differences in memory for spatial location exist, and if so, were due to differences in intention or psychological condition. Additionally, anxiety rates have been found to be significantly high in intellectual disabilities (ID). Anxiety disorders include somatic symptoms, and cognitive and behavioral elements such as helplessness and fear of failure. The present study investigated if spatial location of movement was automatically encoded in memory in a large-scale environment by “anxious” and “non-anxious” young adults with organic ID matched on IQ and chronological age. The participants were segregated into “anxious” and “non-anxious” groups, using the Glasgow Anxiety Scale for people with an Intellectual Disability (Mindham & Espie, 2003). If there are any differences in the recall of spatial location of movement between the two groups, the claim of automaticity, assumed by Hasher and Zacks (1979), would not be supported. Each participant performed motor exercises at each of four selected locations on a 20X20 m field. The condition variable consisted of intentional position-intentional exercise, incidental position-intentional exercise, and incidental position-incidental exercise. The results indicated that “non-anxious” group had better performance in comparison to the “anxious” one. Instructions to recall positions and exercises helped the “non-anxious” group remember locations more accurately than the other group. The findings are discussed emphasizing the role of psychopathological factors in the performance of individuals with ID.

**Keywords:** intellectual disabilities, spatial location of movement, anxiety disorders, automatic processing, intention.

## Examining Cyber Bullying and Cyber Victimization in High School Students

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### Abstract

The aim of this research is to examine some variables related to cyber bullying and cyber victimization in high school students. It was investigated whether there is a difference for cyber bullying and cyber victimization behaviours, in terms of gender, age, type of school, parents' education, having of computer/mobile phone/tablet, the frequency of using the internet and place where they are connecting to the internet. The study is conducted using a correlational method. Research group consisted of 1085 students. The age of the students in this study is between 14-17. For the analysis of research data, Mann-Whitney U test, Kruskal-Wallis test and Post-Hoc Mann-Whitney U test were applied. According to the findings of study, there is no significant difference for the cyber bullying grades in terms of parents' education, the types of school and place where students are connecting to the internet. There is no significant difference for the cyber victimization grades in terms of gender, age and mothers' education. Cyber bullying grades of 16 years old students are higher than the other age groups. State school students' cyber victimization grades are higher than private school students'. Additionally, for the period they use the internet, it was seen that cyber bullying and cyber victimization grades are higher for the students using the internet more than 3 hours. In terms of cyber victimization grades it was obtained that the grades of students connecting to the internet from a mobile phone are higher than the students connecting to the internet at home.

**Keywords:** cyber bullying, cyber victimization, adolescents

## **Investigating the Attitude and Perception of Consumers Towards Purchasing Food Products from Supermarket Through Online Trading**

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### **Abstract**

The aim of this study is to examine the attitudes and perception of consumers in Antalya province towards purchase of food productions from supermarket through online trading system and factors that influence such perception. To achieve the objective of this study, face to face interview were conducted with consumers in Antalya province and data collected were subsequently analysed using logistic regression. The scope of the research study covers that socio-demographic characteristics of consumers, internet access and usage status and supermarkets' views on online trading services are some of the factors that drove the attitudes and perception of consumers towards food products purchase.

**Keywords:** Consumers, food products, online trading, logistic regression analysis

## The Prevalence and Risk Factors of Paternal Sleep Problems Across the Perinatal Period in Hong Kong - a Longitudinal Study

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### Abstract

**Background:** The present study aimed to identify the prevalence of sleep problems among the fathers from the antenatal to postpartum period as well as their risk factors with an aim to develop strategies to assist the fathers during the transition period. **Methods:** A consecutive sample of 540 Chinese expectant fathers were recruited. Expectant fathers were administered a set of questionnaires at first presentation (12 weeks gestation), 36 weeks pregnancy and 6 weeks after childbirth. Sleep problems was assessed with the Pittsburgh Sleeping Quality Index (PSQI). Demographic and psychosocial risk factors were also assessed. **Findings:** An alarming 42.2%, 57.5% and 70.3% of the fathers were identified to have sleep problems at early, late pregnancy and six week postpartum respectively. Hierarchical multiple regression analysis showed that poor self-esteem and work family conflict were significant risk factors for sleep problems at early pregnancy and late pregnancy respectively, even after controlling for confounders. Poor social support and work family conflict significantly predicted sleep problems at six week postpartum. **Discussions:** The prevalence of sleeping problems among the fathers during perinatal period was alarmingly high and warrants serious attention. Given the potential adverse impact of sleep problems on fathers' mental and physical health as well as caregiving abilities, findings from this study point to the need to equip fathers with psychosocial resources through perinatal psychoeducation, support group and counselling. Caution should be exercised in generalizing the results to fathers of other backgrounds as the sampling of the present study only include a certain area of Hong Kong.

**Keywords:** Paternal sleeping problems, risk factors

## **In the Process of Educational Diagnosis of and Educational Intervention in Specific Learning Difficulties: Primary School Teachers' Opinions and Experiences**

**Hayriye Gül Kuruyer**

**Ahmet Çakırođlu**

### **Abstract**

Students with a specific learning difficulty are students with low achievement and difficulties in the fields of reading, comprehension and language use, writing, listening, thinking, speaking, or mathematical thinking and operational skills. Identification of specific learning difficulties is the first stage in the development of educational intervention programs. In order to be able to make regulations, it is necessary to determine the strengths and weaknesses of these students in terms of their educational needs. Therefore, it is important to explore primary school teachers' experiences and classroom applications as well opinions and knowledge about the concept of specific learning difficulty and students having such difficulties because determination of interventions to be made to improve a state depends to a great extent on knowledge about the issue. Thus, the purpose of the current study is to explore primary school teachers' opinions and applications related to educational diagnosis and education intervention processes followed in case of specific learning difficulties. A grounded theory methodology was used. The study group of the current research consists of 8 primary school teachers. The data were collected through semi-structured interviews and observations. The collected data were analyzed by means of the constant comparison method. The analysis yielded four super categories: specific learning difficulty, problems, tasks and process. As a result of the study, it can be maintained that the primary school teachers have both knowledge deficiencies as regards the educational diagnosis of specific learning difficulties and development of educational intervention programs and conceptual fallacies that make diagnosis more difficult. In addition, it was observed that the teachers experienced difficulties in the process of development and application of educational intervention programs.

**Keywords:** In the Process of Educational Diagnosis of and Educational Intervention in Specific Learning Difficulties Primary School Teachers' Opinions and Experiences

## **Perfectionism Among Open Education Students: a Case Study from Anadolu University, Turkey**

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### **Abstract**

In this study, the perception of university students enrolled in to programmes offered by Anadolu University Open Education System is investigated by multidimensional perfectionism scale. Open education system creates opportunities to the students who do not have the ability to join traditional in-campus programmes. Anadolu University starting from 1982 offers Open Education to all concerned in Turkey. At the moment, there are approximately 1.4 million students enrolled in to a degree program. Since, open education system allows people to study for degree in every corner of Turkey, the student body of Anadolu University is not a homogeneous one compared to many in-campus student bodies. The overall age range in the system is between 18- 72 years. Anadolu University Open Education system also offers degree programmes to those who wants a second diploma, if a student has a diploma from any university in Turkey, they can freely register in to a new degree programme of their choice. Studying the perception of the students to perfectionism might give the ability to managers in the system for improving the study materials provided to students such as e-seminar, mock-up exams, book summaries etc. In this study, the results of the survey for perfectionism applied to 11.631 students will be given and analysed by statistical techniques, and will be discussed in detail.

**Keywords:** Perfectionism, Multivariate Statistics, Correspondence Analysis

## **Is Corporate Social Responsibility and Firm Performance Moderated by Employees' Individual Beliefs of Social Responsibility?**

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### **Abstract**

Many studies reported in the literature to date, have looked into the benefits of CSR, specifically focusing more on the financial aspect but relatively less on employees. Therefore, CSR research with regards to employees' perspective can be considered as almost an uncharted path. Accordingly, our key research objective in this study is to find out whether employees' individual perception and beliefs of social responsibility can play a moderating role on CSR-sales growth relationship. A total of 328 SMEs in consumer product and manufacturing industry from Tehran (capital city of Iran) were engaged in this study. Structural equation methodology based on AMOS path modeling was applied to test all hypotheses of the study. The first part of the results reveals that the CSR has a positive but weak effect on sales growth as firm performance measure. The second part discloses that the positive effect of CSR on sales growth is improved when moderator (high level of employees' individual beliefs of social responsibility) is included.

**Keywords:** Corporate social responsibility, Sales growth, Small Medium Enterprises (SMEs), employees' perspective of social responsibility.

## The Context of Accounting Discipline and Its Impact on Local Practices in Turkey

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### Abstract

Unrepresentable and non-audible masses are often surveyed through soundings such as polls. As a result, tests are being conducted to determine what they think if they do not reflect their thoughts. Therefore, these means are tools of a simulated universe, and the representation stands out. This is analogous to a black metal mass that is bombarded with messages, tests, and external factors in general. There is only a silent and unexplained community simulation in this environment where there is no expression and representation. This mass is surrounded by waves of image, sound and light (Baudrillard, 1982). The postmodern thinker goes on to explain the theory here mostly through communication technologies. In this study, the same theory is examined through accounting discipline in the Turkish environment. The effect of non-contextual practice practices on local culture has also been examined in the literature by various disciplines. The International Accounting Standards Board also recommends implementing countries to take account of local context and needs while establishing accounting standards and implementations to be developed. In this study, it is planned to determine the accounting practices originally developed only in Turkey in a historical perspective. For example, it appears that the track record developed in accounting is one of these link-specific practices. In this price record, the assets whose market value cannot be determined are the registration fee that is recorded in practice in terms of the smallest currency in the market (General Administration Accounting Regulation, 2014). Therefore, it is claimed that decision makers are now looking for a visual demonstration through value rather than meaning. The adoption of the paradigm, which sets the indicator value front, ignoring the value of use and even the value of the research in the discipline of accounting and finance is seen as one of the most important manifestations of this. When this is examined by various disciplines in the literature, it is seen that imitation-based and amusing practices that exaggerate reality are exaggerated. It is planned to examine the historically used practices of this research by state institutions on this problem and to identify those specific to the connection. Regarding this, interviews with the practitioners in the sector are planned and the collection of the data of the researchers is planned.

**Keywords:** Post Modern Theory, Context, Accounting Practices

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## Accounting Discipline in Economic Studies: a Historical Review on Turkey

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### Abstract

The field of economics in Turkey has been shaped especially by the Republic reforms in the 1930s, under the influence of small German originated professors and students who escaped from the Hitler's Germany (Sayar, 2017). Of course, there is a French-dominated madrasah education before this, but it does not represent today's higher education due to its structure. First examples of Business economics were seen as a branch of economics in that era. Üsdiken et al. (2004) indicated German business economics school, which is the basis for Turkey, has faced opposition from the three sides in its first crack. First of all, entrepreneurs in the market considered this education system as unnecessary or harmful. Instead of attending classes or reading textbooks operations in abroad encouraged. Secondly, most universities rejected business as a separate scientific field. Instead they claimed that business is entity with its sole profit maximization aim. Against this, as one of the economist Schmallenbach has made efforts to acknowledge the business field as a science, and nowadays his formulas are still in use, especially in the field of working capital management of businesses. Third opposition comes from the political front of national socialist party. They claimed that philosophy of business economics has roots to the liberal capitalistic economy which is opposite of statist mentality of national socialists. Accounting is one of the few exceptions to not being accepted as science among other business economics areas like marketing in that time. This is thought to be due to the structure of accounting that combines analytical and logic systems and of course historical background of the field. It is known that none of the above-mentioned discussions have been handled in Turkey during the establishment phase. While all of the economic policies of the Ottoman Tanzimat period were carried out towards the west, attention was paid to the localization of practices different from the republican period. The development and implementation of the double-sided accounting recording system coincides with this turn (Güvemli, 1995). The same imitation situation occurred in the post-World War II period with the export of American-based models and hybrid models emerged in Turkey (Kipping, Üsdiken, & Puig, 2004). However, in order to be able to correctly determine the accounting measures that can be taken in Turkey, it is necessary to spend our country in an accurate examination in terms of economics, sociology and accounting (Ferman, 1954). In this context, we have dealt with the articles in the *Journal of the Faculty of Economics (İktisat Fakültesi Mecmuası)* to determine the position of accounting discipline within the economic research in modern Turkey during the establishment phase. This journal is important because it operates regularly from 1939 to the present day, and hosts publications of those who contribute to the formation of the field in the beginning. In this study, content analysis will be conducted on subject journal to try to determine the position of the accounting field especially in economics.

**Keywords:** Content Analysis, Accounting History, Context

## **Aging and Municipality Administrations: Istanbul Kadikoy Case**

**Hamza Kurtkapan**

### **Abstract**

The aim of this article is to form a sociological perspective for new applications and to evaluate the local authority applications by observing the effects of urbanization on 'aging' and 'being old'. There is a swift transformation process in Turkey's social life. Family structure is also changing along with the social transition occurring in the urbanization process. Elders are the main actors that this transition effects and their position has been changed in society. With the social change, something about elders has become problematic with family bands. With urbanization, elders have been faced with 'loneliness', 'cost of living', and 'service care' problems. To overcome these cases, special social supports and raising local authority's consciousness of responsibility is needed. Although aging in Turkey is not as vital a 'problem' as in developed societies, it is obvious that there is an upward movement. As a result of increased living standards and development in health areas, average human lifespan and life expectancy has increased. Although Turkey has a young population percentage-wise, the actual number of elder people is quite high. The increment in elderly population in Turkey and reasons like the change of family structure, which make elder service important, are influential factors determining the subject of this thesis. Within this framework, supporting home care service is a goal. Towards this aim, the social problems that elders may face in urban areas and solving applications for these problems will be evaluated from a sociological perspective. Within this research, it is aimed to understand urban elders' life from a new perspective. Another way of understanding social processes is to observe the process and to conduct interviews with the related actors. Questions in our study will be divided into "factual questions" and "comparative questions". In this study, mainly two resources will be used, primary sources, defined as oldies who are living in urban areas and encounter the opportunities and difficulties of this city, their families and health workers who have a direct interaction with oldies, the opinions of people (largely city officials) and as minor sources, firstly sociology and the literature of books, theses, articles, reports etc. which are about social science. The methodological tendency of this study will be in qualitative form because of the general features of oldies that are its object. The semi-structured form will be applied to measure the assessments of people who are in contact with oldies and also their personal life, economic status, lifestyle, family, kinship, neighbor relations and their expectations of life. Beyond generalizing about oldies in this study, to make a case determination will be tried as a feature of the qualitative study method. We aim to carry out the study in the framework of one of the qualitative study types, using the data collection techniques of literature survey, questionnaire, and meeting (structured, not-structured) will be used for our study with different dimensions of observation techniques.

**Keywords:** Aging and Municipality Administrations Istanbul Kadikoy Case

## **Effects of the Climate on the Students' Recreational Activities Who Comes from Different Climate Types**

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### **Abstract**

Turkey has a large surface area with different topographic features. For this reason, there are regionally climate types (Mediterranean climate, Black Sea climate and continental climate) that are affected by the natural structure of the regions. The climatic elements (temperature, precipitation, humidity, wind, etc.) that are manifested by these climate types are the most effective environmental factors on the recreational activities of the individuals living in the region. Therefore, the recreational activities preferred by the individuals differ according to the climatic characteristics of the region where they live in. The university life is an important period in the formation of the personalities of individuals and in the acquisition of habits that will continue for years. The recreational activities preferred in this period have an important effect on many aspects of the life of the students. University students go to cities where have different natural and cultural characteristics from the city they live in to continue their university education and they live there. The recreational activities preferences of university students may differ according to the characteristics of the region. The aim of this study is to examine the effect of climate on recreational activities preferred by university students who come from different regions to get a university education. In this context, the data is gathered by applying the questionnaire on coincidentally selected 174 students who are studying at Akdeniz University. The data was analysed via SPSS statistical analyse package software. During the evaluation of the data were used descriptive statistical methods such as Percentage (%) and frequency (f). These outcomes demonstrate that the climate factor of the region has an important effect on the recreational activities preferred by university students from regions with different climate types. It has been reached that the recreational activities of students who come from the continental climate and the Black Sea climate types are affected positively in the study area where dominant climate type is Mediterranean climate and that the individuals from this climate type prefer the outdoor recreational activities.

**Keywords:** Effects of the Climate on the Students' Recreational Activities Who Comes from Different Climate Types.

## **A Study on Turnout Behavior in China: the Role of Political Trust on Electoral Participation in Grassroots Elections**

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### **Abstract**

Despite living in an Authoritarian country, Chinese citizens have a chance of political participation. Chinese citizens' political participation can be divided into two types: institutional and non-institutional ones. Providing and promoting these routes for political participation to citizens is thought to be beneficial for maintaining the legitimacy of authoritarian regime, which is considered to be purposed by the Chinese government. Meanwhile, prior research has confirmed that Chinese citizens trust their government to a high level. Nevertheless, protests targeting the local governments have been on the rise in China. To understand this phenomenon, we need to note that while Chinese citizens trust central government to a great degree, they do not trust their local governments so much. Researchers have found that the gap in the trust degrees between central and local government in China contributes to concentrating citizens' dissatisfaction to local governments, which is in turn beneficial for central government to keep its good image, and eventually for the maintenance of regime legitimacy. This paper addresses the following research question: if chances to participate in political issues and high trust in central government accompanying with low trust in local government are beneficial for maintaining the legitimacy of authoritarian regime, what is the relationship between Chinese citizens' political participation and political trust? The results of multi-level model analysis using Chinese General Social Survey (CGSS) 2010 and 2012 indicate that the combination of political participation provided to citizens helps the Chinese government to strive for the maintenance of regime legitimacy.

**Keywords:** contemporary Chinese politics, political participation, trust in government, authoritarian regime.

## **Financial and Non-Financial Goals of Corporations in the Era of Corporate Social Responsibility (CSR) –Decision Methods**

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### **Abstract**

Contemporaneously the company's overall aspirations comprise a wide set financial and non-financial goal. Corporate Social Responsibility (CSR) is a concept, which underlies multi-pillar strategy where many quantitative and qualitative objectives of multiple stakeholders lever company's success. Despite numerous standards had been developed to support Corporate Social Responsibility the need for tools and techniques necessary to improve managerial decision-making is urgent. Research in operation provide with a lot of interesting insights into multiple-criteria decision making (MCDM) and multi-attribute decision tools, which prove to enhance decisions rationality where number of heterogenic objectives must be achieved. Dilemmas connected with business responsibility are often sector specific. Healthcare is the sector, where multiple stakeholder's interest are apparent. For this reason, healthcare sector was chosen to examine the need and possible application of MCDM in supporting CSR strategy.

**Keywords:** Financial and Non-Financial Goals of Corporations in the Era of Corporate Social Responsibility (CSR) – Decision Methods

## The Relationship Between Beauty and Metaphysics in the Theory of Saint Tomas Aquinas

Mahdi Amini

### Abstract

Metaphysics and beauty are very important and challenging issues in philosophy that have been always noteworthy of philosophers. The relationship between these issues and the condition of these in philosophers's philosophical system is very different and various and every philosopher try to describe this in a specific way. It seems that there are very deep relationship between metaphysics and beauty in the philosophical system of philosophers that metaphysics is a fundamental subject in their philosophical system, because they explain their philosophical issue base on their metaphysical theory. Scholastic philosophers and philosophers of the middle Ages who were affected by Greek philosophy and lived in the Christian World are one group of that philosophers, however this relationship could be different. Saint Thomas Aquinas was a Catholic Priest in the Dominican Order and one of the most important medieval philosophers and theologians who have considered his theory base on metaphysics and theology. So, in this article I try by philosophical analysis method to show how metaphysics and beauty are connected in the philosophy of Thomas Aquinas. The results of this Article show that we cannot separate metaphysics and beauty in philosophy of Thomas Aquinas, so study on metaphysics of Thomas Aquinas is required as a prior condition for study on beauty.

**Keywords:** Tomas Aquinas, Metaphysics, God, Existence, beauty

## Reshaping the Landscape Through the Lens of Post Contemporary Photographic Experience

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### Abstract

The exhibition titled *New Topographics: Man Altered Landscape* marks a revolutionary turn at contemporary photographic practice. The exhibition, which was initially exhibited at George Eastman House in 1975, reshaped a new spatial understanding in the representation of geographies under the influence of the term "spatial turn". A turn, that broadens the way of understanding the space and puts a post-structural inquiry to the modern aspects of shaping the landscape. Artists, participated to the exhibition, also questioned appearance landscape in the so-called early stages of post-industrial age and established a new structural and symbolic way of representation. Allegories of reterritorialization, vernacularity and dysfunctionality have become key aspects of these photographers and they represented remains of old modernity (Hilda and Bernd Becher), change in the modern space (Lewis Baltz) and vernacularity of the place (Stephen Shore) without the presence of human but only with its distant and definitive trace. A void which gives more flexibility to the presence and the conceptualisation of the object but dismisses affect on the subject. This essay is going to question how the new contemporary photographers, instrumentalize the new practices within the new contextual inquiries forty years after the revolutionary exhibition. Photographers who employed distant and deadpan style of new topographics will be analyzed within the conceptualization that gives more flexibility to human presence with the concepts of memory. Recent photographic projects of Thomas Struth, Jo Roetger and Turkish photographer Serkan Taycan will be analyzed related with the conceptualizations of new topography.

**Keywords:** Reshaping the Landscape Through the Lens of Post Contemporary Photographic Experience

## Explicit Formula for Zeta Function and Its Application

Kajtaž H. Bilca

### Abstract

In this paper we prove analogue of A.Weil's explicit formula for a zeta function for a function  $\zeta_K$  of genus  $g$  over a finite field  $F_q$ , and we give an upper bound for the multiplicity of zero at central point  $s=2$ .

**Keywords:** Zeta function, Explicit formulas, Riemann hypothesis. MSC(2010): 11M36, 11M41.

## **The Role of Technological Teaching Methods Used in Education on the Development**

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### **Abstract**

Different teaching methods are used to make individuals' learning easier and effective. Technological teaching tools are often used in this context. Technological teaching methods create socioeconomic effects while increase human capital, because investments made in human beings provide benefits, both for individuals and society in a long term. In this study, firstly the use of technological teaching methods is investigated and secondly, the role of the gains obtained in the development is analyzed. According to the results obtained, technological teaching methods cause externalities such as reduction of crime rates, revitalization of the economy thanks to investments, increase in the quality of relations of civil society, increase in HDI and increase in employment.

**Keywords:** Education, Educational technology, Teaching methods, Development

## Social Media Use Among African Youth: a Step Toward Globalization or Cultural Setback?

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### Abstract

When rich countries opened up access to information and communication technology (ICT) for all types of people and countries around the world several decades ago, it was not clear to developing nations that it could transform the cultural fabric of their fragile communities and impact the economic aspirations of young people in those countries. The imbalance in cash flows between users of ICT in industrialized regions and those in poor regions, especially marginalized communities and youth cannot be compared to the general frequency of the use of, particularly social media gadgets. However, it is thought that young people aged (many 18-35) in both regions rely on social media to communicate their raw emotions (rage, love, worries and sympathies) and their political views or share data on socio-political and economic flaws in their national governments. In poor countries, many young people now have access to Android phones. However, it is not clear whether their use of such technology is preventing them from following their local customs or advancing the drive to compete for opportunities in the world. The study seeks to know which one of the devices was more likely to promote their understanding of and participation in the globalization process, i-phones or the internet. It examined whether the 'internal socialization,' 'inter—extra personal socialization' or 'personal advancement' is the primary reason for ownership of the devices. Some respondents in four communities (2 cities and two rural areas) in Cameroon and S. Africa will be randomly sampled using open and close-ended questions accessible in 6 internet cafes and on the streets, and cross-analyzed. The study is expected to show a heavier use of i-phones and reliance on 'foreign news and entertainment content' by rural residents compared to urban populations. The study expects that results might help non-profit organizations involved with strengthening indigenous communities and foreign businesses in packaging and disseminating messages tailored for the targeted group.

**Keywords:** Social Media Use Among African Youth: a Step Toward Globalization or Cultural Setback

## The Role of Islamic Finance in Reduction of Financial Exclusion in Ethiopia

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### Abstract

This research investigates the role of Islamic finance in combating financial exclusion in Ethiopia. It intends to assess the extent and the nature of religious driven financial exclusion of Ethiopian Muslims and the level of their participation in the existing interest free window banking system introduced to the sector recently. In order to collect data for the research, the researcher employed mixed approaches such as questionnaires and semi-structured interviews. The questionnaire was distributed to 321 respondents in Addis Ababa while the semi-structured interview was conducted with selected high-ranking bank officers. Findings show that, 94.4%, 87.2% and 69.2% of the respondents did not have access to credit, micro finance and insurance respectively. Additionally, 62.9% of respondents reported to have never used home financing such as condominium housing program. Religion was found to be the main factor for not accessing conventional financial services. Further, the research also found that 67.9% of respondents did not access interest free banking window products and services offered by conventional banks. This finding potentially implies the failure of the newly introduced interest free window in enhancing the inclusion of Ethiopian Muslims in the financial system. The absence of full-fledged Sharia compliant financial institution in Ethiopia considerably contributed to the exclusion of Ethiopian Muslims in the country's economy. It is, therefore, an overdue task for Ethiopian government to accommodate the interest of its Muslim population in the financial system. This includes, but not limited to, the establishment of full-fledged interest free financial institutions, including interest free bank, insurance and microfinance institutions.

**Keywords:** Religious driven financial exclusion, Islamic finance, interest free window banking and full-fledged interest free finance.

## Autogestive Education in Rural Mexico

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### Abstract

To talk about education is to talk about the future of a country or even the entire world. But what happens when the education of a country is obsolete and instead of helping the population, it sinks more and more. What happens when, despite the government's "efforts" to solve this situation, the population is in need of creating its own educational system, an alternative system, we are talking about "AUTOGESTIVE SCHOOLS". Schools can be defined as institutions dedicated to student learning; However the most vertical and centralized way of the educational systems have historically controlled their schools, this prevents paradoxically the learning not only of students but also of their own professionals (teachers and managers) as well as centers and organizations. It is an irony that schools are seldom learning institutions. Instead, they repeat year after year the same routines, which over time have less effect and are more expensive. Despite the fact that there have been several educational reforms, in order to "improve" education in Mexico, one has to have the quality of it occupies the 102nd place in the list of 124 countries in primary education and in secondary education, Mexico is located in place 107. According to the report of the World Economic Forum. However, different proposals have been made in Mexico to combat this inequality, not against the other countries, or against the government itself; But against that monster called "Capitalism." By this I refer to those schools where they are not specifically governed by the system, call SEP, CONAFE, etc. But they are governed primarily by the needs of the community, of their community. I'm talking about self-managed schools. Self-managed schools are those that take cooperation and the common good as a fundamental principle.

**Keywords:** Autogestive Education in Rural Mexico

## **A Comparison of the Results of Canonical Correlation Analysis and the Structural Regression Model**

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### **Abstract**

This study compares and contrasts the results of canonical correlation analysis and the structural regression model. Canonical correlation analysis is an exploratory statistical technique used to determine the correlation between two data sets, each of which includes at least two variables. Although the structural regression model can be used for the same purpose and is similar to the canonical correlation analysis, it differs from canonical correlation analysis by being a confirmatory statistical technique. Considering the shared aspects and differences of canonical correlation and the structural regression model, it is curious to which extent the results of these two analysis techniques will be similar. Thus, this study compared the output of canonical correlation analysis and the structural regression model using two data files, one with strong fit and the other with weak fit. As the data file with strong fit, the study used the X data set including the X1, X2, X3 and X4 variables and the Y data set including Y1, Y2, Y3 and Y4 variables. Canonical correlation analysis found that the shared variance between data files X and Y was 39.60%. In the structural regression model, the Y variable explained 45% of the variance of the X variable. As the data file with weak fit, the study used the A data set including A1 and A2 variables and the B data set including B1 and B2 variables. In the canonical correlation analysis, the shared variance between A and B data sets was 32.25%, and the B variable explained 64% of the variance of the A variable as a result of the structural regression model. Accordingly, it was concluded that the difference between the results reported by canonical correlation analysis and the structural regression model is higher when the fit between the model and the data is weak.

**Keywords:** canonical correlation, structural regression model, exploratory and confirmatory analysis

## Learning Communities as a New Way to Learn

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### **Abstract**

A Learning Community (CA) for its acronym in Spanish, is an organized human community that builds and engages in its own educational and cultural project to educate itself, its children, its youth and its adults, within the framework of an endogenous, cooperative and supportive effort, based on a diagnosis not only of their shortcomings but, above all, of their strengths to overcome such weaknesses (Elboj et al., 2006). The only way to ensuring education for all and quality lifelong learning is to make education a necessity and a task for all, developing and synchronizing the resources and efforts of the local community in order to ensure more sustainable conditions. We are then, confronted with one of the most difficult and complex contemporary challenges: to think twice and to rebuild the bonds that the human develops, through society, in conjunction with the environment.

**Keywords:** Learning Communities as a New Way to Learn